



# Information

## *Guide and application forms for the registration of assessors & moderators*



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## Acronyms

ABET	Adult Basic Education and Training
CAWU	Construction and Allied Workers Union
CCFO	Critical Cross Field Outcomes
CIDB	Construction Industry Development Board
COSATU	Congress of South African Trade Unions
CETA	Construction Industry Sector Education & Training Authority
DoE	Department of Education
DoL	Department of Labour
DPW	Department of Public Works
EEA	Employment Equity Act
ETDP	Education and Training Development Practitioner/Practices
ETDP SETA	Education, Training and Development Practices SETA
ETQA	Education and Training Quality Assurance Body
FET	Further Education and Training (NQF Levels 2–4)
FETC	Further Education and Training Certificates
FETQA	Further Education and Training Quality Assurance Body
GET	General Education and Training (ABET, NQF, Lev 1, Std 4)
GETC	General Education and Training Certificate
HEQC	Higher Education Qualifications Council
HET	Higher Education and Training (NQF Levels 5–8)
M&E	Monitoring and Evaluation
MOU	Memorandum of Understanding
NLRD	National Learner Record Database
NQF	National Qualifications Framework
NSA	National Skills Authority
NSB	National Standard Bodies
NSDS	National Skills Development Strategy
NSF	National Skills Fund
NTC	National Technical Certificate
OBE	Outcomes Based Education
OBET	Outcomes Based Education and Training
PDI	Previously Disadvantaged Individual
POE	Portfolio of Evidence
SASSETA	Safety and Security Sector Education and Training Authority
QALA	Quality Assurance of Learner Achievements
QMS	Quality Management System
RPL	Recognition of Prior Learning
SADTU	South African Democratic Teachers Union
SAQA	South African Qualifications Authority
SAQAA	South African Qualifications Authority Act
SARS	South African Revenue Service
SDA	Skills Development Act
SDC	Skills Development Committee
SDF	Skills Development Facilitator
SDL	Skills Development Levy
SDLA	Skills Development Levies Act
SDPU	Skills Development Planning Unit
SDS	Skills Development Strategy
SETA	Sector Education and Training Authority
SGB	Standard Generating Body
SIRA	Private Security Industry Regulatory Authority
SME	Subject Matter Expert
SMME	Small Medium and Micro Enterprises
SSP	Sector Skills Plan
WPA	Workplace Assessment
WSP	Workplace Skills Plan

*This is a fourth edition June 2006*



## Purpose of this guide

This Guide has been developed to assist constituent assessors and internal moderators to prepare for and apply for registration with the SASSETA ETQA. The SASSETA registers assessors and moderators as part of its quality assurance role to safeguard learners against prejudice, unfairness and corruption.

The **first section** of this guide provides a brief overview of the roles and responsibilities of assessors and moderators.

**Section 2** provides an overview of the criteria that assessors and verifiers/moderators need to have in place in order to be registered with the SASSETA.

**Section 3** provides an outline of the registration process and the steps that need to be completed.

**Section 4** provides the application forms for registration for assessors, verifiers and moderators.

**Section 5** outlines the code of conduct for assessors and moderators and should be signed by applicants and returned to the SASSETA.

The appendix contains copies of the unit standards referred to in this document.

Please note that these unit standards will only be registered in February/March 2004 and may be altered after a process of public comment. Make sure that you keep up to date on the latest versions of the unit standards. These are available on <http://www.saqa.org.za>

## Section 1. What are assessors and moderators?

### 1. What is an ETDP?

Assessors and moderators fall into the large group of individuals in South Africa known as Education and Training Development Practitioners (ETDP's). This term refers to all the people that play different roles in education and training, such as:

- Teachers;
- Trainers;
- Facilitators;
- Tutors; and
- Lecturers.

A person who works full-time as an ETD practitioner should ideally have a full ETD qualification such as an Occupationally-directed ETD qualification (e.g. Diploma in Occupationally-directed Practice at Level 5 on the NQF or a Certificate in Occupationally-directed Practice at Level 4 on the NQF). It may also be possible for the ETD Practitioner to have an equivalent qualification. In addition to such a qualification, full-time ETD practitioners should also be qualified in their own field/subject of expertise and be familiar with the work across the sector. The combination of this and ETD expertise should place such individuals in a position to develop other people in the field in question.

However, not all ETD practitioners are full-time. ETD work is often carried out by individuals who have different jobs as their primary focus, such as being a manager or a supervisor. Nonetheless, such individuals may be in prime positions to conduct certain ETD activities, such as mentoring learners in the workplace or even assessing them. Obviously, many of these individuals may not have a full ETD qualification, but SAQA is in the process of registering certain unit standards on the NQF that can act as “stand alones” for these different roles. For example, it is possible to formally assess learners if you have the required unit standard in place (along with some other requirements and criteria discussed later) without having a full ETD qualification.

There may be several instances in which individuals without full ETD qualifications may already have significant experience in ETD practices. In such instances, the individuals may wish to be assessed through a Recognition of Prior Learning (RPL) process instead of undertaking a learning programme to achieve the necessary unit standards. This could be linked to a gap-fill process where the RPL process assists to identify those specific areas where the learner may require additional support.

The ETD roles that are discussed in this document relate specifically to assessment and moderation practices. The reason for this is that assessors and moderators who plan, conduct or moderate assessments in the SASSETA primary focus need to be **registered** with the SASSETA.

## 2. Important definitions

### 2.1. Assessment

Assessment is the process of gathering and weighing evidence in order to determine whether or not learners can demonstrate outcomes specified in unit standards and/or qualifications registered on the National Qualifications Framework (NQF). Assessors are those individuals who are appropriately qualified to plan and conduct learner assessments against the requirements of the NQF.

