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GOVERNMENT NOTICES

No. 401   **11 May 2001**

SOUTH
AFRICAN
QUALIFICATIONS
AUTHORITY

Established in terms of Act 58 of 1995

Announcement of Intention to Accredit the Sector Education and Training Authority for Secondary Agriculture (SETASA)

The South African Qualifications Authority (SAQA) hereby notifies the public that it intends to accredit the Sector Education Training Authority for Secondary Agriculture for the following designated trades inherited from the former ITBs, namely Training Board for the Grain Co-operative Industry and Sugar Miling and Refining Industry Artisan Training Board:

1.	Automotive Mechanic	Level 4
2.	Electrician	Level 4
3.	Fitter	Level 4
4.	Instrument Mechanic	Level 4
5.	Plater/welder	Level 4
6.	Turner	Level 4
7.	Millwright	Level 4
8.	Fitter and Turner	Level 4

from the 1 July 2001 to 30 June 2004 in terms of Section 2 (1) of the Education and Training Quality Assurance Regulations (Government Gazette No. 19231 published on 8 September 1998).

Objections to such accreditation must be lodged with the Executive Officer of SAQA by the 8 June 2001.

The Executive Officer (ATT: Ms R. Rajab)
South African Qualifications Authority
Postnet Suite 248
Private Bag X06
WATERKLOOF
0145
Telephone: **(012) 482 0878**
Fax   **(012) 346 5814**
e-mail   **rrajab@saqa.co.za**

SAMUEL B.A. ISAACS
EXECUTIVE OFFICER

No. 402   **11 May 2001**

Established in terms of Act 58 of 1995

Announcement of Intention to Accredit the Police, Private Security, Legal and Correctional Services Sector SETA (POSLECSETA)

The South African Qualifications Authority (SAQA) hereby notifies the public that it intends to accredit the (POSLECSETA) for the following qualifications registered on the National Qualifications Framework (NQF):

1.	Admissions to Attorneys' Practice by the High Court of South Africa	Level 7
2.	Admission as Conveyancer by the High Court of South Africa	Level 7
3.	Admission to Notarial Practice by the High Court of South Africa	Level 7

from 1 July 2001 to 30 June 2004 in terms of Section 2 (1) of the Education and Training Quality Assurance Regulations (Government Gazette No. 19231 published on 8 September 1998).

Objections to such accreditation must be lodged with the Executive Officer of SAQA by the 8 June 2001.

The Executive Officer (ATT: Ms R. Rajab)
South African Qualifications Authority
Postnet Suite 248
Private Bag X06
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SAMUEL B.A. ISAACS
EXECUTIVE OFFICER

SOUTH
AFRICAN
QUALIFICATIONS
AUTHORITY

NATIONAL QUALIFICATIONS FRAMEWORK

Established in terms of Act 58 of 1995

Guidelines for Education and Training Quality Assurance Bodies:

Establishing Criteria for the registration of Assessors

Discussion Document No. 2 for Public Comment

This document was approved for release as a discussion document for public comment at the SAQA Executive Committee meeting held on 2 May 2001.

Comments should be forwarded to:

**SAQA Office
Postnet Suite 248
Private Bag X06
WATERKLOOF
0145**

Attention: Ms J Matlaila

**Fax number: (012) 346-5814
or**

E-mail: jmatlaila@saqa.co.za

The **closing date** for comments is **8 June 2001.**
Submissions should be titled: *"Criteria for the registration of Assessors Discussion Document No. 2 for Public Comment"*

Public Comment document No. 2: May 2001

SOUTH
AFRICAN
QUALIFICATIONS
AUTHORITY

NATIONAL QUALIFICATIONS FRAMEWORK

Established in terms of Act 58 of 1995

QUALITY ASSURANCE AND DEVELOPMENT

Guidelines For Education And Training Quality Assurance Bodies

ESTABLISHING CRITERIA FOR THE REGISTRATION OF ASSESSORS

Public Comment document No. 2: May 2001

CONTENTS

REQUIREMENTS AND GUIDELINES FOR EDUCATION AND TRAINING QUALITY ASSURANCE BODIES

1.   INTRODUCTION

This document is a synthesis of information gathered from a variety of sources through internal research processes and consultation with various stakeholders. The initial draft consisted of a consultation process with selected individuals and organizations. It must be noted that the final document has been influenced by the generic assessor standards that were registered on the NQF in February 2001.

This document serves as a guide for Education and Training Quality Assurance bodies (ETQAs) to formulate criteria for the registration of assessors. ETQAs are required to register assessors for the standards and qualifications in the primary focus for which they have been accredited.

