



**SERVICES SECTOR EDUCATION AND TRAINING  
AUTHORITY**

**ASSESSMENT POLICY and PROCEDURE**

## INTRODUCTION

The Education and Training Quality Assurance (ETQA) Regulations R 1127 under the South African Qualifications Authority (SAQA) Act no 58 of 1995, states that the accredited ETQA's must, "evaluate assessments and facilitate moderation among constituent providers, monitor provision by constituent providers, register constituent assessors for specified registered standards or qualifications in terms of the criteria established for this purpose and take responsibility for the certification of constituent learners".

This policy and procedure document is based on the above legislature mandate given to the ETQA's and intends to provide guidelines to SETQAA Accredited Provides, RPL and Assessment centers, Constituent Assessors and Constituent Moderators on good assessment systems, processes and practices. The document unpacks and provides guidelines on good assessment practices covering various forms of assessment, roles and responsibilities of registered constituent assessors in the assessment process/system, the assessment process itself and the link with SETQAA policy for moderation of assessments (QALA – G 002).

The document further explains the meaning and the use of certain terminology within the context of the Services SETA ETQA, which includes but not limited to, formative assessment, summative assessment, integrated assessment, final integrated assessment and recognition of prior learning etc.

The document assumes that the readers are familiar with Outcomes – Based Assessment, Outcomes – Based Education and Training, the National Qualifications Framework and the principles thereof, the principles of assessment: fairness, validity, reliability, practicability and authenticity and the underpinning knowledge on the overall assessment process. It should be noted that this assessment policy is formed on the basis of the NQF principles and objectives to ensure a lifelong learning system. To understand the overall picture and the base of this policy, readers and users must familiarize themselves with the objectives and principles of the NQF.

## PURPOSE OF THE POLICY

The Services Sector Education and Training Authority ETQA (here referred to as SETQAA) Assessment Policy aims to provide guidelines to all Accredited Providers of Education and Training, Constituent Assessors and Moderators, RPL and Assessment Centers and any other practitioners who are involved in the assessment process either directly or indirectly including Evidence Collection Facilitators (ECF) on assessment practices, systems and procedures in line with the National Qualification Framework Principles of Good Assessment.

## LEGAL BASIS AND SUPPORTING DOCUMENTS

This policy and procedure document is based the following legal framework:

- SAQA Act no 58 of 1995
- ETQA Regulations R 1127
- SAQA: The NQF and Quality Assurance guide (S B A Isaacs: May 2000)
- SAQA: Guidelines for Integrated Assessment
- SAQA: Guidelines for the Assessment of NQF registered Unit Standards and Qualifications (SAQA, 2001)
- Criteria and guidelines for ETQA's (SAQA publication date: October 2001)

## TERMINOLOGY

All terminology used in this policy/procedure bears implicit meaning as defined in the glossary of terms and acronyms on page 33 and 34 of this document.

## 1. ASSESSMENT POLICY STATEMENT

All Assessors conducting assessments against unit standards and or qualifications that are registered on the National Qualifications Framework that fall within the scope of the Services SETA ETQA to quality assure must be registered as Constituent Assessors<sup>1</sup> with the Services SETA Education and Training Quality Assurance (SETQAA).

All assessments conducted against such standards and or qualifications and lead to attainment/achievement of credits must take place under the auspices of a SETQAA Accredited Training Provider/s, Recognition of Prior Learning (RPL) and Assessment Centers and can only be conducted against unit standards and or qualifications that are current or within the 2 year teach out period in terms of its registration on the National Qualifications Framework (NQF). Assessment is not an event but rather a process within a broader training/learning system, therefore SETQAA shall not recognize any assessments or learner achievements that are conducted in isolation (i.e. not conducted within an accredited provider or RPL and Assessment Centre) whether or not they are conducted by a registered constituent assessor. It therefore is critical for the Training Providers and RPL/Assessment Centers to have clearly defined assessment policies and procedures, curriculum, assessment strategy, assessment guides for the learners and assessors, assessment plans and instruments, these must be submitted (evaluated by SETQAA during the accreditation process) to the ETQA for approval during programme endorsement and must have been approved or accredited by SETQAA prior to use.

All assessment practices leading to attainment/achievement of credits on SETQAA registered unit standards and or qualifications must comply with the requirements of the SETQAA as outlined in this policy/procedure document and the broad generic processes and principles of assessment as outlined in the SAQA guideline document<sup>2</sup>.

Providers/RPL and Assessment Centers must enroll learners and confirmation of registration/enrolment must have been issued by SETQAA prior to commencing with learning/assessment intervention<sup>3</sup>.