### 2.2. Moderation

Moderation is the process that checks that assessments are done according to acceptable standards and is the process of ensuring that assessments have been conducted in line with agreed practices so that results are fair, valid and reliable.

### 2.2.1. Provider moderation

Provider moderation (which is sometimes referred to as verification) is the responsibility of **providers**. Providers are required to conduct a moderation exercise on learner assessments (or a sample thereof) to ensure that the assessors involved have been fair, that the results are valid and that the results are reliable (i.e. assessments conducted by different assessors are consistent). Provider moderation can be undertaken by an appropriately qualified employee of the provider, or can be undertaken by external people or organisations that are qualified to provide such a service. Moderators used for the provider moderation process need to be registered with the SASSETA.

### 2.2.2. ETQA verification

ETQA verification (which confusingly is sometimes referred to as moderation) is the responsibility of an **ETQA**, such as the SASSETA ETQA. There are two types of ETQA verification (or moderation):

#### *2.2.2.1. Verification related to the accreditation process*

Verification related to the accreditation process involves verifying whether or not providers adhere to all of the required criteria to be considered for accreditation.

#### *2.2.2.2. Verification related to the quality assurance of learner achievements*

This involves assuring the quality of assessments from providers on behalf of the SASSETA ETQA (as opposed to the provider, as is the case with internal moderation). It is an ETQA function to verify the claims that providers make that their assessments have been properly conducted and moderated. This is known as the Quality Assurance of Learner Achievements (QALA) and is one of the main functions of the SASSETA ETQA.

External moderators do not have to be registered with the SASSETA, but this information has been placed here so that individuals applying for registration understand the differences between internal and external moderation and who has to be registered or not. Also, it is a requirement that those individuals that are utilised as verifiers for the Quality Assurance of Learner Achievements will be registered moderators.

## Section 2: Criteria for registration with the SASSETA

### 3. Assessors

According to the South African Qualifications Authority (SAQA), all assessments that lead to the awarding of NQF-based credits need to be conducted by **registered** assessors. SAQA's criteria for the registration of assessors is as follows:

#### SAQA criteria for the registration of assessors

1. All registered assessors must have met the requirements of the assessor standard "*conduct outcomes-based assessments*", and should be certified by the Education and Training Development Quality Assurance Body (ETQA) or the relevant ETQA in agreement with the ETQA in this regard;
2. This requirement will be enforced from the end of May 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 a Recognition of Prior Learning (RPL) process. Once the system is fully operational, the status of certified assessors can be checked on the National Learner Records Database (NLRD);
3. All registered assessors are registered to assess using specific standards and/or qualifications: the registered assessor must be able to demonstrate competence in relation to these specific standards and qualifications at, or above, the level of the qualifications in question;
4. All registered assessors must have met any additional requirements laid down by their constituent ETQA. The status of the registered assessor can be checked on the appropriate ETQA database or website.

#### 3.1. Criteria for registration as a SASSETA registered assessor

In accordance with the above, the SASSETA requires that registered assessors have the following in place:

1. In accordance with point 1 above, the SASSETA requires assessors operating in its primary focus to have obtained the unit standard "*conduct outcomes-based assessments*" (attached in the appendix) and to apply to the SASSETA (rather than the ETQA) for registration purposes. The generic assessors standard "*conduct outcomes-based assessments*" was registered on the NQF on 11 August 2004 and explains exactly what is required of assessors in terms of the assessment of learning outcomes leading to the award of formal credits. This includes the roles and responsibilities of the assessor and the assessment expertise required.
2. In accordance with point 3 above, assessors are also required to show competence in relation to the standards and qualifications against which they assess learners, at (or preferably above) the level of the standards and qualifications in question. While it is anticipated that assessors may not have these unit standards, it is expected that the assessors will have the equivalent qualification.
3. **The SETA also requires that assessors have two years of relevant occupational experience to ensure that assessors have the subject matter expertise to assess learners in a particular field/occupation.**

The application form provides further information on what evidence assessors need to submit to the SASSETA in order to be registered.

### 4. Provider moderators

#### 4.1. Criteria for registration as a SASSETA registered moderator

The minimum requirements for registration as a SASSETA moderator are:

1. Moderators are registered as assessors with the SASSETA (i.e. moderators first have to become registered assessors and adhere to the requirements outlined for assessors above).
2. The unit standard "*conduct moderation of outcomes-based assessments*" worth 10 credits on the NQF at level 6 (attached in the appendix).
3. Two years of relevant occupational experience: this is to ensure that moderators have the subject matter expertise to conduct moderation of outcomes-based assessments in a particular field/occupation.

The application form provides further information on what evidence moderators need to submit to the SASSETA in order to be registered.