The registration of assessors is a means of ensuring that whoever assesses learner competence across all fields and economic sectors and at all NQF levels, meets a consistent set of criteria agreed by SAQA. This will ensure that all NQF registered standards and qualifications are assessed consistently, even though assessors will be registered with different ETQAs and the context of assessment will vary greatly according to the level and field of the qualification.

All assessment agencies and centres are expected to use registered constituent assessors of the appropriate ETQA, and all education and training providers will also be expected to use registered constituent assessors of the appropriate ETQA. ETQAs will refuse accreditation to providers of education and training and/or assessment if, after the agreed period, they still do not use registered assessors to conduct the assessment of learners.

Assessment is an integral element of learning facilitation and as such all facilitators of learning at all sites of learning, engage in assessment. In addition, some other individuals, such as line managers, may be trained and registered as assessors if appropriate in the context of specific qualifications and standards.

The register of assessors that each ETQA will maintain should consist of those individuals who have demonstrated the applied competence to assess learners for summative assessment that culminates in decisions regarding the awarding of

credits and/or qualifications. The rationale for such a register is to ensure the credibility of summative assessments in the NQF system, i.e. fairness, validity, reliability and practicality of assessments. It is also to ensure that individuals who make decisions about the competence of learners who will acquire credits and/ or qualifications, have the requisite knowledge, skills and experience for the specified NQF registered standards and qualifications to make such a judgement.

The guidelines herein are generic. They are intended for use by any ETQA regardless of sector. ETQAs are expected to use the guidelines to help them to establish sector specific and standard/qualification specific criteria. However, the ETQAs must comply with SAQA requirements which are generic for all assessors.

In appropriate circumstances, the registration of assessors can be delegated to providers, including providers of assessment such as assessment agencies and centres. Such delegation would, nonetheless, be governed by these guidelines and the SAQA requirements. In addition, SAQA should be notified of any such proposed delegation of ETQA responsibility and it reserves the right to refuse or allow such delegation.

2.   REQUIREMENTS

The requirements can be summarized as follows:

2.1 All registered assessors must have met the requirements of the generic assessor standard, and should be certified by the ETDP SETA or by the relevant ETQA in agreement with the ETDP SETA in this regard.

2.2 This requirement will be enforced from the end of 2004, by which time all assessors should be able to demonstrate competence against the new standard, either through participating in a training and assessment programme or through undergoing an RPL process. Once the system is fully operational, the status of certified assessors can be checked on the National Learner Records Database.

2.3 All registered assessors are registered to assess using specified standards and/or qualifications: the registered assessor must be able to demonstrate competence in relation to these specified standards and qualifications, at, or above, the level of the qualifications in question. The status of registered assessors can be checked on the appropriate ETQA database or website.

2.4 All registered assessors must have met any additional requirements laid down by their constituent ETQA. The status of registered assessors can be checked on the appropriate ETQA database or website.

3.   THE ROLE AND EXPERTISE OF ASSESSORS

The OBET system differs fundamentally from previous knowledge and inputs-based systems. It ensures that the learner, as opposed to the content or the curriculum, is at the centre of the learning. The following statement describes the desired change from the assessment practice in the past, to our present ethos of assessment:

> *Learning is no longer something that is 'done to' the learner, but something that the learner is actively involved in. As such, the **role of the assessor** has changed: from being a 'gate-keeper', who uses assessment to prevent learners from developing further, to a **supportive guide** who has the success of the learner at heart – so that the learner can gain access to further learning.*

It is in this changing context of assessment that many, sometimes diverse, assessor standards have been generated and revised over the last decade.

SAQA requires consistency of practice in relation to the assessment of NQF standards and qualifications. For this reason, NSB 05 agreed to establish and register an Assessor SGB in 1998 to develop generic assessment standards across all the NQF fields to replace the number of emerging field specific assessment standards. These core learning standards would comprise the generic competencies required for the practice of assessment across the twelve organizing fields of the NQF, and at all levels. Once registered, they should be incorporated, along with fundamentals and elective learning components, within field specific qualifications.

It is understood that other SGBs might add requirements in terms of the assessor's role in various qualifications.

For example, they might place a greater emphasis on formative developmental assessment not linked to credits or qualifications on the NQF. However, it is also understood that the generic assessor standard would become the basic MINIMUM requirement for all assessments leading to credits for standards or qualifications registered on the NQF.