## 2. SUPPORTING DOCUMENTATION

The following documents support the implementation of this policy/procedure:

- Accreditation documents
- Assessor registration policy, procedure
- Assessor registration forms
- Certification policy
- Corporate Identity Guidelines
- Moderator Pack
- Assessment Strategy Design
- Assessment Guide Template
- Assessment tools

## 3. DEFINATION OF ASSESSMENT AND ASSESSMENT TYPES

3.1. **Assessment in general** – SAQA<sup>4</sup> defines assessment as a structured process for gathering evidence and making judgment about an individual's performance in relation to registered national standards and qualifications. The judgment of an individual's performance against the outcomes of the standards serves the purpose of ascertaining whether the individual is competent or not to be awarded such standards and or qualifications.

The SETQAA defines competence as the combination of practical, foundational and reflexive competence as defined or outlined in the registered unit standard and/or qualification. The assessment process in the context of the SETQAA registered standards and/or qualifications are based on criterion – referenced assessment.

To make the judgment on learner's competence the following forms of assessments form a critical component of the process and will be explored in detail in this document:-

- 3.2. **Formative assessment** – assessments that take place during the learning and teaching process. The formative serves the following purposes:
  - (a) Diagnose the learner's strengths and weaknesses
  - (b) Assist in the planning of future learning on the basis of the outcome of the diagnosis
  - (c) Provides feedback to the learner and the Assessor on progress
  - (d) Assists in making decision on whether the learners are ready for the summative assessment
  - (e) Is developmental in nature and does not serve the purpose of awarding credits or certificates.
  
- 3.3. **Summative Assessment** – assessments that take place usually at the end of the programme/ unit standard/ skills Programme/qualification etc, and serves the purpose of making judgment about the learner's competence for the purpose of awarding credits. The summative assessment can only take place when the Assessor and the learner agree that the learner is ready for assessment.
  
- 3.4. **Recognition of Prior Learning** – a process of recognizing knowledge and skills already attained by the learner for the purpose of granting access into the qualification/skills programme, (Or awarding credit against a registered unit standard/s or qualification) awarding credit/s during the learning process and or exit against a qualification/skills programme (awarding qualification/skills programme).
  
- 3.5. **Final Integrated Assessment** – various definitions of integrated assessment exist and have been documented in the guideline document on integrated assessment issued by SAQA. SETQAA adopts the definition that, "Integrated Assessment at qualification level is the assessment that focuses on the exit level outcomes of the qualification to ensure that learners can integrate concepts, ideas and actions across unit standards to achieve competence that matches the purpose of the qualification". In the context of the Services SETA, Final Integrated Assessment (FSA) is conducted at qualifications that are pegged at NQF level 4 and above.

The FSA primarily serves two purposes:

- (a) To check consistency, appropriateness and efficiency in the provision of learning on a particular qualification across providers.
- (b) To make the final competence decision at occupation level for certification purposes.

Assessment must be based on the SAQA pre-scribed Principles of Good Assessment.

#### 4. PRINCIPLES OF GOOD ASSESSMENT

- 4.1. Assessment is an integral part of the learning process and making judgments on learner's competence; therefore, the quality of assessment is critical in providing credible certification of competent learners. SETQAA acknowledges that the assessment results have a huge impact on personal, social and economic progression and mobility in the society. Therefore, to ensure credible assessments, and that correct and accurate decisions are made on learner's achievements, SETQAA is basing the assessment practices and systems on the "Principles of good Assessment" as prescribed by the South African Qualifications Authority.

These principles are:

- **FAIRNESS**
- **VALIDITY**
- **RELIABILITY**
- **PRACTICABILITY**

**FAIRNESS** – an assessment should not disadvantage the learners in any way or form. An unfair assessment includes:

- (a) Inequality of opportunities, resources and appropriate teaching and learning approaches in terms of acquisition of knowledge, understanding and skill.
- (b) Bias in respect of ethnicity, gender, age, social class and race in so far as that the assessment approaches, methods, instruments and materials do not take into account these difference. Assessors should be careful and respond objectively to the following common classic bias conditions often encountered during the assessment process: stereotyping, halo affect, Hawthorn effect etc.
- (c) Lack of clarity in terms of what is being assessed.
- (d) Comparison of learner's work with other learners, particularly in terms of diversity of learning styles, home language, values, gender, race and life experience.