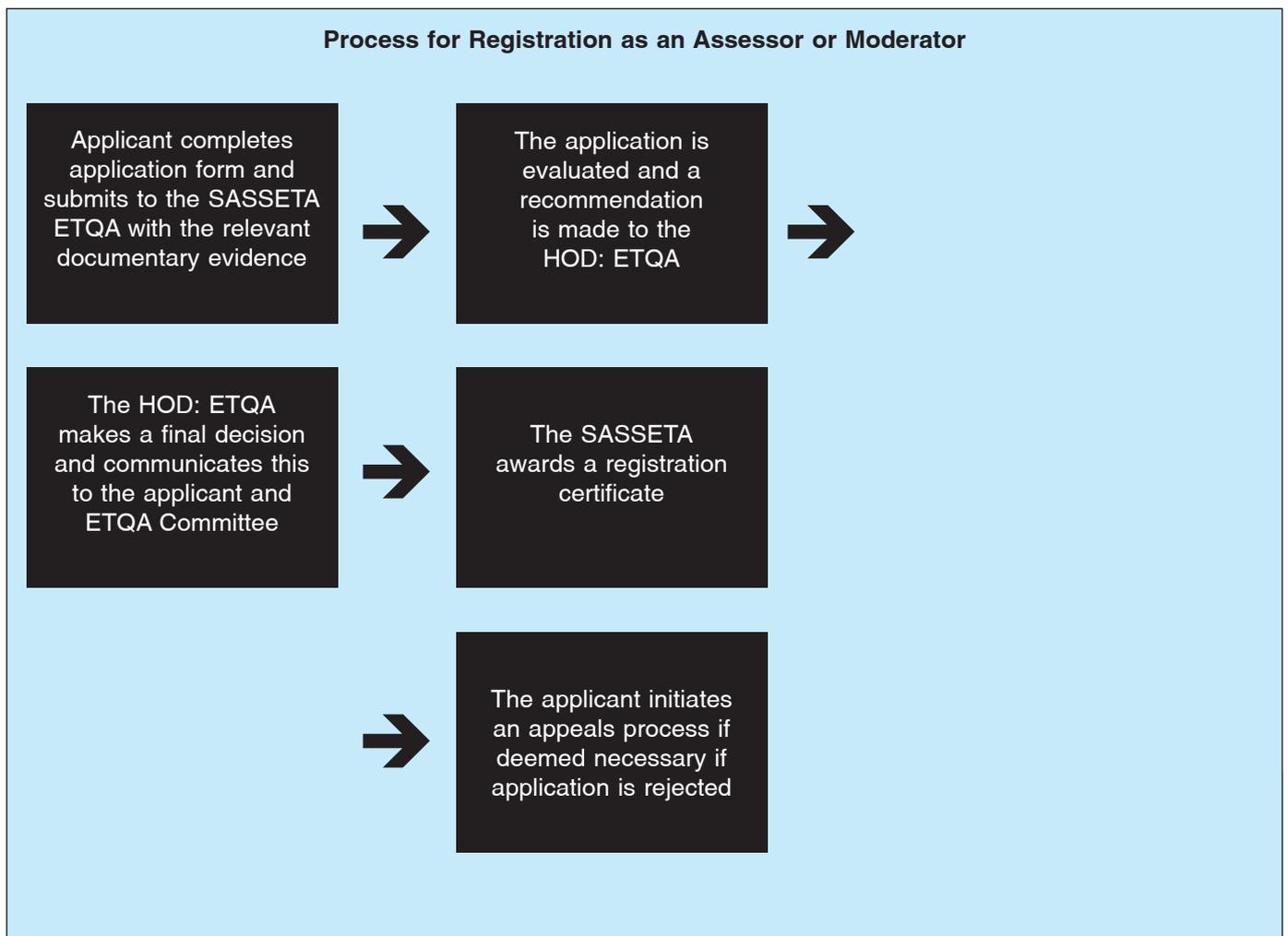
## 5. Duration of registration

The registration of assessors and moderators will be reviewed every five years, unless requirements specified by SAQA change.

Please note: the SASSETA ETQA has the right to de-register assessors and moderators who do not adhere to the criteria and relevant codes of conduct for moderators and assessors at any time deemed necessary. Should an assessor/moderator be granted Provisional Accreditation, it is the responsibility of the assessor/moderator to ensure that the status be renewed. Furthermore it is important that the statement of results from the ETDP SETA be submitted for the assessor/moderator in order to be granted full accreditation.

### Section 3: Steps in the application process for assessors and moderators

1. Applicants must complete the application form (see Section 4) and submit it to the SASSETA ETQA. Applicants should ensure that the necessary documents outlined in the application form are attached.
2. Applicants must sign the Code of Conduct (see Section 5) and submit this to the SASSETA ETQA.
3. The SASSETA ETQA will evaluate the application and supporting documentation. The evaluators will submit recommendation to the HOD: ETQA, who will approve or disapprove the recommendation.
4. The results of the decision will be communicated to the applicant in writing. If the application has been unsuccessful, a set of reasons will be provided. If the applicant deems it necessary, he/she can appeal the decision. Appeals should be submitted to the HOD: ETQA in writing 21 days after receipt of the decision. Providers should indicate clearly why the appeal is being made and provide reasons. The ETQA will conduct the necessary activities on receipt of the appeal.
5. If the applicant is successful, a registration certificate will be issued.
6. The status of registered assessors and moderators is reviewed every five years.



## Section 4: Application form

Please complete the application forms below. Please write clearly (in block letters) and use a black pen.

Biographical Information				
	<b>Surname</b>			
	<b>First Name/s</b>			
	<b>Identity Number</b>			
	<b>Postal Address</b>			
				Postal Code
	<b>Telephone</b>			
	<b>Cell phone</b>			
	<b>Fax</b>			
	<b>E-mail</b>			
	<b>Gender (for equity purposes)</b>	Male		Female
	<b>Race (for equity purposes)</b>	Black	White	Coloured Indian/Asian
	<b>Disability status (for equity purposes)</b>	Have disability status		No disability status
	Areas in which assessor/moderator <b>operates</b> (Note: a provider may be <b>based</b> in an urban or rural area but <b>operating</b> in rural areas or both urban and rural areas)	Urban Areas Only	Rural Areas Only	Both Urban and Rural Areas
	Did you gain access to the assessor or moderator programme through RPL?	Yes		No