The brief of the SGB was to:

1. Collate the various assessor standards that have been developed across the twelve organizing fields to identify the generic competencies embedded within them [Regulation 24(1)(e)].
2. Investigate the appropriate NQF levels at which standards for assessors might be generated [Regulation 24 (1) (e)].
3. Generate standards for assessors.
4. Liaise with all other SGBs in the field involved in generation of standards [Regulation 24(1) (a) & (e)].
5. Recommend the standards generated in no. 3,above, to the quality Assurance Division of SAQA for consideration towards the development of criteria for the registration of assessors.
6. Recommend the standards generated in no. 3, above, to the NSB [Regulation 24 (1)(c)].

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

At the same time, three other generic assessment standards, which are not minimum requirements for registered assessors, were also registered. These are *'Moderate assessment'*, *'Verify the moderation of assessment'* as well as *'Design and develop assessments'*.

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

The generic assessor standard is attached to this document in Appendix A.

3.1 Criteria included in the Unit Standard or Qualification being assessed

In many cases, the unit standard stipulates that *"a standard or qualification must be assessed by a registered assessor"*. Therefore, it is important that any stipulation made in an NQF registered qualification or standard must be recognized and adhered to when constituent assessors for that standard or qualification are registered.

3.2 Additional criteria to be considered in relation to the registration of constituent assessors

Once an ETQA is satisfied that a prospective assessor has achieved the required standard: *'Plan and conduct assessment of learning outcomes'*, the question may be asked as to what other expertise is required before registration. This will indicate the parameters within which the ETQA may wish to register their constituent assessors.

The responsibilities of assessors clearly indicate the minimum level of expertise expected of assessors. The expertise needed is the following:

3.2.1 Subject Matter Expertise

SAQA requirements state: 'the registered assessor must be able to demonstrate competence in relation to the specified standards and qualifications, at, or above, the level of the qualifications in question'.

However, the exact requirements must be decided by the ETQA in relation to assessments within its primary focus.

For example:

- o Is it sufficient for an assessor to have a qualification at the SAME level as the one being assessed?
- o Can an assessor with a qualification in a particular sub-field assess in related field?

These questions can only be answered by the appropriate ETQA in discussion with providers, assessors and learners in the sub-field in question. Experience suggests that it is comparatively easy to agree on these criteria once the focus is on a specific set of standards and qualifications at specified levels.

Public Comment document No. 2: May 2001

The following comments may guide ETQAs in deciding what, if any, additional expertise is required over and above the SAQA requirements.

Assessors must have proficiency in the subject matter of the discipline or learning area in which the standards and qualifications they are responsible for falls. The assessor should have either the same qualification as the one that is being assessed, or a qualification in the same 'family' as the one being assessed. ETQAs need to define what the acceptable "family" is for their qualifications. In some cases however, assessors must have the actual qualification they are assessing - this is especially true for occupations in which lives are at risk. In some cases, ETQAs may wish to insist on a qualification at least one level above the one they are assessing. This is usually the practice in formal academic qualifications up to level 7.

Assessors should also demonstrate in-depth knowledge of the specific standards and knowledge as obtained in the following areas of expertise, that is, assessors should have both occupational and contextual expertise in their field of assessment.

3.2.2 Contextual Expertise (including Occupational Expertise)

Assessors should:
   a. Know exactly what is expected of the learners by way of standards which the learners have to meet
   b. Have cross-field knowledge but remain subject-matter and/or occupational experts
   c. Understand what forms of assessment are appropriate to their discipline/field and to the NQF level being assessed.
   d. Have relevant occupational qualifications.
   e. Understand the 'language' of the field they are assessing, i.e. both the technical terminology as well as the ways of thinking and doing that are required of them to be competent as assessors.
   f. Keep in contact with developments in their field.
   g. Regularly ask learners for feedback on assessment in order to constantly monitor and improve their (assessors') practice
   h. Know the curriculum and trainers through regular contact and provide trainers with detailed feedback
   i. Take language factors into consideration when conducting assessments, using interpreters
   j. Ensure that learners are clear about what is expected of them
   k. Treat learners with respect and sensitivity
   l. Demonstrate a broad understanding of outcomes-based forms of assessment and the NQF

m. Ensure that the relationship between the learner and assessor during the assessment is conducive to the assessment

n. Understand their own role within the broader quality assurance system and keep up to date in related fields of study

o. Ensure that the environment for assessment is conducive to assessment

p. Demonstrate that they are competent to deal with the following: assessment environment, assessment instrument and assessment system.

q. Know how to provide feedback on the standards and qualifications to relevant standard-setting bodies

r. Should have expertise in the specific learning area and generic knowledge in other related learning areas for integrated assessment practice.

3.2.3 Education, Training and Development (ETD) Expertise

Again, the exact requirements must be decided by the ETQA in relation to assessments within its primary focus.

