



ENSURING THE EXPERTISE TO GROW SOUTH AFRICA

Policy on Registration in Professional Categories

R-01-POL

Revision No.: 2: 15 March 2018

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DEFINITIONS

Accredited Qualification: A qualification awarded on successful completion of an accredited programme

Assessor: A professionally registered person who carries out the Experience Appraisal assessment

Benchmark Route: The normal process required to attain registration that consists of the completion of an accredited, recognised or evaluated equivalent qualification and a well-structured and effectively executed programme of training and experience for the category of registration

Competency Assessment: A summative assessment of an individual's competency against the prescribed standard that is based on evidence from the individual's work, reports by qualified observers and other tests that may include a professional review

Competency standard: Statement of competence required for a defined purpose

Continuing Professional Development: The systematic, accountable maintenance, improvement and broadening of knowledge and skills in addition to the development of personal qualities necessary for the execution of professional and technical duties throughout an engineering practitioner's career after professional registration

Experience Appraisal: See sections 8.8–8.11


Generic Baseline Competency: The competency for a professional category defined in terms of outcomes and including the expected level of performance that can be demonstrated in a range of occupational contexts

Initial Professional Development: Systematic participation in the activities typical of Continuing Professional Development but carried out prior to professional registration

Mentor: A professionally registered person who guides the competency development of a candidate in an appropriate category

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Moderator: A professionally registered person who carries out the moderation of the Experience Appraisal and Professional Review assessments

Practice area: A distinctive area of knowledge and expertise developed by an engineering practitioner through the path of education, training and experience followed

Prescribed standards: The competency standards (outcomes) for the category and discipline-specific requirements (if any) that must be satisfied by an applicant for registration

Professional Review: See sections 8.12–8.15

Recognised Qualification: See document E-01-P

Reviewer: A professionally registered person who carries out the Professional Review assessment


Standard: In the educational context, see document E-01-P; in the registration context, see Competency Standard and Prescribed Standard

Substantial equivalence: (Applied to educational programmes) Two programmes, while not meeting a single set of criteria, are both acceptable for preparing their respective graduates to enter training and experience towards professional registration

Supervisor: A person who oversees and controls engineering work performed by a candidate

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ABBREVIATIONS/ACRONYMS

C&U	Commitment and Undertaking
CPD	Continuing Professional Development
CRC	Central Registration Committee
EA	Experience Appraisal
ECSA	Engineering Council of South Africa
GCC	Government Certificate of Competency
IPD	Initial Professional Development
PR	Professional Review
VA	Voluntary Association

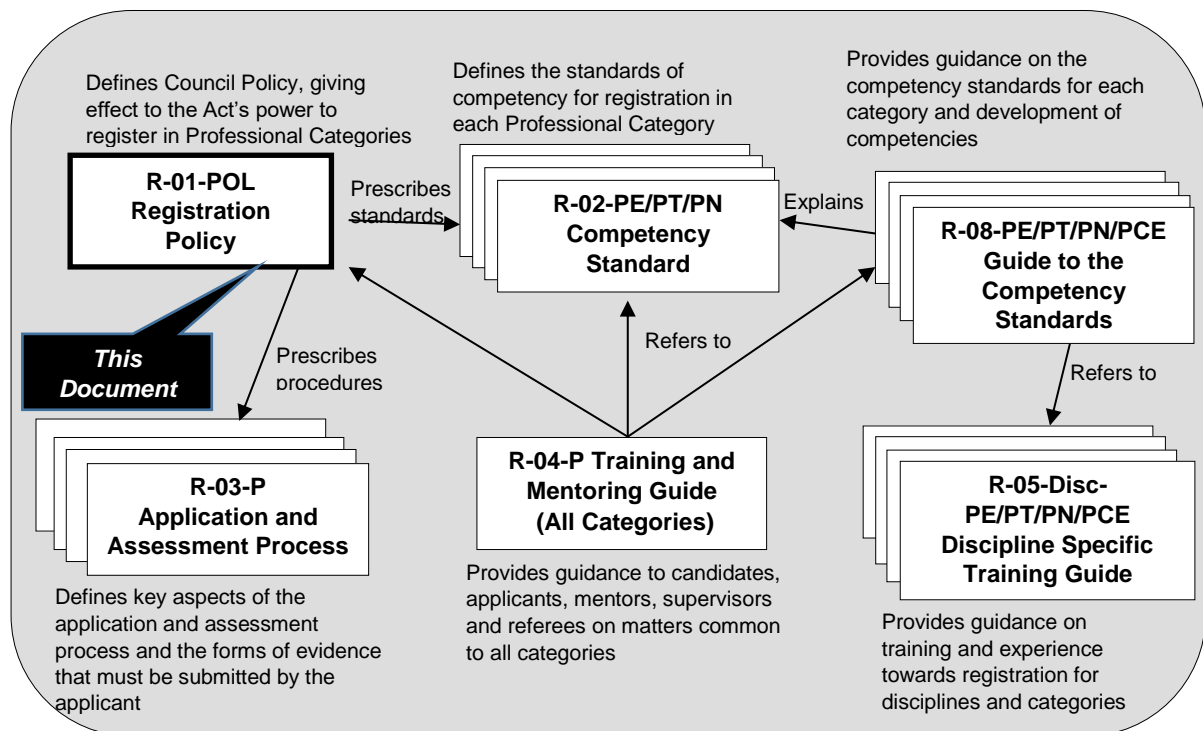
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1. BACKGROUND: THE ECSA REGISTRATION SYSTEM DOCUMENTS