	<b>Please indicate employment status</b>	Pre-employed (never worked before)	Unemployed (worked previously but not at present)	Employed	Self-employed
	<b>If employed, please provide a brief description of your roles and responsibilities in the workplace</b>				
	<b>Name of employer (if relevant)</b>				
	<b>Accreditation status of employer</b>	Accredited with SASSETA	Accredited with another ETQA	Not accredited	
	<b>Address of employer (if relevant)</b>				
				Postal Code	
	<b>Date of submission</b>				
	<b>Purpose of application</b>	Applications for registration as an assessor		Application for registration as a moderator	

### Formal qualifications

**Please indicate your highest education attainment levels to date. Please tick the most appropriate box below:**

Less than Standard 8 (Grade 10) or equivalent	Standard 9 (Grade 11) or equivalent	Standard 10 (Matric or Grade 12) or equivalent	Post-Matric Diploma	Undergraduate degree
Other (Please specify):				
What are your formal qualifications? Please complete the table below:				
Name of qualification (or certificates achieved where not a qualification)	Brief description of content	Institution where obtained	Duration of programme	Date obtained





## Declarations

	<b>Applicant:</b> I hereby declare that the above information is correct, valid and accurate	
	Signature of applicant:	
	Date:	
	<b>Employer or provider:</b> I hereby endorse this application and declare that the information is correct, valid and accurate	
	Signature:	
	Date:	

### Documentation to be submitted with this application:

1. **Certified copies of qualifications;**
2. **Certificates relevant to the unit standards, i.e. the applicant wishes to assess and moderate document;**
3. **CV detailing work related experience in relation to training of the unit standard you wish to assess and moderate;**
4. **Signed code of conduct (see pages 14/15);**
5. **Certified copy of ID document.**

### How to access and obtain a unit standard

- Go to the South African Qualifications Authority (SAQA) website on [www.saqa.org.za](http://www.saqa.org.za);
- Select Qualifications and Unit Standard;
- Select the registered unit standard and qualification by choosing either “select qualification” or “select unit standard”;
- If you know the unit standard no. click on “select unit standard”;
- If you are not sure about the unit standard title, select qualification;
- A table will appear which will allow you to select one or more of the following:
  - SGB — Select one of the following:
    - Corrections
    - Defence
    - Intelligence
    - Security
    - Policing
    - Firearm
    - NSB
    - Provider
  - ETQA — Select SASSETA
- Click on GO

## Section 5: Code of conduct for assessors and moderators

### 6. Code of conduct for assessors

I, the undersigned, am applying to become a registered SASSETA assessor. I agree that, if my application is successful, I hereby commit myself to abide by the SASSETA Code of Conduct in relation to all my work conducted as a SASSETA assessor. The Code of Conduct to which I agree is as follows:

1. I shall conduct my work as a SASSETA assessor with integrity, seeking at all times to create a positive environment for assessment and to take note of and respect the historical diversity of candidates' cultural, linguistic and educational backgrounds;
2. Any conflict of interest, such as a financial or family relationship or close friendship existing between any candidate, and myself shall be declared in advance, and, if requested, I shall recuse myself from the process in such instances;
3. All information received during my work as an assessor about individuals or organisations will be treated with the strictest confidentiality unless it is relevant to the fairness, reliability and validity of the assessment process;
4. All relevant information about any irregularities in the assessment process of which I become aware will be included in my reports to the moderator; these will include:
  - a. unplanned environmental, personal or other problems which may have interfered with the performance of the candidate
  - b. suspected or proven irregularities committed by the candidate
  - c. suspected or proven irregularities committed by any other parties to the assessment
  - d. any suspected or proven bribery, threats or sexual or other harassment of or by candidates
  - e. any grounds for doubting the authenticity of the evidence presented during the assessment process;
5. If I have reason to believe the moderator is not addressing irregularities brought by myself to his or her notice, I shall draw these irregularities to the attention of the SASSETA HOD: ETQA;
6. Any constructive comments about the standards or qualifications which I am assessing will be included in my reports to the moderator, to be collated and forwarded to the SASSETA. These will be forwarded to the relevant SGB for inclusion in the SAQA review process.
7. I shall conduct my work in line with the vision and mission of the SASSETA, particularly in relation to improving the quality of education, training and assessment for learners in the sector, giving guidance and support to all learners to achieve their full potential.

Name in full (printed): .....

Signed:..... Date: .....

## 7. Code of conduct for moderators

I, the undersigned, am applying to become a registered SASSETA moderator. I agree that, if my application is successful, I hereby commit myself to abide by the SASSETA Code of Conduct in relation to all my work conducted as a SASSETA moderator. The Code of Conduct to which I agree is as follows:

1. I shall conduct my work as a SASSETA moderator with integrity, seeking at all times to create a positive environment for assessment and moderation and to take note of and respect the historical diversity of candidates' and assessors' cultural, linguistic and educational backgrounds;
2. Any conflict of interest such as a financial or family relationship between myself and any candidate or assessor shall be declared in advance, and, if requested, I shall recuse myself from the process in specific instances;
3. All information received during my work as a moderator about individuals or organisations will be treated with the strictest confidentiality unless it is relevant to the fairness, reliability and validity of the assessment process;
4. Any unevenness in the standards of different assessors will be noted, and every effort will be made through feedback and constructive support to achieve a common standard amongst all assessors under my moderation; in this way I shall try to promote quality assessments and avoid standards drift;
5. If I identify a particular assessor as unreliable and am unable to correct his or her weaknesses through a supportive and transparent process I shall inform the SASSETA ETQA about this problem and ask them to take appropriate steps;
6. All relevant information about any irregularities in the assessment process of which I become aware will be included in my reports to the SASSETA ETQA; these will include:
  - a. unplanned environmental, personal or other problems which may have interfered with the performance of the candidate
  - b. suspected or proven irregularities committed by the candidate
  - c. suspected or proven irregularities committed by any other parties to the assessment
  - d. any suspected or proven bribery, threats or sexual or other harassment of or by candidates or assessors
  - e. any grounds for doubting the authenticity of the evidence presented during the assessment process;
7. Any constructive comments about the standards or qualifications which I receive from assessors or note in my own work shall be collated and included in my reports to the SASSETA HOD: ETQA. These will be forwarded to the relevant SGB for inclusion in the review process;
8. Any constructive comments about the assessment guides, instruments or procedures which I can make by reflecting on their use on the ground shall be collated and sent to the SASSETA HOD: ETQA; this feedback will be used to improve old guides and instruments and develop new ones in a continuing process of renewal and improvement of quality.
9. I shall conduct my work in line with the vision and mission of the SASSETA, particularly in relation to improving the quality of education, training and assessment for all learners and assessors in the sector, giving guidance and support to all involved to achieve their full potential.

Name in full (printed): .....

Signed: ..... Date:.....

## APPENDIX — UNIT STANDARDS

### 8. Conduct outcomes-based assessments

SOUTH AFRICAN QUALIFICATIONS AUTHORITY  
REGISTERED UNIT STANDARD:

Conduct outcomes-based assessment

SAQA US ID	UNIT STANDARD TITLE		
115753	Conduct outcomes-based assessment		
SGB NAME		REGISTERING PROVIDER	
SGB Assessor Standards			
FIELD	SUBFIELD		
Field 05 — Education, Training and Development	Higher Education and Training		
ABET BAND	UNIT STANDARD TYPE	NQF LEVEL	CREDITS
Undefined	Regular	Level 5	15
REGISTRATION STATUS	REGISTRATION START DATE	REGISTRATION END DATE	SAQA DECISION NUMBER
Registered	2004-08-11	2007-08-11	SAQA 0555/04

#### PURPOSE OF THE UNIT STANDARD

This generic assessor unit standard is for those who assess people for their achievement of learning outcomes in terms of specified criteria using pre-designed assessment instruments. The outcomes and criteria may be defined in a range of documents including but not limited to unit standards, exit level outcomes, assessment standards, curriculum statements and qualifications.

Those who achieve this unit standard will be able to conduct assessments within their fields of expertise. This unit standard will contribute towards the achievement of a variety of qualifications, particularly within the fields of Education Training and Development Practices and Human Resource Development.

People credited with this unit standard are able to carry out assessments 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 be able to:

- Demonstrate understanding of outcomes-based assessment;
- Prepare for assessments;
- Conduct assessments;
- Provide feedback on assessments; and
- Review assessments.

#### LEARNING ASSUMED TO BE IN PLACE AND RECOGNITION OF PRIOR LEARNING

The credit calculation is based on the assumption that those starting to learn towards this unit standard have no previous assessment experience. It is assumed, though, that the candidate-assessors have evaluative expertise within the area of learning in which they intend to assess (see Definition of Terms for a definition of “evaluative expertise”).

## UNIT STANDARD RANGE

1. This generic assessment unit standard applies to assessment in all fields of learning. However, it is expected that assessments will be contextualised to meet the requirements of different contexts.
2. Assessment of candidate-assessors will only be valid for award of this unit standard if the following requirements are met:
  - Assessments carried out by the candidate-assessor are in relation to significant, meaningful and coherent outcome statements that include criteria for assessment purposes, and allow for judgements of competence in line with SAQA's definition of competence i.e. embrace foundational, practical and reflexive dimensions of competence. Outcomes that are highly task-orientated and do not demand much, if any, in the way of reflexive competence, will not be sufficient for measuring competence as an assessor in terms of this unit standard. It is important that candidate-assessors select outcomes that enable them to meet the requirement laid out here.
  - The candidate-assessor demonstrates repeatability by carrying out at least two assessments:
    - One of which may be a simulated assessment (in order to cover a range of typical assessment situations), and
    - At least one of which must involve a real candidate in a real assessment situation, preferably under the guidance of a mentor.

The assessments may involve two or more candidates in relation to the same outcome.

- Candidate-assessors produce evidence that they can conduct assessments in RPL situations and for candidates who may have fairly recently acquired the necessary knowledge and skills through courses or learning programmes. However, candidate assessors do not need to carry out both kinds of assessments in practice for the award of this unit standard. Should candidate-assessors carry out an RPL-related assessment for the purposes of this unit standard, then it is sufficient for them to show how they might have conducted the assessment differently had it been an assessment linked to recent learning, and vice versa.
3. For the purposes of assessment against this unit standard, candidate-assessors should have access to Assessment Guides and will not be expected to design outcomes-based assessments. (See Definition of Terms for a definition of Assessment Guides.) Candidate assessors will be expected to interpret the standards at hand in order to ensure their assessment judgements are in accordance with the requirements of the standard. In cases where Assessment Guides are not available, providers should seek ways to make such guides available for the purposes of this assessment. Where candidate-assessor also intend to design outcomes-based assessments, then providers are encouraged to integrate the learning and assessment of the unit standards:
    - Conduct outcomes-based assessments;
    - Design and develop outcomes-based assessments.
  4. Candidate-assessors should have access to organisational assessment policies, procedures and systems (including moderation). It is assumed the organisational policies and procedures are of a quality sufficient for accreditation purposes. Where such policies and procedures are not yet available, the provider may make general policies and procedures available for the purposes of this assessment.