For example:

o How many years experience is necessary in particular sub-fields in addition to the required generic assessor standard and the field qualification?

o Does the assessor in this particular context need any ETD expertise which is not covered by the standard 'Plan and conduct assessment of learning outcomes'?

3.2.4 Planning, Administrative and Management Skills

Assessors need to demonstrate that they have relevant planning, administrative and management skills. They need to demonstrate that they can manage and utilize basic information systems to ensure that the applicable administrative and reporting requirements are reliable, efficient and secure.

Assessors should also conduct themselves with integrity and ensure that learners are aware that they have recourse to the appeal system.

These skills and values are integral to the generic assessor standard required by SAQA, therefore no additional criteria need to be included.

Public Comment document No. 2: May 2001

3.2.5 Interpersonal Skills

It is important for assessors to have appropriate interpersonal skills and to communicate effectively with learners. The assessor needs to establish a trusting relationship with learners - not only to perform optimally during assessment, but also to assure the learners that the assessor has their interests at heart, i.e. that:

    a. The assessment is fair

    b. The assessor acts with integrity

    c. The assessor maintains confidentiality

    d. The assessment is conducted according to the principles of a good assessment and the requirements of the standard and qualification.

These skills and values are integrated into the generic assessor standard required by SAQA, and no additional criteria should normally be needed. It is virtually impossible for ETQAs to evaluate assessors' interpersonal skills, but providers should note that such qualities might be considered in the selection of candidates for assessor training.

It must be emphasized that the criteria for the registration of assessors must refer directly to applied competence of the assessor within the sector. Provision must be through providers accredited by the ETDP SETA or by another ETQA in agreement with the ETDP SETA, in keeping with the NQF principles of access and transparency. Sector-specific criteria additional to the generic assessor standard must be made publicly available to all potential providers.

4. SUMMARY OF RECOMMENDATIONS TO ETQAs IN RELATION TO CRITERIA TO BE APPLIED BEFORE THE REGISTRATION OF ASSESSORS

4.1 Criteria for the registration of constituent assessors must include the SAQA requirements.

4.2 Additional criteria imposed by the ETQA should take into account the areas of expertise identified above, as appropriate.

4.3 The ETQA should develop a strategy for implementation which identifies elements critical for the short-term and those that can be put in place in the medium and long-term.

4.3 ETQAs should decide on the period of registration of an assessor and have mechanisms to review the assessor's registration at the end of the stipulated period.

Public Comment document No. 2: May 2001

Assessors are registered by the relevant Education and Training Quality Assurance body and can be de-registered if they do not comply with the ETQA requirements.

5. RECOMMENDATIONS IN RELATION TO ETD PRACTITIONERS AS ASSESSORS, AND THOSE ASSESSORS WHO ARE NOT ETD PRACTITIONERS

For SAQA, all practitioners who will be responsible for the assessment of the achievement of learning outcomes leading to qualifications and standards registered on the NQF should, over a period of four years, become certificated assessors and registered constituent assessors for specified qualifications and/or standards.

SAQA is of the view that the term 'assessor' can refer to both practitioner-assessor and an assessor who is not a practitioner. The notion of the education and training practitioner being both the learning facilitator and assessor means that teachers, lecturers and trainers who traditionally have administered assessment in addition to facilitating learning should become registered constituent assessors for specified standards and qualifications once they have met all the necessary criteria.

The new standards for all ETD practitioners will in future incorporate the generic assessor standard, and qualified practitioners in the future will be automatically listed on the NLRD as having achieved this standard. Thereafter they will have to meet any additional requirements put in place by the relevant ETQA (for example, criteria relating to experience) in order to become registered constituent assessors for particular standards and/or qualifications.

SAQA also provides for, on the basis of negotiation among the parties involved, the inclusion of other persons in the assessment process such as workplace supervisors, managers and experienced colleagues or team leaders. The management of their assessment can be included in the overall management and maintenance of an assessment system. Therefore, not every person contributing to assessment needs to be a registered assessor, but a registered assessor needs to coordinate and manage the assessment of a particular learner and take

responsibility for the integrity of any testimonies included from non-registered assessors.

In some instances the assessor may be a different person from the learning facilitator. The assessor in this instance would need to be a registered assessor for the qualification or standard being assessed.   People without ETD qualifications seeking registration as an assessor will have to achieve the assessor standard as a pre-requisite to applying for assessor registration if it is not included in their qualification.

There are cases where general qualifications have specific occupational requirements in particular contexts. Usually this has the implication that the full qualification of the learner cannot be assessed by one assessor. Arrangements for joint assessment would have to be made. All assessors in this instance would need to be registered as assessors.