**A fair assessment comprises of:**

- (a) Transparency – the learners are informed of the process, the evidence required and how the evidence will be judged against the set criteria.
- (b) A right to appeal – the provider must have a fair appeal's procedure, which must be communicated to the learners during the learner preparation and briefing phase and the grounds on which the learners may appeal must be clearly stated. Learners must sign an acknowledgement of being informed of their rights to appeal.
- (c) Re- assessment opportunities – the assessment process must afford learners the opportunity to be re-assessed on areas which they were found not yet competent on.
- (d) Necessary support, mentoring and coaching prior to re-assessment must take place.
- (e) Elimination of the conditions mentioned in 8.1.2 above.

**VALIDITY** – the assessment must measure what it intends to measure, whether its knowledge, understanding, subject content, skills, information, behavior etc. A valid assessment means that the procedures, methods, instruments and materials relate to the unit standard outcomes, assessment criteria and the range statements being assessed. The amount of evidence required from the learner must also be based or dictated by the above-mentioned criteria in order to make a valid judgment.

In order to achieve validity in the assessment, the Assessors must:

- (a) State clearly what the outcome/s being assessed is/are,
- (b) Use appropriate source of evidence
- (c) Use an appropriate assessment methodology
- (d) Select appropriate instruments of assessment that will measure the intended performance.

In essence, the assessment tools must be based or should take into consideration the specific outcomes, assessment criteria and range statements of the unit standards as the base, to determine the kind and amount of evidence required from the learner.

**RELIABILITY** – in the assessment context is about consistency. Consistency refers to the same judgment being made in the same or similar contexts each time a particular assessment for specified stated intentions is administered.

To ensure consistency and reliability in the assessment process, the result must not be influenced nor be perceived to be influenced by:

- (a) Biasness of assessor in terms of learner's gender, ethnic origin, sexual orientation, religion, like/dislike, appearance etc.
- (b) Different Assessors interpreting unit standards or qualifications inconsistently
- (c) Different assessors applying different standards
- (d) Assessor stress and fatigue
- (e) Insufficient evidence gathered by the Assessor
- (f) Assessor assumptions about the learner, based on previous good or bad performance.

It should also be considered that in order to avoid inconsistencies in judgment, Training Providers/ Assessors must ensure that each time an assessment is conducted, the same or similar conditions prevail and that the procedures, methods, instruments and practices are the same or similar. To ensure this, the Assessors should:

- ✓ Give clear, consistent and unambiguous instructions. This should be reflected in the assessment plan and the learner must sign to acknowledge that they understand what they will be assessed on and have been briefed on forms of evidence required and how that evidence will be judged.
- ✓ Be part of the assessment design and development process, meet to discuss various aspects of the assessment process and practice to ensure standardization of the process and eliminate different interpretations and applications on the same standards and qualifications within the same establishment.
- ✓ Be subject matter expert in their field
- ✓ Practicability – the assessment process must be cost effective and should take into consideration available financial resources, facilities, equipment and time. This component should form an integral part of the planning phase of the assessment process and alternatives must be explored without compromising the quality of assessment.

## 5. ASSESSMENT METHODOLOGIES AND TOOLS

- 5.1. To ensure a fair, valid, reliable and practicable assessment process, a variety of assessment methods and tools or instruments should be used to collect quality evidence required to make the assessment judgment. It should be noted that the design of the tools and instruments has a direct impact on the forms of assessment methods to be used and the evidence to be collected, therefore an incorrect tool or instrument will result in an incorrect methodology being applied and will also impact on the type and form of evidence collected from the learner, which might make the entire assessment invalid.

To avoid this, Providers must:

- ✓ Have the designers of assessment tools, guides and instruments trained against the ETDP SETA standard, "Design and develop outcomes based materials".
- ✓ Involve assessors and facilitators who will use the material in the development phase of the materials
- ✓ Ensure that the person who designs the materials or assessment instruments is him/herself a registered constituent assessor with SETQAA against the applicable registered unit standards and/or qualifications and preferably a moderator.
- ✓ The team involved in the designing of tools must fully understand and unpack the unit standard, its specific outcomes, assessment criteria, range statements, and any other important notes reflected on the unit standard to determine together what forms of evidence would the learner have to produce, what methods to apply and how the evidence will be judged and also to ensure that there are no different interpretations of

the S.O's, A.C's, CCFO and range statements amongst the Assessors and Internal Moderators.