The illustration below defines the documents that comprise the Engineering Council of South Africa (ECSA) system for registration in professional categories. The illustration also locates the current document.




Documents defining the ECSA Registration System

2. PURPOSE

This document defines policies set by the Council of the Engineering Council of South Africa (ECSA) (hereafter referred to as the Council) that governs the registration of persons in the four professional categories: Professional Engineer, Professional Engineering Technologist, Professional Engineering Technician and Professional Certificated Engineer in addition to the corresponding candidate categories. The policies give effect to provisions of the Engineering Profession Act (No. 46 of 2000) (the Act) in regard to professional and candidate registration.

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This document encompasses the following:

Section 1 presents an illustration that defines the documents comprising the ECSA system for registration in professional categories.

Section 2 explains the purpose of the policy in regard to registration.

Section 3 defines the educational requirements for registration in the candidate categories and the means of satisfying these requirements.

Section 4 defines the educational requirements for registration in professional categories and the means of satisfying these requirements.

Section 5 determines the standards to be demonstrated by applicants for registration in professional categories.

Section 6 states Council's policy on the professional development process, that is, training and experience towards professional registration.

Section 7 states Council's policy on applications or registration by the various types of applicants.

Section 8 states Council's policy on assessment of the competence of applicants in professional categories.


These policies are supported by competency standards, competency guidelines, processes for assessments, training and mentoring guidelines, application guidelines, standard forms, and information specific to particular work contexts. Relevant documents are referred to in the various sections of this policy.

3. DETERMINATION OF EDUCATIONAL REQUIREMENTS FOR REGISTRATION IN CANDIDATE CATEGORIES

3.1. Section 18(1)(b) of the Act makes provision for registration as a candidate in categories corresponding to the professional categories, namely

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- Candidate Engineer
- Candidate Engineering Technologist
- Candidate Engineering Technician
- Candidate Certificated Engineer

3.2. A person intending to apply for registration in a professional category may first apply for registration as a candidate in the category but is not obliged to do so. Persons who have met the educational requirements by the methods defined in Section 3.4(i) to Section 3.4(iv) and who are undergoing training are strongly encouraged to register as candidates.

3.3. The requirement for registration as a candidate in a category is stated in Section 19(2)(b) of the Act:

The council must register the applicant in the relevant category ... [Clause omitted as it is not relevant. Text available in original source] if, after consideration of the application, the council is satisfied that the applicant –

(b) in the case of a person applying for registration as a candidate, has satisfied the relevant educational outcomes determined by council for this purpose, by –


- (i) having passed accredited or recognised examinations at any educational institution offering educational programmes in engineering; and
- (ii) having passed any other examinations that may be determined by the council; or
- (iii) presenting evidence of prior learning.

3.4. An applicant for registration as a candidate in a category may satisfy the relevant educational requirements by *one* of the following means:

- (i) Hold an accredited qualification or acceptable combination of accredited qualifications prescribed for the category
- (ii) Hold a qualification or a combination of qualifications that is recognised under an international academic agreement relevant to the category
- (iii) Hold a qualification or a combination of qualifications that has been determined by case-by-case evaluation to satisfy criteria for substantial equivalence to an accredited qualification for the category by virtue of:

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1. the qualification(s) being awarded in a jurisdiction or by a provider that has a record of quality or a quality assurance system known to the ECSA; or
2. examination of detailed documentation on the qualification(s) reflecting substantial equivalence

(iv) Present a combination of evidence determined by Council for the category that is substantially equivalent to an accredited qualification and that indicates the individual's level of educational achievement against criteria. Evidence may include


1. qualification(s) or credits towards qualifications not already presented under 3.4(iii);
2. completion of examinations or other forms of assessment set or prescribed by Council;
3. portfolio(s) of evidence of work and other outputs presented for assessment; and
4. other evidence of prior learning presented for assessment.

3.5. The criteria for accredited programmes in case 3.4(i) are defined in document **E-03-P** and are read with the relevant standards for the category referenced in document **E-03-P**. The standards for accredited qualifications are defined in Schedule 1.