The persons that can be assessors are listed below:

- trainers / teachers / lecturers
- colleagues / peers
- supervisors
- managers
- designated workplace assessors
- external assessors – external to the learning site, be it the workplace or provider of learning.

5.1 Summary of recommendations regarding practitioner-assessors and other experienced assessors

There is a period of four years (from May 2001) for training against the generic standard 'Plan and conduct assessment', before the use of registered assessors becomes a requirement for all assessments leading to credits or qualifications registered on the NQF. Once this requirement is implemented, providers, assessment agencies and centres must use registered constituent assessors from the appropriate ETQA. If not, the assessments will not be recognised by SAQA.

DEFINITION OF TERMS

1. **"Assessment"** means the process of collecting evidence of learners' work to measure and make judgments about the achievement or non-achievement of specified National Qualifications Framework standards and/or qualifications

2. **"Assessor"** means the person registered by the relevant Education and Training Body in accordance with the criteria established for this purpose by a Standard Generating Body to measure the achievement of specified National Qualifications Framework standards and/or qualifications, and "constituent assessor" has a corresponding meaning

3. **"Education and Training Quality Assurance Bodies"** means a body in terms of Section 5(1) (a) (ii) of the SAQA Act, responsible for monitoring and auditing achievements in terms of national standards or qualifications, and to which specific functions relating to the monitoring and auditing of national standards and/or qualifications have been assigned in terms of section 5 (1) (b) (i) of the SAQA Act

4. **"Facilitator of learning and assessment"** means an individual who facilitates learning processes and activities and manages and administers assessment. This concept includes educators, trainers, mentors, etc

5. **"Learner"** means an individual who is participating in a learning programme with the purpose of achieving credits for standards and qualifications

6. **"Moderation"** means the process which ensures that assessment of the outcomes described in the National Qualifications Framework standards and/or qualifications is fair, valid and reliable and "Verification" has a corresponding meaning

7. **"Moderator"** means the person who moderates assessments

8. **"Registration"** means the process which ensures that the person who assesses learner competence has the requisite criteria recommended by Standard Generating Bodies (SGBs) for specified NQF registered standards and/or qualifications

9. **"Registered constituent assessor"** means an assessor who has met the requirements for registration as an assessor of specified NQF

qualifications and/or standards and has been registered by the ETQA under whose primary focus the standards and qualifications fall.

10. **"Standard Generating Body"** means a body registered in terms of Section 5 (1) (a) (ii) of the SAQA Act, responsible for establishing education and training standards or qualifications, and to which specific functions relating to the establishing and /or qualifications have been assigned in terms of Section.

11. **"Validation"** means the overall process by which it is determined by an ETQA whether or not an assessment is valid (has succeeded in assessing what it claims to have assessed); and leading to the acceptance or rejection of assessment results – it can include a range of validation options, for example, verification, statistical analysis, examination of the assessment instrument, sampling of evidence of applied competence, observation of processes, site visits or interviews.

12. **"Verification"** means the process managed by an ETQA for externally verifying (checking) moderation processes and confirming or overturning moderation findings

13. **"Verifier"** means the person who verifies the moderation process

APPENDIX A

TILLE:

PLAN AND CONDUCT ASSESSMENT OF LEARNING OUTCOMES

SAQA LOGO

UNIT STANDARD LEVEL	5
CREDITS	15
FIELD	Education, Training and Development
SUB-FIELD	All ETD sub fields
ISSUE DATE	
REVIEW DATE	

PURPOSE

This generic assessor unit standard is for people who assess or intend to assess candidates against unit standards and/or qualifications. People who have achieved this unit standard will be able to conduct assessments within their fields of expertise in line with the *Criteria for the Registration of Assessors*. This unit standard will contribute towards the achievement of a variety of Education Training and Development Practices and Human Resource Development related qualifications.

People credited with this unit standard are able to assess learner performance against standards and qualifications registered on the NQF, using pre-designed instruments. This will be carried out in a fair, valid, reliable and practicable manner that is free of all bias and discrimination, paying particular attention to the three groups targeted for redress: race, gender and disability. In particular, people credited with this unit standard will have achieved the following specific outcomes:

- Plan and prepare for assessment
- Prepare candidates for assessment
- Conduct assessment
- Evaluate and record evidence and make assessment judgements
- Provide feedback to relevant parties
- Review assessment

LEARNING ASSUMED TO BE IN PLACE

The credit calculation is based on the assumption that learners have no previous assessment experience when starting to learn towards this unit standard. It is further assumed that the candidate is able to analyse and interpret unit standards and qualifications. Although it is not a requirement, it is recommended that those intending to achieve the unit standard "Design assessment instruments and guides", should do so before attempting this unit standard.