- 5.1.1 Have the instruments moderated internally by a registered constituent moderator with SETQAA before they are used to conduct assessment.
  - 5.1.2 Ensure that the tools refer directly to the curriculum, assessment strategy, assessment guides for both the learners and the Assessors. These documents must be used as a base on which the instruments will be designed to ensure a link between the assessment practice and the overall curriculum.
  - 5.1.3 There should be a proper review mechanism in place for the assessment instruments and the SETQAA Accreditation division should be notified of such amendments.
  - 5.1.4 Feedback from Assessors and learners on the tools is taken into consideration and incorporated in the review process. The feedback must filter through to the Facilitators, curriculum designers etc.
  - 5.1.5 Ensure that instruments provide space for learner and assessor signatures and dates for authenticity purposes.
  - 5.1.6 It is critical that all the above-mentioned documentation is (provided to SETQAA Acc div during evaluation site visits for the purpose of accreditation) submitted to the SETQAA Accreditation division during programme approval so that they can be endorsed prior to use by the Provider.
- 5.2. Generally the following methodologies are applicable in the context of Services SETA qualifications:-
- 5.2.1 **Observation** – refers to observing the learner while he/she is performing a particular task in a real or simulated environment as per the requirements of the unit standard assessment outcome/criteria. An observation checklist must be developed and detailed evidence on what the learner was observed doing must be recorded in order to make a valid assessment decision on learner's competence. This will aid the assessor in the evaluation of evidence for judgment purposes; will ensure that both the internal and external moderators are presented with sufficient evidence in order to make a judgment on the assessment process.
  - 5.2.2 **Questioning** – refers to asking questions either orally or in writing. Questioning is more applicable in the assessment of the knowledge component and can be used to assess underpinning knowledge during the observation or product sampling process. Questioning can be used also in ensuring that the learner can apply the skill and knowledge in different contexts as outlined in the range statements or emergency situations suggested in the unit standard. Special care should be taken in how the questions are structured and ambiguity must be avoided. Special care during the designing of instruments must be taken into consideration particularly where the instruments will be administered to learners who have English as not the first language.
  - 5.2.3 **Product sampling** – refers to testing or evaluating something a learner has produced after the task has been completed. This method is generally applicable in the RPL process, where a learner presents evidence of skills and knowledge they have already acquired via various sources. The learner is guided on how to present the evidence and further interrogation via questioning is done to ascertain underpinning knowledge. The RPL process is explored in detail in the RPL Policy.
- 5.3. The importance and the design process of instruments have been explored in 9.1 above. Examples of assessment instruments that can be utilized are detailed below. Training Providers must use the unit standard specific outcomes, assessment criteria, range statements etc as a base on which to develop the instruments or rather as a measure of the validity of the tool and to ensure standardization across industries. Tools could include but not limited to:

- 5.3.1 **Assignments** – are recommended for integrated assessments i.e. where a lot of concepts or standards are assessed in one activity. An example of this could be for New Venture Creation context where learners are required to research a business concept, do a customer survey, do a budget for the business and write a business plan on the proposed business. Within this assignment, the following can be ascertained and assessed; written communication skills, research ability, numeracy (when compiling budget) etc.
- 5.3.2 **Oral test or questioning**
- 5.3.3 **Case study**
- 5.3.4 **Examination or written tests**
- 5.3.5 **Role-plays** – note that while learners are role-playing, the Assessor must collect evidence via observation and or questioning. Role-play can therefore not be used alone without supporting assessment methods.
- 5.3.6 **Simulation** – SETQAA permits simulation to be performed only in instances where it is completely impossible to gather natural occurring evidence in the real workplace. These include dangerous situations e.g., where learners have to be assessed performing first aid, extinguishing fire, evacuation procedures, dealing with suspicious individuals etc. When simulation is used in the assessment context, observation checklists and questioning that relates to the simulated activity should be completed and signed to prove authenticity by both the learner and assessor and this should be filed as evidence, particularly if this is used to make a competence judgment.
- 5.3.7 **Observation checklist** – an observation checklist is used where a learner is observed performing a particular task. These checklists must clearly contain the specific outcomes assessed, assessment criteria, evidence required and against which performance will be judged, section to record exactly what the learner did and a section to make judgment learner's performance/competence.

## 6. LANGUAGE IN THE ASSESSMENT PROCESS

- 6.1. The language needs of the learner must be taken into consideration during the designing phase of assessment instruments, development of assessment strategy, development of assessment guides and instruments, during the planning phase of an assessment as well as during the conduction of an assessment, bearing in mind the legislature requirements governing language in education within the South African context. Therefore, the Provider/Assessment and RPL Center will have to clearly state how they will address the language needs of learners in their ETD Quality Management Systems when submitting to SETQAA for accreditation.
- 6.2. Chapter 1, section 6 of the Constitution stipulates that: "the official languages of South Africa are Sepedi, Sesotho, siSwati, Tsivenda, Xitsonga, Afrikaans, English, isiNdebele, isiXhosa and isiZulu. Measures must be taken to elevate the status and advance the use of historically diminished status of indigenous languages. All languages must enjoy parity of esteem and must be treated equitably".
- 6.3. Chapter 2 of the Bill of Rights, Section 29, also stipulates that, "everyone has the right to receive education in the official language or languages of their choice in public education institutions, taking into account equity, practicability and the need for redress".
- 6.4. It therefore would be unfair to make an incorrect assessment judgment against the learner on the basis of language as this is in total contradiction with the South African law. However, special arrangements should be made to ensure that the requirements of the qualification regarding the language are not compromised.