3.6. International educational agreements relevant to candidate and professional categories are shown in Schedule 2.

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Schedule 1: Engineering educational standards applicable to professional and candidate categories


Category of Registration	Educational Standard Document
Candidate and Professional Engineer	E-02-PE
Candidate and Professional Engineering Technologist 1	E-02-PT or E-05-PT (with prerequisite qualification conforming to E-02-PT) or E-02-PE
Candidate and Professional Engineering Technician 2	E-02-PN or E-08-PN or E-21-PN or E-07-PN or E-06-PN (with prerequisite qualification conforming to E-02-PN) or E-02-PT or E-02-PE or
Candidate and Professional Certificated Engineer	E-02-PCE
<p>1. An accredited BTech (with a prerequisite accredited National Diploma or equivalent) continues to be recognised as meeting the ECSA educational requirements.</p> <p>2. An accredited National Diploma continues to be recognised as meeting the ECSA educational requirements.</p>	

Schedule 2: International educational agreements applicable to candidate and professional categories

Category of Registration	Educational Agreement
Candidate and Professional Engineer	Washington Accord
Candidate and Professional Engineering Technologist	Sydney Accord
Candidate and Professional Engineering	Dublin Accord

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Technician	
Candidate and Professional Certificated Engineer	No Agreement

3.7. The policy and procedures for accrediting qualifications are defined in documents **E-10-P** to **E-16-P**. Criteria, policies and procedures for considering applicants under cases 3.4(iii) and 3.4(iv) above are defined in document **E-17-P**.

3.8. Persons who do not meet the educational requirement for candidacy under 3.4(i), 3.4(ii) or 3.4(iii) fall under 3.4(iv) above must be assessed individually. A qualification may be accredited, recognised or evaluated as partially satisfying the education requirement. In such cases, applicants may make up deficits by further learning. An applicant under 3.4(iv) may, in addition to evidence already presented, be required to undergo an assessment that may assume various forms, including oral or written examinations. If the qualifications and other evidence of the applicant are evaluated as being substantially equivalent to an accredited South African qualification, the applicant is eligible for registration as a candidate in the relevant category.

3.9. A person is considered to have met the educational requirements for a category at the time of completion of a qualification or qualifications that are accredited, recognised or evaluated as substantially equivalent in terms of sections 3.4(i), (ii), (iii) or (iv).


4. DETERMINATION OF EDUCATIONAL REQUIREMENTS FOR REGISTRATION IN PROFESSIONAL CATEGORIES

4.1. An applicant who is already registered as a candidate in the category corresponding to that applied for at professional level is not required to satisfy further educational requirements under Section 19(2)(a)(ii) of the Act.

4.2. In the case of an applicant for registration who is not registered as a candidate in the relevant category at the time of the application or has not by prior evaluation or assessment satisfied the educational requirements, the applicant must, in terms of Section 19(2)(a)(ii) of

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the Act, demonstrate the level of educational achievement prescribed for the category by one of the mechanisms defined in Section 3.4.

Applicants holding accredited, recognised or other qualifications

4.3. The first four mechanisms have identical requirements to those for registration as a candidate, namely the methods defined in sections 3.4(i), (ii), (iii) and (iv).

4.4. Criteria and processes for assessing the educational achievement of applicants for registration are defined in sections 4.5 to 4.8 and in document **E-17-P**.

Applicants registered with signatories to international agreements on registration

4.5. An applicant for professional registration under an international agreement is deemed to meet the ECSA educational requirements for registration if *one* of the following is fulfilled:

(a) In the case of a person professionally registered by a body with which the ECSA has a mutual exemption agreement, the applicant must satisfy the educational requirements defined under that agreement.


(b) In the case of a person applying for registration as a Professional Engineer who is registered on a section of the International Register administered by another signatory to the International Professional Engineers Agreement (IPEA), formerly the Engineers Mobility Forum, the applicant must hold a qualification or a combination of qualifications determined by the original registering signatory that is substantially equivalent to a Washington Accord qualification.

(c) In the case of a person applying for registration as a Professional Engineering Technologist who is registered on a section of the International Register administered by another signatory to the International Engineering Technologist Agreement (IETA), formerly the Engineering Technologists Mobility Forum, the applicant must hold a qualification or a combination of qualifications that is determined by the original registering signatory to be substantially equivalent to a Sydney Accord qualification.

Special provisions

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4.6. An applicant who seeks to meet the educational requirement by methods stated in sections 3.4(i), (ii) or (iii) above, who provides evidence that he/she has been continuously in training or practice in the relevant category for at least 10 years since graduation and whose claim is verified by a summary of training and experience may be evaluated against the educational standards for the category that prevail at the time as having completed the educational qualification.

4.7. An applicant who seeks to meet the educational requirements by the method stated in Section 3.4(iv) above may present evidence of satisfying educational criteria by submitting evidence of performance against a corresponding outcome at the professional level, as specified in document **E-17-P**.