RANGE STATEMENT

This is a generic assessment unit standard, and candidates can be assessed within any field of learning in line with their subject matter expertise. For the purposes of assessment of this unit standard, candidates should have **access to pre-designed assessment instruments.**

Further range statements are provided in the body of the unit standard where they apply to particular specific outcomes or assessment criteria.

SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA

SPECIFIC OUTCOME 1: Plan and prepare for assessment

RANGE:
This outcome includes the requirement to:
- *Plan and prepare for assessment following formal and informal learning processes and for situations involving recognition of prior learning (RPL)*
- *Plan and prepare for situations that require special needs of candidates to be considered*

Planning and preparation is to be carried out in situations where there is access to relevant organisational assessment policies and a range of pre-designed assessment instruments from which a selection can be made.

Assessment Criteria

1.1   Plans address all the assessment requirements of the unit standards or qualifications to be addressed.
Range: assessment requirements include performance to be assessed, types of evidence to be collected, assessment methods to be used, timing of assessment, resources required, sequence of activities, accountabilities, deadlines and arrangements for reviewing assessment plan.

1.2   Planning addresses the need for cost-effectiveness and takes into account the results of previous assessments, special needs of candidates, the assessment context, the accessibility and safety of the environment and contingencies.

1.3   The assessment activities, instruments and resources selected are appropriate to the outcomes to be assessed and the assessment candidates, and have the potential to enable valid and sufficient evidence collection.

1.4   Assessment documentation is prepared to facilitate efficient and effective assessment and recording of information. The documentation provides all details of the assessment process needed to ensure fair, open, reliable and consistent assessment.
Range: Details include instructions to candidates, assessors and other relevant parties.

1.5   Potential unfair barriers to achievement by candidates are identified and plans are made to address such barriers without compromising the validity of the assessment.
Range: Unfair barriers could relate to issues such as language or disabilities.

1.6   Required physical and human resources are ensured to be ready and available for use. Logistical arrangements are confirmed with relevant role-players prior to the assessment.

1.7   Provision for moderation is made in accordance with relevant assessment policies and ETQA requirements.

1.8   A variety of assessment methods are described and compared in terms of strengths, weaknesses and applications.
Range: The description of methods should cover situations for gathering evidence of:
- *problem solving ability,*
- *knowledge and understanding,*
- *practical and technical skills,*
- *personal and attitudinal skills and values.*

SPECIFIC OUTCOME 2:   **Prepare candidates for assessment**

Assessment criteria

2.1   Assessment details are made explicit, in terms appropriate to the candidate's language level and in a manner that sets candidates at ease. Opportunities for clarification are provided and responses promote understanding of the requirements.
Range: Assessment details cover the purpose, process, expectations, roles, responsibilities and appeals procedures.

2.2   Clear explanations are provided to the candidate of the key elements and implications of standards-based assessment within the context of the NQF.

2.3   Checks are carried out to ensure candidates are ready for assessment. In cases where candidates are deemed to be not yet ready, actions taken are in line with assessment policies.

2.4   Opportunities are provided for input from the candidate on possible sources of evidence that could contribute to valid assessment. Modifications made on the basis of the inputs maintain and/or improve the validity of the assessment.

SPECIFIC OUTCOME 3:   Conduct assessment and document evidence

Assessment criteria

3.1 The environment and assessment practices are ensured to be conducive to effective, fair and safe assessment and where applicable, in line with recognised codes of practice and learning-site or work-site standard operating procedures.
Range: codes of practice could include personal, product and work-site health, safety and environmental practices, and current legislation.

3.2 The assessment is carried out in accordance with the assessment plan. The assessment approach is adapted as required by the situation, and unforeseen events are addressed without compromising the validity or fairness of the assessment.

3.3 Language and expressions used are at a level appropriate to the candidate and provide for clear understanding of what is required without leading candidates.

3.4 Questioning techniques are appropriate and have the potential to successfully elicit appropriate responses.

3.5 Sufficient evidence is gathered, including evidence generated over time, to enable valid, consistent and fair assessment judgements to be made.

3.6 The recording of evidence is sufficient for the purposes of making assessment judgements, giving meaningful feedback, moderation and possible appeals.

3.7 Key principles of assessment are described in terms of their importance and effect on the assessment and the application of the assessment results.