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

## UNIT STANDARD OUTCOME HEADER

N/A

## Specific Outcomes and Assessment Criteria:

### **SPECIFIC OUTCOME 1**

Demonstrate understanding of outcomes-based assessment.

#### **ASSESSMENT CRITERIA**

##### **ASSESSMENT CRITERION 1**

Comparisons between outcomes-based and another form of assessment of learning highlight key differences in terms of the underlying philosophies and approaches to assessment, including an outline of advantages and disadvantages.

##### **ASSESSMENT CRITERION 2**

RPL is explained in terms of its purpose, processes and related benefits and challenges. Explanations highlight the potential impact of RPL on individuals, learning organisations and the workplace.

##### **ASSESSMENT CRITERION 3**

A variety of assessment methods are described and compared in terms of how they could be used when conducting assessments in different situations.

#### **ASSESSMENT CRITERION RANGE**

The description of methods should cover situations for gathering evidence of:

- Problem solving ability,
- Knowledge and understanding,
- Practical and technical skills,
- Attitudinal skills and values.

##### **ASSESSMENT CRITERION 4**

Key principles of assessment are described and illustrated in practical situations. The descriptions highlight the importance of applying the principles in terms of the possible effect on the assessment process and results.

##### **ASSESSMENT CRITERION 5**

The approach to giving feedback on assessment results is described in terms of the possible impact on candidates and further learning and assessment.

### **SPECIFIC OUTCOME 2**

Prepare for assessments.

#### **OUTCOME RANGE**

Preparation for assessments relates to organising and preparing resources, people, schedules, venues, assessment instruments and documentation for a particular assessment and/or related assessments for an individual or a number of assessment candidates/learners. Preparation is to be carried out in situations where the candidate assessor has access to:

- Relevant organisational assessment and moderation policies and procedures, and
- Assessment guides and instruments for the assessment at hand, including the relevant outcomes and criteria.

#### **ASSESSMENT CRITERIA**

##### **ASSESSMENT CRITERION 1**

Preparation of assessment resources, logistics, documentation and environment meets the requirements of the assessment at hand and ensures fairness and safety of assessment.

##### **ASSESSMENT CRITERION 2**

Parties involved in the assessment are notified in good time. Checks are carried out to ensure parties involved in the assessment are ready and available to meet required schedules.



## **ASSESSMENT CRITERION RANGE**

Parties include assessment candidates and moderators, and may include assessment facilitators and/or assistants, teachers, trainers, invigilators and safety personnel.

### **ASSESSMENT CRITERION 3**

All pre-assessment moderation requirements are carried out in accordance with relevant assessment policies, moderation plans and ETQA requirements.

### **ASSESSMENT CRITERION 4**

Assessment details are explained to candidates clearly and constructively. Opportunities for clarification are provided and responses promote understanding of the requirements.

## **ASSESSMENT CRITERION RANGE**

Assessment details cover the specific purpose, process, expectations, roles, responsibilities and appeals procedures related to the assessment at hand, as well as the general context of assessment in terms of the principles and mechanisms of the NQF, as applicable to the situation and assessment context.

### **ASSESSMENT CRITERION 5**

Inputs are sought from candidates regarding special needs and possible sources of evidence that could contribute to valid assessment, including RPL opportunities. Modifications made to the assessment approach on the basis of the inputs do not affect the validity of the assessment.

### **ASSESSMENT CRITERION 6**

Candidate readiness for assessment is confirmed. In cases where candidates are not yet ready, actions taken are in line with assessment policies.

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## 9. Design and develop outcomes-based assessments

### SOUTH AFRICAN QUALIFICATIONS AUTHORITY REGISTERED UNIT STANDARD:

#### Design and develop outcomes-based assessments

SAQA US ID	UNIT STANDARD TITLE		
115755	Design and develop outcomes-based assessments		
SGB NAME		REGISTERING PROVIDER	
SGB Assessor Standards			
FIELD	SUBFIELD		
Field 05 — Education, Training and Development	Higher Education and Training		
ABET BAND	UNIT STANDARD TYPE	NQF LEVEL	CREDITS
Undefined	Regular	Level 6	10
REGISTRATION STATUS	REGISTRATION START DATE	REGISTRATION END DATE	SAQA DECISION NUMBER
Registered	2004-08-11	2007-08-11	SAQA 0555/04

#### PURPOSE OF THE UNIT STANDARD

This unit standard is for people who design and develop outcomes-based assessments to facilitate consistent, credible, reliable, fair, and unbiased assessments of learning outcomes. The outcomes may be defined in a range of documents including but not limited to unit standards, exit level outcomes, assessment standards, curriculum statements and qualifications. This unit standard will contribute towards the achievement of a variety of qualifications particularly within the field of Education Training and Development Practices and Human Resource Development.

In particular, people credited with this unit standard are able to:

- Demonstrate understanding of design principles of outcomes-based assessment,
- Design outcomes-based assessments,
- Develop assessment activities,
- Develop assessment guides, and
- Evaluate assessment designs and guides.

#### LEARNING ASSUMED TO BE IN PLACE AND RECOGNITION OF PRIOR LEARNING

The credit calculation is based on the assumption that those entering programmes to learn towards this unit standard:

- Have already achieved unit standard NLRD 115753: Conduct outcomes-based assessment, or equivalent,
- Are competent in the relevant field in which they are designing outcomes-based assessments, or have access to subject matter experts, and
- Are able to analyse and interpret the relevant outcomes (or standards).