4.8. An accredited, recognised or evaluated educational qualification must have a knowledge profile appropriate to the discipline of the applicant's work experience.

4.9. During the registration process (Stage 2: Competency Assessment), an applicant for registration may be required to demonstrate that he/she has an appropriate body of knowledge for the discipline in which he/she practises.

4.10. Where an applicant for educational evaluation does not demonstrate substantial equivalence against the substantial equivalence criteria, the applicant may undertake further learning and provide evidence of satisfying outstanding requirements within three years of the date of the communication informing the applicant of the educational deficiencies. No further fee is payable if the required evidence is submitted within the three-year period.


5. DETERMINATION OF STANDARDS OF COMPETENCE FOR REGISTRATION IN PROFESSIONAL CATEGORIES

5.1. Section 18(1)(a) of the Act defines the categories of professional registration in which the ECSA may register persons:

- Professional Engineer
- Professional Engineering Technologist
- Professional Engineering Technician

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- Professional Certificated Engineer

5.2. The essential requirements to become registered in a category are stated in Section 19(2)(a) of the Act:

The council must register the applicant in the relevant category ... [Clause omitted as it is not relevant. Text available in original source] if, after consideration of the application, the council is satisfied that the applicant –

- (a) In the case of a person applying for registration as a professional has
- (i) demonstrated his or her competence as measured against standards determined by the council for the relevant category of registration; and
 - (ii) has passed any additional examinations that may be determined by the council

5.3. This Policy on Registration in Professional Categories gives effect to the requirements of Section 19(2)(a)(i) of the Act by

5.3.1. Determining the expected outcomes and level of performance for demonstrating competence for each professional category in the form of competency standards listed in Schedule 3. Competency standards are stated in the form of generic baseline competencies that all professionals in the category must demonstrate, irrespective of their discipline or speciality. Competency must be demonstrated within the practice area of the applicant.


5.3.2. Assessing the competence of an applicant for registration in a particular professional category on the basis of evidence presented by the applicant according to defined procedures.

5.3.3. Determining the educational outcomes that must be fulfilled by applicants for registration.

5.4. Any applicant who through his/her performance demonstrates competence against the standards, including educational outcomes, will be registered, provided that none of the conditions listed in Section 19(3) of the Act apply in the particular case.

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Schedule 3: Competency standard applicable to professional categories

Category of Professional Registration	Competency Standard Document
Professional Engineer	R-02-PE
Professional Engineering Technologist	R-02-PT
Professional Engineering Technician	R- 02-PN
Professional Certificated Engineer	R-02-PCE

6. PROFESSIONAL DEVELOPMENT TOWARDS REGISTRATION

6.1. The process of experience and training that brings an individual to the level of competency required for registration is not prescribed by the ECSA. The level of achievement is, however, defined in the competency standards. It is recognised that many routes to attaining this competency exist. Guidelines for employers, mentors and aspiring registrants are given in document **R-04-P**. These guidelines together with an accredited qualification define the Benchmark Route to developing the competency required for registration. All candidates proceeding to registration are assessed identically according to the competency standards and defined procedures, irrespective of the route followed.

6.2. The training guidelines in document **R-04-P** may be supplemented by the guidelines for particular categories of registration and work contexts. Examples of work contexts include categories of registration, engineering disciplines within each category, industry sectors and academic staff at higher education institutions. Context-specific guidelines must be approved by the Central Registration Committee (CRC).


Period of training

6.3. The ECSA does not normally consider an application for registration unless the period of training and experience shown in Schedule 4 has been completed.

6.3.1. In the case of a person meeting the educational requirements under sections 3.4(i), (ii) or (iii), the required period starts no earlier than the date of meeting the qualification(s) requirement.

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Schedule 4: Normal minimum duration of education, training and experience

Category of Professional Registration	Education	Training and Experience
Professional Engineer	4 years	3 years
Professional Engineering Technologist	3 years	4 years
	4 years	3 years
Professional Engineering Technician	2 years	4 years
	3 years	3 years
Professional Certificated Engineer	Obtain one of seven GCCs – see document R-02-PCE	3 years including a legal appointment for 12 months
<p>Note: Academic programmes referred to above must be accredited, recognised or evaluated as equivalent, with individual assessments where required.</p>		

*GCC: Government Certificate of Competency


Employer's Commitment and Undertaking and candidacy programmes

6.4. A Commitment and Undertaking (C&U) is an agreement entered into between an employer and the ECSA under which the employer commits to the training of candidates to the standard required for registration in an identified professional category. A C&U may be entered into for one or more of the professional categories. In entering a C&U, the employer signifies the intent to

- structure and execute the training of candidates in accordance with the competency statements, policies and guidelines laid down by the ECSA for the applicable category of registration;
- ensure adequate supervision of candidates by registered persons;
- register mentors with the ECSA and ensure adequate mentoring of candidates; and
- provide regular guidance to the candidates through competent supervisors and mentors.