- 6.5. The Training Provider's ETD QMS must clearly outline how they would deal with this component within their context.

## 7. THE ASSESSMENT PROCESS

The assessment process comprises of the following steps, which will be explored in detail for all forms of assessments discussed in point 7 page 4 – 7 above. The steps include the following:

- (a) Pre –assessment process (assessment preparation)
- (b) Conduct an assessment
- (c) Feedback
- (d) Review the assessment process

### (a) Pre- Assessment Processes

#### ✓ Assessment Designing and Development

- It is mentioned in the policy statement that assessment is part of a bigger system and therefore cannot be performed in isolation. Therefore, the following documents are essential and form the base on which the assessment will be designed, conducted and reviewed.
- Assessment policy – the Training Provider must have clear and precise assessment policies and procedures that detailed how the assessments will be conducted for a specific learning programme, in a specific context. The policy must also detail what the requirements will be in terms of persons responsible for the learning and assessment process as well as the development of the tools/instruments. The policy must further detail how the process will be aligned to ETQA requirements. The assessment policy must include the appeals policy and procedure for the learners to be able to appeal the assessment process and decision made by the Assessor should they find it to be biased and unfair. The Appeals policy and procedure must further detail the grounds acceptable and sufficient to be considered for the appeal. Further information on assessment policies can be obtained in the SSETA accreditation documents.
- Curriculum – when the industry identifies the need to develop a qualification, a curriculum is designed during the development phase of the qualification to ensure that the qualification addresses the identified industry needs in terms of the design, development of standards, development of learning materials and assessment guides and instruments. To ensure that there is no deviation to the original purpose of the qualification and that provider's materials and assessment instruments are aligned to this purpose, it is critical for training providers to align their curriculum for the learning programme they wish to deliver on to the qualification curriculum developed by SETQAA through Industry experts and SGB's. The curriculum will detail what to be taught, why it must be taught, how it will be taught, using which resources, when it will be taught, to who it will be taught, by whom, where it will be taught (the environment "workplace, classroom, simulated environment etc), how the learning outcomes will be assessed, by whom, when and how, using what in line with the original purpose of the qualification.
- On the basis of this, an assessment strategy must be developed, which unpacks in broad terms the assessment process specific to a particular learning programme. The assessment strategy then will form the basis of developing assessment guides for the Assessor and the learner. **See example attached.**
- The assessment strategy will inform the development of tools and methods to be used when conducting the assessment. This will ensure that the tools measure what they are intended to measure by the curriculum and their application can be mapped back to the broad curriculum. **See examples attached.**