## UNIT STANDARD RANGE

1. This is a generic assessment unit standard, and candidates can design and develop outcomes-based assessments within any field of learning in line with their subject matter expertise. For the purposes of assessment of this assessment design unit standard, candidates should have access to the relevant outcomes for which assessments will be designed. However, the assessment of candidate-designers will only be valid for award of this unit standard if the following requirements are met:
  - The credit value for the assessment/s designed is worth 8 credits (or the equivalent of 8 credits). This means the candidate can design an assessment for a single outcome worth 8 credits or more, or for a number of smaller outcomes collectively worth 8 credits.
  - The outcome/s selected for design of outcomes-based assessments require assessment in relation to significant, meaningful and coherent outcome statements that include assessment criteria and allow for judgements of competence in line with SAQA's definition of competence i.e. embraces foundational, practical and reflexive dimensions of competence. As a general guide, the outcomes selected should carry at least 4 credits each or the equivalent. Single-task assessments will not be valid for awarding this unit standard. Outcomes that are highly task-orientated and do not demand much, if any, in the way of reflexive competence, will not be sufficient for measuring competence as an assessment designer in terms of this unit standard. Thus candidate-designers should select outcomes that enable them to meet the requirement laid out here.
  - At least three assessment activities are designed in detail, illustrating the use of three different assessment methods.
  - Candidates produce evidence that they can design outcomes-based assessments in RPL situations and for candidates who may have fairly recently acquired the necessary knowledge and skills through courses or learning programmes.
2. For the purposes of assessment against this unit standard, candidates should have access to organisational assessment policies, procedures and systems (including moderation). It is assumed the organisational policies and procedures are of a quality sufficient for accreditation purposes. Where such policies and procedures are not yet available, the provider may make general policies and procedures available for the purposes of this assessment.

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

## UNIT STANDARD OUTCOME HEADER

N/A

## Specific Outcomes and Assessment Criteria:

### SPECIFIC OUTCOME 1

Demonstrate understanding of design principles of outcomes-based assessment.

#### ASSESSMENT CRITERIA

##### ASSESSMENT CRITERION 1

Comparisons between outcomes-based design and another form of assessment design highlight key differences in terms of the underlying philosophies and approaches to assessment, including an outline of advantages and disadvantages.

#### ASSESSMENT CRITERION RANGE

Similarities and differences include assessment methodology, advantages to learners, employers and institutions, impact on learners and assessors, and means of reporting results.

##### ASSESSMENT CRITERION 2

Key differences are identified in the approach to designing assessments for RPL candidates and for programme-based assessments.

### ASSESSMENT CRITERION 3

Different assessment methods are described and justified in relation to particular contexts, and their advantage over other possible options.

#### **ASSESSMENT CRITERION RANGE**

The description of methods should cover situations for gathering evidence of abilities in problem solving, comprehension, analysis and synthesis, evaluation, practical and technical skills, attitudinal skills and values.

### ASSESSMENT CRITERION 4

Key principles of assessment are described and illustrated in terms of their impact on assessment design, and ultimately assessment practice and results.

#### **ASSESSMENT CRITERION RANGE**

See “Definition of Terms” for a definition of principles of good assessment principles.

### ASSESSMENT CRITERION 5

Scenarios are provided to illustrate the manner in which questioning approaches impact on the validity of assessments.

#### **ASSESSMENT CRITERION RANGE**

Open versus closed questions, leading questions, probing questions.

## **SPECIFIC OUTCOME 2**

Design outcomes-based assessments.

### **ASSESSMENT CRITERIA**

#### ASSESSMENT CRITERION 1

The design addresses the need for cost-effectiveness and takes into account the overall assessment plan, results of previous assessments, special needs of candidates, assessment contexts, and where applicable, the accessibility and safety of the environment and contingencies.

#### ASSESSMENT CRITERION 2

Assessment activities, instruments and resources selected are appropriate to the outcomes to be assessed and the assessment candidates, and have the potential to enable the collection of valid and sufficient evidence. The design accommodates the possibility of RPL.

#### ASSESSMENT CRITERION 3

Potential unfair barriers to achievement by candidates are identified and the design addresses such barriers without compromising the validity of the assessment or possibilities for continued learning.

#### **ASSESSMENT CRITERION RANGE**

Unfair barriers could relate to issues such as language or disabilities.

#### ASSESSMENT CRITERION 4

The design ensures holistic, integrated and comprehensive assessment using a range of potential sources and types of evidence.

#### ASSESSMENT CRITERION 5

Opportunities for gathering naturally-occurring evidence are identified and planned whenever possible, so as to improve assessment efficiency and match assessment conditions to real performance conditions where applicable.



## **ASSESSMENT CRITERION RANGE**

Naturally-occurring evidence refers to evidence gathered during the normal course of learning or work.

## **SPECIFIC OUTCOME 3**

Develop assessment activities.

### **OUTCOME RANGE**

Candidates are to provide evidence for the development of activities that assess:

- Psychomotor skills: through methods such as observation of naturally occurring evidence, simulations, skills tests, assessment of products.
- Cognitive skills: through methods such as fixed and open response, written and oral items.
- Affective skills (value and attitudinal orientation): such as through observation of behaviour.

## **ASSESSMENT CRITERIA**

### ASSESSMENT CRITERION 1

The activities facilitate the production of valid, sufficient, authentic and current evidence, matching the requirements of the given outcome statement/s.

### ASSESSMENT CRITERION 2

Activities promote integrated assessment as far as possible and enable combinations of outcomes to be assessed simultaneously where possible.

### ASSESSMENT CRITERION 3

The activities are appropriate, fair and manageable, and are consistent with the defined purpose of the assessment, including the possibility of RPL.