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6.5. A candidacy programme is a framework for employers to plan and execute training towards registration in a professional category. A candidacy programme is a means of implementing a C&U. A candidacy programme has the following components:

6.5.1. The candidate is employed in a candidacy programme by the employer who will provide the training and experience. The objective of the programme is for the candidate to become registered with the ECSA in the appropriate category.

6.5.2. The competency standards generated by the ECSA are used as workplace standards. They define the competency outcomes of the training programme. The employer must define the process to develop competence to the required level. The employer must make specific reference to the workplace standards in its workplace skills plan. Context-specific training guides generated by the sector may be used. These must not conflict with the generic competencies but rather provide amplification in the particular work context.

6.5.3. If not already registered, the trainee should register in the appropriate candidate category with the ECSA as early as possible within the training period.

6.5.4. The employer will provide an internal supervisor and a mentor who preferably is internal but may be external to the company. While the supervisor and mentor may change from time to time, employers must ensure continuity of supervision and mentoring.

6.5.5. Structured work experience is provided by the employer for the candidate. This work is managed using a standard format training record. The candidate's progress is assessed on an on-going basis by supervisors and mentors, using the training record for documentation.


6.5.6. When the candidate is considered to be ready for registration, he/she applies to the ECSA for registration. Evidence of competence as required by the ECSA must be provided. The summative assessment of competence is performed by the ECSA.

6.5.7. Success in attaining registration is considered to be evidence of the quality of the training programme. The workplace learning programme is not subject to formal quality assurance.

Requirements regarding candidates, supervisors, mentors and referees

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6.6. Various sections of the Act require registration for particular aspects of work. Section 18(2) requires registration for practice in a professional category. Section 18(3) requires a person who practises in a consulting capacity to be registered in the appropriate category. Section 18(4) requires a person registered as a candidate to work under the supervision and control of a registered person.

6.7. Section 26 of the Act empowers and requires the ECSA to identify work that can only be performed, supervised and controlled by professionally registered persons, and these registered persons must take responsibility for the work. Should this identified work be promulgated, it may place further restrictions on trainees who are not registered as candidates.

6.8. In such cases, the candidate must work under the supervision of a registered person. Supervision may not be direct, but the supervisor must take responsibility for the work of the candidate/trainee from a fully informed position. The supervisor would normally guide and mentor the candidate's development. However, the candidate may be mentored by another registered person in the employer's organisation.

6.9. If employers do not have suitable persons as internal mentors in their employ, they must ensure that external mentors are appointed. Mentors thus appointed should be sensitive to any limitations that the employer may wish to set in any given situation. Such mentors cannot take responsibility for work performed by the trainee. Thus, the supervisor and the mentor (if appointed) must both be registered in an appropriate professional category.


6.10. The training guide, document **R-04-P** together with document **R-11-P**, gives guidance on ways of dealing with the stipulation that the candidate must demonstrate the ability to take responsibility but is not allowed to do so.

Advanced academic programmes

6.11. Applicants for professional registration who have completed higher education programmes beyond the level required for registration in a category may offer appropriate aspects of the advanced programme as part of the evidence of competence, providing the aspects of the programme offered presents evidence of demonstrating specific outcomes at the required level.

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6.12. The contribution of the advanced higher education programme to demonstrating relevant competencies should be certified by a supervisor or head of department who is professionally registered in the category and the discipline in question.

Initial Professional Development activities prior to professional registration

6.13. Outcome 11 of the competency standards requires the applicant to demonstrate the ability to manage and undertake on-going professional development. Applicants are, therefore, required to plan and to undertake activities that may be accredited or non-accredited during their training. This is referred to as Initial Professional Development (IPD) to distinguish it from post-registration Continuing Professional Development (CPD) that is performed to maintain professional registration.

Training outside the Republic of South Africa

6.14. Applicants who received their practical training in engineering work abroad will be considered in accordance with the principles and requirements contained in this Policy Statement.

Obligations on attaining professional registration

6.15. Once an applicant is registered in a professional category, the Act and the ECSA policy on renewal of registration impose several obligations on the person.


- (a) The ECSA Code of Conduct applies, as would any ECSA-approved code of practice. This includes the requirement that persons must work within the limits of their competence.
- (b) The registered person is subject to CPD requirements (See ECSA Rules: Continuing Professional Development and Renewal of Registration).
- (c) Annual fees must be paid.

7. APPLICATION FOR REGISTRATION

7.1. Section 19(1) of the Act requires a person wishing to register to submit an application and evidence of competence using the prescribed form. Applicants must provide their history of education, training and experience.

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7.1.1. An application for registration as a professional must demonstrate evidence of competence in the required form.