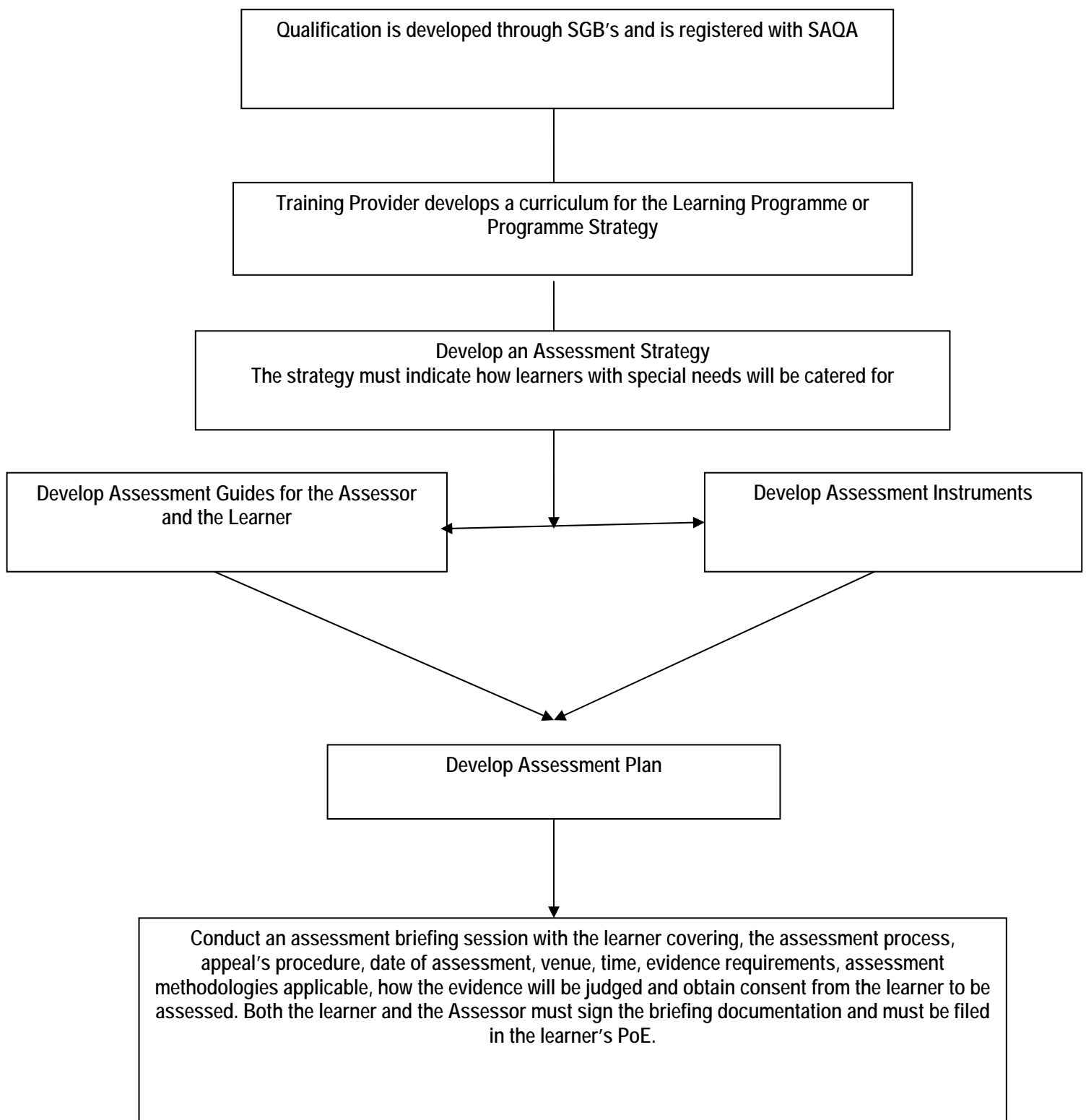
- Assessment Plan must be developed. The plan must have specific dates, time, venue, outcomes, criteria, evidence required, space for signatures etc. It must be noted that in a context of full qualifications and Learnerships, SETQAA does not accept assessment plans that are given to the learners in the beginning of the Learnership as part of a fair and transparent process. Assessment plans must be developed for each cluster of work that will be assessed together in an integrated manner and must be communicated to the learner during the learning process and when the learner is ready for assessment. **See example attached.**
- ✓ **Pre-assessment meeting/briefing with the learner**
  - Assessment is meant to be a fair and transparent process; therefore, it is important for the Assessor to hold a pre-assessment briefing meeting with the learner to detail the requirements of the assessment. The assessment briefing must be based on the learner assessment guide to ensure that there are no contradictions and to ensure that the process is linked to a bigger picture.
  - During the briefing, the Assessor must discuss with the learner the assessment process, assessment plan, appeals policy and procedure, details of assessment including time, venue, date, criteria, evidence requirements and how the assessment will be judged. **See learner-briefing tool attached.**
  - The briefing documentation must be completed and authenticated with signatures and dates and must be stored in section A of the Portfolio of Evidence.
- ✓ **Administration**

The Administrative requirements are governed by the Training Providers Quality Management Systems as approved during accreditation. This component includes learner enrolment forms, learner selection, record keeping, progress reports, assessment evidence, moderation reports etc. The Training Provider is therefore required to produce evidence during external moderation of how these records are kept and maintained. This section provides some guidelines on how administrative requirements can be handled by the Provider, Assessment/RPL Center etc.

To make the PoE user friendly, an index or table of contents indicating the various sections of the learner's PoE must be developed and placed on the front page of the PoE.

- The first section must include all the administrative documents such as enrolment
  - forms, Learnership contract, copy of learner's identity document, induction, proof of
  - Learner enrolment to the ETQA, appeals procedure, progress reports etc.
- The second section must include copy of the unit standard against which the assessment is based, evidence matrix,
  - Assessment plan for the unit of assessment,
  - Assessment instrument, actual assessment evidence produced by the learner,
  - Assessment judgment sheet, declaration of authenticity, feedback form for each unit of assessment conducted etc.