SPECIFIC OUTCOME 4:　　**Evaluate evidence and make assessment judgements**

　Range:　　*The ability to make assessment judgements must be demonstrated using diverse sources of evidence and in situations where:*
- *special needs of candidates need to be considered,*
- *candidates meet all criteria,*
- *candidates clearly do not meet the criteria,*
- *candidates meet some, but not all criteria, and*
- *more evidence is required in order to make a judgement.*

Assessment criteria

4.1 Evidence is evaluated for authenticity, validity and sufficiency.

4.2 The quality and type of evidence is evaluated in terms of the assessment outcomes, against all the assessment criteria in the relevant unit standard or qualifications.

4.3 The evaluation of evidence includes making allowances for contingencies beyond the control of the candidate without compromising the fairness or validity of the assessment.
　Range: Contingencies include unforeseen events, breakdowns and changed circumstances

4.4 Assessment judgements are justified by the quality and sufficiency of the evidence. Judgements can be substantiated in terms of the consistency and repeatability of the candidate's performance and evidence from various sources and time periods.

4.5 Evidence and judgements are stored in line with the Quality Assurance System used by the organisation.

SPECIFIC OUTCOME 5:   **Provide feedback to relevant parties**

Range:
- *Parties include candidates, educators, trainers, officials, managers and moderators as applicable to the situation.*
- *Evidence must be provided of the ability to give written and oral feedback.*
- *The ability to give feedback must be demonstrated in situations where:*
  - *special needs of candidates need to be considered,*
  - *candidates meet all criteria,*
  - *candidates clearly do not meet the criteria,*
  - *candidates meet some, but not all criteria, and*
  - *more evidence is required before a judgement is possible.*

Assessment Criteria

5.1.   **Feedback is given to relevant parties in accordance with confidentiality requirements, in an appropriate sequence and within agreed timeframes.**

5.2.   **Feedback focuses on the quality and sufficiency of the candidate's performance in relation to the agreed outcomes and criteria.**

5.3..   The type of feedback and manner of giving feedback is constructive and related to the relevant party's needs. Sufficient information is provided to enable the purpose of the assessment to be met, and to enable parties to make further decisions.
Range: Further decisions include awarding of credit and redirecting candidates to learning or re-assessment.

5.4   Feedback on the assessment process is obtained from the candidate and opportunities are provided for clarification and explanations concerning the entire assessment.

5.5   Disputes that arise are dealt with in according to the assessment policy.

5.6   Agreements reached and key elements of the feedback are recorded in line with organisational quality assurance systems.

5.7   Feedback processes and models are described in terms of the potential impact on candidates and further learning and assessment.

SPECIFIC OUTCOME 6:   **Review assessment**

Assessment criteria

6.1   The review identifies good and bad practice in assessment design and process, and notes these for incorporation in assessment redesign.

6.2   Feedback from relevant parties is used to influence future assessments positively.

6.3   Weaknesses in the assessment design and process that could have compromised the fairness of assessment are identified and dealt with in accordance with the assessment policy.

6.4   Weaknesses in the assessment arising from poor quality of unit standards or qualifications are identified, and effective steps are taken to inform relevant bodies.

ACCREDITATION PROCESS

- An individual wishing to be assessed, (including through RPL) against this unit standard may apply to an assessment agency, assessor or provider institution accredited by the relevant ETQA.
- Anyone assessing a learner-assessor against this unit standard must be registered as an *assessor of assessors* with the relevant ETQA.
- Any institution offering learning towards this unit standard must be accredited as a provider with the relevant ETQA.
- Moderation of assessment will be conducted by the relevant ETQA at its discretion.

NOTES

CRITICAL CROSSFIELD OUTCOMES

The following critical crossfield outcomes are addressed by this unit standard:
- Identify and solve problems using critical and creative thinking: *planning for contingencies, candidates with special needs, problems that arise during assessment, suggesting changes to assessment.*
- Work effectively in a team using critical and creative thinking: *working with candidates and other relevant parties during assessment, as well as post-assessment.*
- Organize and manage oneself and ones activities: *planning, preparing, conducting and recording the assessment.*
- Collect, analyse, organize and critically evaluate information: *gather, evaluate and judge evidence and the assessment process.*
- Communicate effectively: *prepare candidates for assessment, communicate during assessment, and provide feedback.*
- Demonstrate the world as a set of related systems: *understanding the impact of assessment on individuals and organisations.*
- Be culturally and aesthetically sensitive across a range of social contexts: *plan, conduct and give feedback on assessments in a culturally sensitive manner.*

ESSENTIAL EMBEDDED KNOWLEDGE

The following essential embedded knowledge will be assessed through assessment of the specific outcomes in terms of the stipulated assessment criteria. Candidates are unlikely to achieve all the specific outcomes, to the standards described in the assessment criteria, without knowledge of the listed embedded knowledge. This means that for the most part, the possession or lack of the knowledge can be directly inferred from the quality of the candidate's performance. Where direct assessment of knowledge is required, assessment criteria have been included in the body of the unit standard.