7.1.2. Applicants must make the declaration that

- (a) if registered, they are subject to the ECSA Code of Conduct;
- (b) they are subject to the requirements to renew registration in terms of the ECSA Rules and the CPD) requirements if registered in a professional category; and
- (c) they are not subject to any of the conditions listed in Section 19(3) of the Act.

7.2. The process of applying for registration as a candidate or as a professional is detailed in document **R-03-P**.

7.3. A person who is registered as a candidate in the relevant category may submit an application for professional registration, allowing for the normal minimum period of training and experience listed in Schedule 4.


7.4. A person who is not registered as a candidate but who claims to meet the educational requirement by mechanisms (i) or (ii) in Section 3.4 may apply for recognition of educational achievement within the application for professional registration.

7.5. A person who is not registered as a candidate but who claims to meet the educational requirement by mechanisms (iii) or (iv) in Section 3.4 is required to apply for evaluation of educational achievement prior to submitting an application for professional registration.

7.6. Persons who seek professional registration with the ECSA in terms of an international register agreement must demonstrate in an interview that they are proficient at a level appropriate to professional practice, have knowledge of legislative and technical conditions applicable to their field of practice in South Africa, have language proficiency adequate for practice in South Africa and meet any other requirements specified in terms of the applicable international agreement.

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8. POLICY AND PROCESS FOR ASSESSMENT OF COMPETENCE

8.1. All applicants must provide evidence of competence from their work, irrespective of the development pathway followed towards registration. Failure to provide evidence or information may result in refusal of the application. This requirement is only waived if international agreements entered into by the ECSA provide for the recognition of competence and include educational achievement determined by another signatory.


8.2. Competency of an applicant for registration must be assessed by a process of peer judgement using this policy and the process defined in document **R-03-P** and other related documents. The assessment process must determine whether or not the applicant has provided evidence of competence against each outcome prescribed in the competency standards for the category (the prescribed standards) in order to make an integrated judgement of the applicant's competence.

Table 1: Summary of authority and functions (informative)

Responsibility	Committee
Evaluate Engineering Qualifications	Qualification Evaluation Working Group (QEWG)
Evaluate Technology Qualifications	Qualification Evaluation Working Group (QEWG)
Consider applications and recommend	Moderator
Approve registration of successful applicants	Moderator
Approve the abeyance of an application	Moderator
Recommend refusal of professional registration	Moderator
Recommend refusal of candidate registration	Moderator
Review the appointment of Assessors/Reviewers/Moderators	Central Registration Committee
Refuse registration as a professional	Central Registration Committee
Refuse registration as a candidate	Administration

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Consider appeals against registration decisions	Council
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8.3. The relevant Assessors and Reviewers are designated as the persons responsible for assessing the competence of an applicant for a category or discipline within a category. The assessments completed by the Assessors and Reviewers for an application for registration as a professional must be moderated depending on the discipline into which the educational qualification and work experience of the applicant principally falls.

8.4. The assessment process must satisfy Section 33 of the Constitution of the Republic of South Africa, namely, it must be lawful, reasonable and procedurally fair, and if registration is kept in abeyance or refused, written reasons must be given. The process must be transparent to applicants. Assessors/Reviewers/Moderators are expected to declare any conflict of interest and where such conflict exists, recuse themselves from the process.


8.5. The members of each assessment pool are appointed peers in the relevant category and discipline and are delegated the function of assessing the competence of applicants. These Assessors/Reviewers/Moderators appointed by Administration to the appropriate panel must fulfil the following:

(a) Assessors

- (i) Be registered with the ECSA in an appropriate category and discipline
- (ii) Have contextual knowledge in the area of the applicant's offered evidence
- (iii) Be skilled in the method of competency-based assessment to the satisfaction of the CRC
- (iv) Have no charges of misconduct and have not been found guilty of any offence
- (v) Have not been refused registration on any ground stated in Section 3(i-vi) of the Act
- (vi) Have not had their registration cancelled as contemplated in Section 20 of the Act
- (vii) Have complied with all the ECSA CPD requirements
- (viii) Have complied with all the ECSA registration requirements as a professional
- (ix) Have attended and completed the ECSA prescribed/organised Assessor training

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(b) Reviewers


- (i) Be registered with the ECSA in an appropriate category and discipline
- (ii) Have contextual knowledge in the area of the applicant's offered evidence
- (iii) Be skilled in the method of competency-based assessment to the satisfaction of the CRC.
- (iv) Have no charges of misconduct and have not been found guilty of any offence
- (v) Have not been refused registration on any ground stated in Section 3(i-vi) of the Act
- (vi) Have completed the ECSA Assessor/Reviewer/Moderator training
- (vii) Have not had registration cancelled as contemplated in Section 20 of the Act
- (viii) Have complied with all the ECSA CPD requirements
- (ix) Have complied with all the ECSA registration requirements as a professional (Must have observed three reviews/interviews conducted by experienced and ECSA-approved Reviewers)
- (x) Declared competent and signed off by three lead Reviewers as competent of conducting independent reviews/interviews