## DIAGRAMMATIC ILLUSTRATION OF THE PRE-ASSESSMENT PROCESS: Diagram 1



**(b) Conduct the Assessment**

The assessment must take place as per the agreement signed between the Assessor and the learner during the pre-assessment briefing session. It is important for the Assessor to note the following during the assessment:

- ✓ The environment in which the assessment is taking place must be non-threatening to the learner. It is preferable that assessment takes place in an environment, which the learner is familiar with.
  - ✓ Possible barriers must be identified and eliminated. These include but not limited to, noise etc.
  - ✓ Language and cultural needs of the learner must be taken into consideration during the assessment process.
  - ✓ The assessment must be guided and based on the brief given to the learner otherwise the assessment may be deemed unfair and invalid.
  - ✓ Where observation and or verbal questioning are used as assessment method/s, the assessor must record the evidence in detail on the appropriate tools in order to make a sound judgment.
  - ✓ Natural occurring evidence must be collected
  - ✓ The Assessor must where possible assess more than one outcome in an integrated manner.
  - ✓ Where an integrated assessment has been done, a matrix indicating the unit standards, specific outcomes, assessment criteria, range statements, critical cross-field outcomes covered in the activity must be developed and made available to assist in the evidence mapping.
  - ✓ The Assessor must support and guide the learners during assessment.
  - ✓ The Assessor must evaluate the evidence provided by the learner against the agreed criteria and make a judgment on learner's competence in a case of a summative assessment, RPL and Final Integrated Summative Assessment. In a case of formative assessments, learner's strengths and weaknesses must be determined and necessary intervention must be planned.
- (a) The Assessor must provide feedback to the learner on his or her performance and the next step must be determined and explained to the learner.
- (b) In an instance that the learner is deemed not yet competent, thorough feedback on areas of weakness must be provided to aid the learner in preparation for re-assessment, support and guidance must be provided which could include, training, coaching, mentoring etc. Re-assessment must take place in the same context and under the same conditions. The same instrument and methods should be used but the tasks should be changed. In an instance where the learner continues to be not yet competent regardless of assistance and re-assessment opportunities afforded to him/her, counseling is recommended to ascertain the reasons thereof and necessary guidance must be offered to the learner, which could include recommending another programme or field of study that might be best suitable for the learner.
- (c) The Assessor must submit the assessment records to the internal moderator for moderation.
- (d) If moderation upholds the assessments, the Provider must upload learner achievements onto the MIS disc or approved excel spreadsheet and upload to SETQAA.
- (e) An internal moderation report that talks to the learner achievements submitted must be submitted and must meet the minimum requirements of SETQAA as stipulated in the Moderation policy.
- (f) Assessment records must be kept for a minimum of 3 years to ensure that in a case where an appeal is lodged, records are still available. Also for External Moderation purposes performed by the SETQAA from time to time.

### (c) Review the Assessment

Review mechanism must be built into the assessment process and must be implemented. The review process must involve:

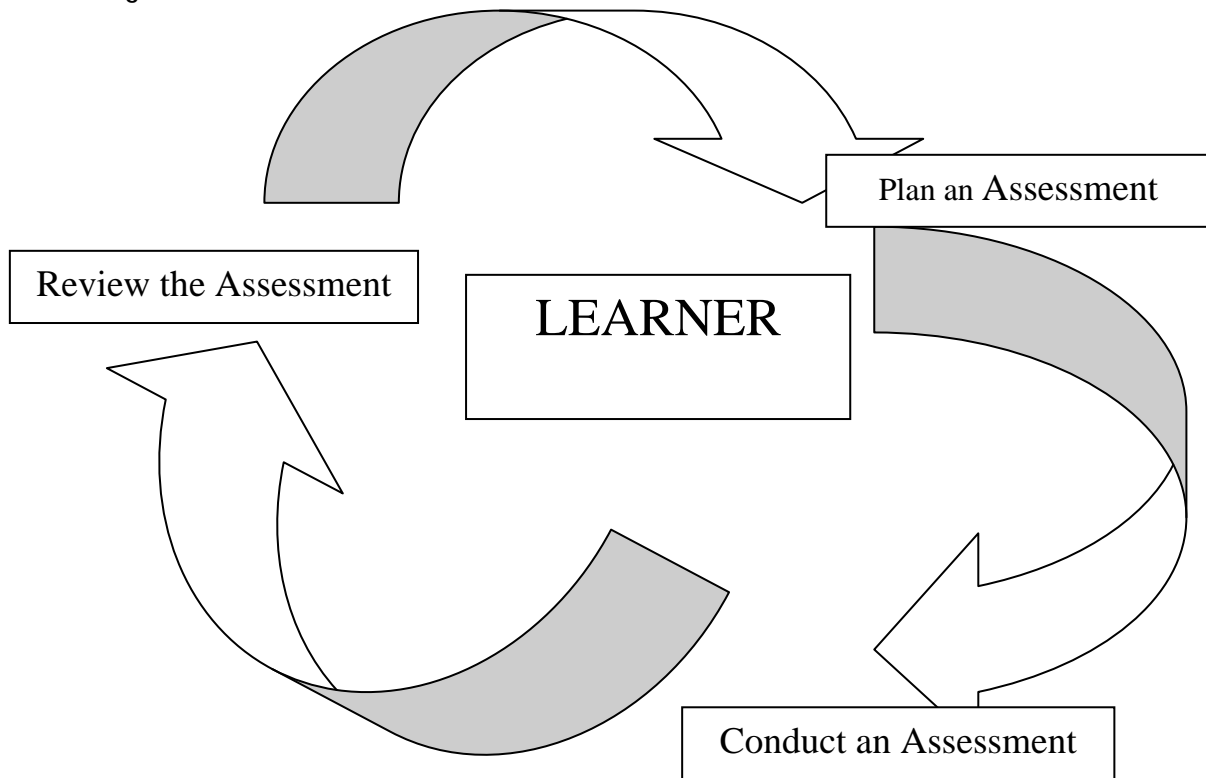
- ✓ Feedback from the learners on the assessment instruments, methods, process etc and how it could be improved.
  