- Principles of assessment – *see assessment criterion 3.7*
- Principles and practices of RPL
- Methods of assessment - *see assessment criterion 1.8*
- Potential barriers to assessment
- Feedback models - *see assessment criterion 5.7*
- The principles and mechanisms of the NQF
- Assessment policies and ETQA requirements
- Moderation requirements

Public Comment document No. 2: May 2001

SUPPLEMENTARY INFORMATION

Definition of Terms:
- _assessment_ - a process in which evidence of performance is gathered and evaluated against agreed criteria.
- _performance_ - includes skills, knowledge, understanding and attitudes, and the ability to transfer these to new situations.
- _assessment criteria_ - state the type and quality of performance against which the candidate is assessed.
- _candidate_ - person whose performance is being assessed by the assessor.

Principles of assessment::

- _Appropriateness:_ The method of assessment is suited to the performance being assessed.

- _Fairness:_ The method of assessment does not present any barriers to achievements, which are not related to the evidence.

- _Manageability:_ The methods used make for easily arranged, cost-effective assessments that do not unduly interfere with learning.

- _Integration into work or learning:_ Evidence collection is integrated into the work or learning process where this is appropriate and feasible.

- _Validity:_ The assessment focuses on the requirements laid down in the Standard; i.e. the assessment is fit for purpose.

- _Direct:_ The activities in the assessment mirror the conditions of actual performance as closely as possible

- _Authenticity:_ The assessor is satisfied that the work being assessed is attributable to the person being assessed.

- _Sufficient:_ The evidence collected establishes that all criteria have been met and that performance to the required Standard can be repeated consistently.

- _Systematic:_ Planning and recording is sufficiently rigorous to ensure that assessment is fair.

- _Open:_ Learners can contribute to the planning and accumulation of evidence. Assessment candidates understand the assessment process and the criteria that apply.

- _Consistent::_ The same assessor would make the same judgement again in similar circumstances. The judgement made is similar to the judgement that would be made by other assessors.

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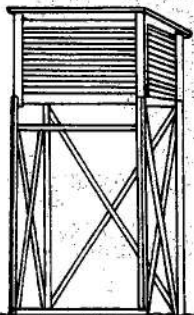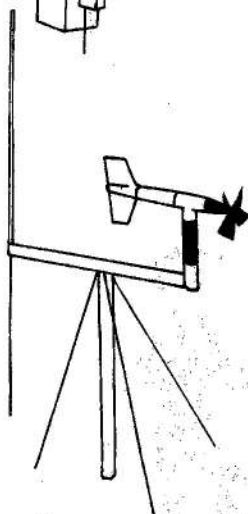
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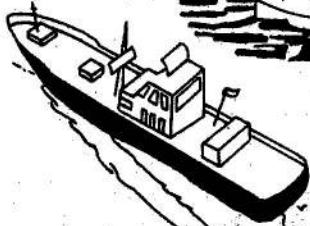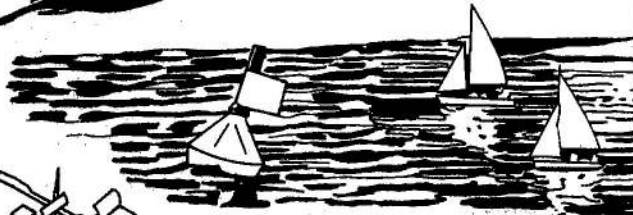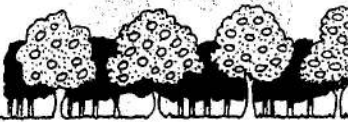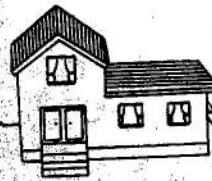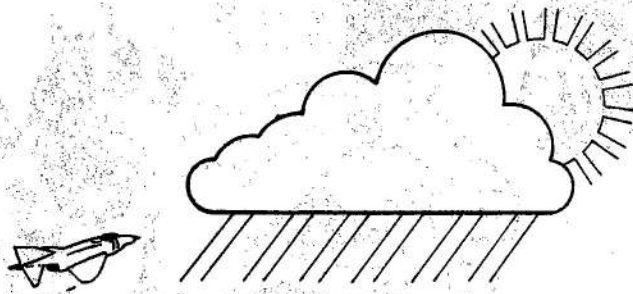
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