(c) Moderators

- (i) Be registered with the ECSA in an appropriate category and discipline
- (ii) Have contextual knowledge in the area of the applicant's offered evidence
- (iii) Be skilled in the method of competency-based assessment to the satisfaction of the CRC
- (iv) Have no charges of misconduct and have not been found guilty of any offence
- (v) Have not been refused registration on any ground stated in Section 3(i-vi) of the Act
- (vi) Have completed the ECSA Assessor/Reviewer/Moderator training
- (vii) Have not had registration cancelled as contemplated in Section 20 of Act
- (viii) Have complied with all the ECSA CPD requirements
- (ix) Have complied with all the ECSA registration requirements as a professional
- (x) Have conducted 10 assessments
- (xi) Have conducted 10 Professional Reviews (PRs)

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Screening of applications

8.6. On receipt of an application with supporting documents that include referees' reports, the application must be screened for administrative completeness by a designated staff member. After screening, *one* of the following actions is taken:

8.6.1. Refer the application for EA as defined in sections 8.8 to 8.10

8.6.2. Request further information from the applicant

8.6.3. In cases where the applicant fails to provide the requested information, refer the application for moderation and recommend refusal of the application to the CRC

Process of Assessment of Competence

8.7. A single process is used for the assessment of an applicant's competence for registering as a professional.

(a) Stage 1: The Experience Appraisal (EA) is a documentary assessment of the applicant's evidence of competence. The appraisal includes records of training and experience, records of IPD activities and an engineering report to determine whether or not evidence presented indicates that the applicant has achieved the level of competence specified in the prescribed standard for the category through evidence from work. Indications of competency from the EA stage must be confirmed at the PR.

(b) Stage 2: The PR is an integrative assessment of the applicant's competency and the professional attributes specified in the standard for the category through a comprehensive review of the applicant's evidence and an interview.

Process for conducting the Experience Appraisal and Professional Review


Experience Appraisal

8.8. The EA must be conducted by no less than four Assessors selected from the Pool of Assessors, as defined in Section 8.5(a).

8.9. Each Assessor for the EA must rate the evidence provided by the applicant against the prescribed standard for the category and formulate an integrated judgement of the

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competence of the applicant. Each Assessor must make a recommendation regarding *one* of the following:

8.9.1. The applicant has provided evidence indicative of competence against the prescribed standard. An Assessor may identify issues relating to particular criteria, which are confirmed or assessed further during the PR.

8.9.2. The applicant has not provided evidence indicative of competence against particular criteria in the prescribed standards. The Assessor may indicate that

- (a) it is feasible for the applicant to take steps to obtain the outstanding evidence of competency within a period of 12 months; or
- (b) further information is required from the applicant, and this should be elicited through written communication and only where necessary through an interview.

8.10. On completion of the EA, the Panel of Moderators receives the original application and the reports of the EAs and must determine the course of action from the following:


8.10.1. If no less than three Assessors recommend as indicated in Section 8.9.1 and no more than one recommends as indicated in Section 8.9.2, the Panel of Moderators must refer the application to proceed to the PR.

8.10.2. If more than one Assessor recommends as indicated in Section 8.9.2, the Panel of Moderators must

- (a) keep the application in abeyance in terms of Section 8.18 and state reasons for the abeyance; or
- (b) refer the application to the CRC with the recommendation that the application be refused, stating the reasons for the refusal; or
- (c) consider any Assessors recommendations, direct or indirect, that the applicant be interviewed to ascertain additional information. After examining the interview report, the Panel of Moderators must determine the course of action:
 - (i) Refer the application to proceed to the PR
 - (ii) Keep the application in abeyance in terms of Section 8.18, stating reasons for the abeyance

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(iii) Refer the application to the CRC with the recommendation that the application be refused, stating reasons for the refusal

Professional Review

8.11. The PR must be conducted by no less than three Reviewers selected from the Pool of Reviewers, as defined in Section 8.5(b). Should a Reviewer withdraw from the PR within three days of the scheduled review, the PR may still be conducted but by no less than two Reviewers.

8.12. The professional Reviewers must submit individual reports and recommendations to the Panel of Moderators. The Panel of Moderators must consider the EA, the interview report (if an interview occurred) and the referee reports. The Reviewers may recommend *one* of the following:

8.12.1. The applicant has provided evidence of competence against the prescribed standard and should be registered.

8.12.2. The applicant has not provided evidence of competence against particular criteria in the prescribed standards and should not be registered for the reasons stated.

8.13. On completion of the PR, the Panel of Moderators receives the original application, the collated reports from the PR, the reports of the Reviewers and the referees from Administration and must make a determination:


8.13.1. In the case of referral of an application as indicated under Section 8.12.1, the Panel of Moderators must make a decision to register an applicant who has demonstrated competence against the prescribed standards.