- ✓ Meeting with other Assessors either internally or externally to review the entire process
  
- ✓ Making recommendation where possible to the SETQAA, standards generating bodies, Learnerships Division, etc.
  
- ✓ Analyses of the assessment results to determine appropriateness of the learning material, facilitation methodologies, curriculum design, assessment strategy etc.

The review process must be recorded and evidence must be supplied to the SETQAA during External Moderation and or Verification. Where the outcome of the review process affects the design of the documents mentioned in point D above, necessary communication to the SETQAA must be done.

Refer to the diagram below for an illustration of the complete cycle of the assessment process.  
Diagram 2

DIAGRAMMATIC ILLUSTRATION OF THE ASSESSMENT PROCESS CYCLE

Diagram 2



## GLOSSARY OF TERMS

TERMINOLOGY	MEANING
Assessment	A process of evaluating evidence against a set criteria for the purpose of making a judgment on learner's competence.
ETQA	Education and Training Quality Assurance
Accreditation	Means the certification, usually for a particular period of time, of a person, a body or an institution as having the capacity to fulfill a particular function, in the quality assurance systems set up by the SAQA
Assessor	A person who is registered by the relevant ETQA body in accordance with the criteria established for this purpose by a Standards Generating Body, to measure the achievement of specified NQF standards and qualifications
Applied competence	The ability to put into practice in the relevant context the learning outcomes acquired in obtaining a qualification
Formative Assessment	An assessment conducted during the learning and teaching process and serves the purpose of ascertaining learner readiness for summative assessment.
Summative Assessment	An assessment conducted at the end of the learning programme/unit standard/skills programme etc for the purpose of making a competence decision and awarding credits
Integrated Assessment	A form of assessment that permits the learner to demonstrate applied competence and which uses a range of formative and summative assessment methods
Outcomes	The contextually demonstrated end products of the learning process
Critical Cross-field Outcomes	Generic outcomes that inform all teaching and learning
Exit Level Outcomes	Outcomes to be achieved by a qualifying learner at the point at which her or she leaves the programme leading to a qualification
Provider	A body which delivers learning programmes which culminate in specified NQF standards or qualifications, and manages the assessment thereof.
Primary Focus	Means that activity or objective within the sector upon which an organization or body concentrates its efforts.
Unit Standard	Registered statements of desired education and training outcomes and their associated assessment criteria together with administrative and other information as specified in these regulations.
Moderation	A process of validating the assessment process and the assessment decision (VARCS) made by the Assessors on learner's competence as described in the NQF standards or qualifications.
Internal Moderation	A moderation activity that is conducted at a Training Provider level which serves the purpose of validating assessment processes and decision as part of an internal quality assurance system.
Quality Management System	The combination of processes used to ensure that the degree of excellence specified is achieved.
External Moderation	A moderation activity that is conducted by the ETQA and serves the purpose of validating and standardizing assessment processes and systems for Providers who provide on the same qualification nationally.

## Acronyms

ETQA	Education and Training Authority
SETQAA	Services Education and Training Quality Assurance Authority
SETA	Sector Education and Training Authority
NQF	National Qualifications Framework
NLRD	National Learner Record Database
SGB	Standards Generating Bodies
SAQA	South African Qualifications Authority
QALA	Quality Assurance of Learner Achievements
MoU	Memorandum of Understanding