8.13.2. If more than two Reviewers recommend as indicated in Section 8.12.2, the Panel of Moderators must

- (a) recommend that the CRC should refuse registration, stating the reasons for refusal; or
- (b) refer the application back for consideration by the parties appropriate to the case.

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8.14. The Panel of Moderators contemplating a decision under Section 8.13.2(b) may require an applicant to undertake an additional test or tests. Further tests may include oral presentations and essays written under examination conditions.

Experience Appraisal and Professional Review Moderation (Assessment Moderation)

8.15. The EA and the PR must be moderated by a panel of two Moderators.

8.16. The Moderators must be selected for each category and discipline from the Moderators Pool as defined in Section 8.5(c).

8.17. Moderators must moderate all abeyances from the EAs before replying to applicants.

8.18. The Panel of Moderators must moderate all recommendations refusing registration from the EAs and the PRs before forwarding these to the CRC for endorsement.

8.18.1. The Panel of Moderators must moderate all recommendations for either registration or refusal of registration from the PRs before approving or refusing to approve registration.

Abeyance

8.19. If an applicant for registration as a professional does not provide evidence of competence against part or parts of the prescribed competency standards during the EA stage, the application shall be considered a refusal.

8.20. However, if the Moderator considers it feasible for the applicant to obtain the necessary evidence to meet the outstanding requirements within 12 months, the ECSA will hold that application in abeyance for a period of 12 months.


8.20.1. The period of 12 months commences on the date of the communication informing the applicant of the abeyance and the reasons for the abeyance (Section 8.20.8).

8.20.2. The applicant must submit the required additional evidence within the stipulated 12 months.

8.20.3. No further fee is payable if the required evidence is submitted within the stipulated period.

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8.20.4. If the period of abeyance is exceeded, the applicant must make a new and complete application, pay the prescribed fee and provide evidence of competence against all requirements.

8.20.5. An applicant may be granted a further 12 months of abeyance through an application made prior to the expiry of the 12-month period and stating the grounds for the extension.

8.20.6. According to Section 8.20.5, an applicant whose application is under abeyance and who submits new evidence will be granted a once-only additional 12 months of abeyance without the possibility of a further extension.

8.20.7. An applicant may only benefit once from the concession indicated in sections 8.20.5 and 8.20.6.

8.20.8. When an application for registration as a professional in a category is kept in abeyance, the Panel of Moderators must identify the competency outcomes that have not been satisfied and formulate a deficiency statement that comprises written reasons for the abeyance of the application in terms of the prescribed standards applicable to the particular case.

Refusal

8.21. When an application for registration as a professional in a category is refused, the Panel of Moderators must identify the competency requirements that have not been satisfied and formulate a deficiency statement, that is, provide written reasons for refusal of professional registration in terms of the prescribed standards applicable to the particular case.


8.22. When an application for professional registration has been refused, the applicant may submit a new application for registration as soon as evidence of competence against all identified deficient outcomes is available.

Registration

8.23. The Date of Registration is the date on which Council, through the Panel of Moderators with delegated power to register for the specified category, made the decision to register the applicant. This date appears on original and replacement registration certificates.

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REVISION HISTORY

Revision Number	Revision Date	Revision Details	Revision Number
Rev. 1.0	25 Nov 2010		Council
Rev 1.1	17 March 2011	Editorial changes made after Council	Council
Rev. 1.2	11 Jan 2012	Change to Section 7.20.2	Council
Rev. 1.3	1 Aug 2012	Changes to Schedule 2, sections 4.6, 5.2 7.10, 7.11, 7.23 and 8.3	Council
Rev. 1.3	24 Nov 2012		Council
Rev. 1.4	11 July 2016	Changes to Schedule 1 and Section 5.5 Additions to cover Certificated Engineers and a re-write of Section 7	Council
Rev. 1.5	17 Nov 2016	Re-write of Policy for new Registration Assessment Model	Council
Rev. 1.5	24 Feb 2017	Re-write of Policy in line with new Registration Assessment Model	EXCO
Rev. 1.6	16 Mar 2017	Approved	Council
Rev. 1.6	2 May 2017	Minor Amendments to EA and PR	Working Group
Rev. 1.6	8 May 2017	Approved via round robin with minor amendments.	PDSGC
Rev. 1.6	18 May 2017	Approved	Council
Rev. 1.7	30 Jan 2018	Further amendments to EA and PR – Approved	PDSGC
Rev 2	15 March 2018	Approval	Council

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The Policy for:

Registration in Professional Categories

Revision 2 dated 15 March 2018 and consisting of 31 pages has been reviewed for adequacy by the Business Unit Manager and is approved by the Executive: Research, Policy and Standards (RPS).



 Business Unit Manager

14/02/2019

 Date



 Executive: RPS

15/02/2019

 Date

This definitive version of this policy is available on our website.