## **ASSESSMENT CRITERION RANGE**

See “Definition of Terms” for a definition of appropriate, fair and manageable.

## 10. Conduct moderation of outcomes-based assessments

### SOUTH AFRICAN QUALIFICATIONS AUTHORITY REGISTERED UNIT STANDARD:

#### Conduct moderation of outcomes-based assessments

SAQA US ID	UNIT STANDARD TITLE		
115759	Conduct moderation of outcomes-based assessments		
SGB NAME		REGISTERING PROVIDER	
SGB Assessor Standards			
FIELD	SUBFIELD		
Field 05 — Education, Training and Development	Higher Education and Training		
ABET BAND	UNIT STANDARD TYPE	NQF LEVEL	CREDITS
Undefined	Regular	Level 6	10
REGISTRATION STATUS	REGISTRATION START DATE	REGISTRATION END DATE	SAQA DECISION NUMBER
Registered	2004-08-11	2007-08-11	SAQA 0555/04

#### PURPOSE OF THE UNIT STANDARD

This unit standard is for people who conduct internal or external moderation of outcomes-based assessments. The assessments could be in terms of outcomes defined in a number of documents, including but not limited to unit standards, exit level outcomes, assessment standards, curriculum statements and qualifications. This unit standard will contribute towards the achievement of a variety of qualifications particularly within the field of Education Training and Development Practices and Human Resource Development.

Those who have achieved this unit standard will be able to conduct moderation of outcomes-based assessments in terms of the relevant outcome statements and quality assurance requirements. The candidate-moderator will be able to use the prescribed Quality Assurance procedures 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 are able to:

- Demonstrate understanding of moderation within the context of an outcomes-based assessment system,
- Plan and prepare for moderation,
- Conduct moderation,
- Advise and support assessors,
- Report, record and administer moderation, and
- Review moderation systems and processes.

#### LEARNING ASSUMED TO BE IN PLACE AND RECOGNITION OF PRIOR LEARNING

The credit calculation is based on the assumption that learners have previous assessment experience when starting to learn towards this unit standard, and in particular, recognition for the unit standard: NLRD 115753: “Conduct outcomes-based assessments”. It is recommended that candidates should achieve NLRD 115755: “Design and develop outcomes-based assessments” before attempting this unit standard.

It is further assumed that the person has evaluative expertise within the field in which they are conducting moderation of outcomes-based assessments.

## UNIT STANDARD RANGE

1. This is a generic unit standard, and applies to internal and/or external moderation within all fields of learning. It is accepted that moderation happens in different ways and at different levels in different sectors, including different models for what constitutes internal versus external moderation. This standard is intended to cover any situation in which moderation occurs, whether this be internally, i.e. within the ambit of the provider-assessor, or externally through co-operating providers, or externally through professional bodies and quality assurance bodies.
2. Assessment of candidate-moderators will only be valid for award of this unit standard if the following requirements are met:
  - Moderation is carried out for assessments that include candidates with special needs, and RPL situations. Where real assessments are not available to cover these situations, the candidate is able to demonstrate how special needs and RPL situations would be addressed within their moderation plan and process.
  - Moderation covers assessment instruments, assessment design and methodology, assessment records; assessment decisions, reporting and feedback mechanisms.
  - Moderation is carried out for assessments involving a variety of assessment techniques, such as work samples, simulations, role-plays, written items, oral, portfolios and projects.
  - Moderation activities include pre-assessment interactions with assessors, interactions during assessments and post-assessment interactions.
  - Moderation involves at least two sets of real assessment materials for the same standards and at least six assessor decisions.
  - The assessments that are moderated are in relation to a significant, meaningful and coherent outcome statement that includes assessment criteria and allows for judgements of competence in line with SAQA's definition of competence i.e. embraces foundational, practical and reflexive dimensions of competence. This means that moderation of simple, single-task assessments will not be valid for awarding this unit standard.
3. For the purposes of assessment against this unit standard, candidate-moderators should have access to organisational assessment and moderation policies, procedures and systems. It is assumed the organisational policies and procedures are of a quality sufficient for accreditation purposes. Where candidate-moderators are assessed in organisations that do not have a moderation system in place, assessors of moderators should provide a mock system for the purposes of the assessment.
4. This unit standard applies to all moderators, regardless of whether a person carries out moderation internally, as part of an organisation's quality assurance system, or externally, as part of an ETQA or other process to verify assessment results supplied by the provider or assessment agency.

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

## UNIT STANDARD OUTCOME HEADER

N/A

## Specific Outcomes and Assessment Criteria:

### SPECIFIC OUTCOME 1

Demonstrate understanding of moderation within the context of an outcomes-based assessment system.

#### ASSESSMENT CRITERIA

##### ASSESSMENT CRITERION 1

Moderation is explained in terms of its contribution to quality assured assessment and recognition systems within the context of principles and regulations concerning the NQF.

##### ASSESSMENT CRITERION 2

A variety of moderation methods are described and compared in terms of strengths, weaknesses and applications. The descriptions show how moderation is intended to uphold the need for manageable, credible and reliable assessments.



### ASSESSMENT CRITERION 3

Key principles of assessment are described in terms of their importance and effect on the assessment and the application of the assessment results. Examples are provided to show how moderation may be effective in ensuring the principles of assessment are upheld.

#### ***ASSESSMENT CRITERION RANGE***

See “Definition of Terms” for a definition of assessment principles.

### ASSESSMENT CRITERION 4

Examples are provided to show how moderation activities could verify the fairness and appropriateness of assessment methods and activities used by assessors in different assessment situations.

#### ***ASSESSMENT CRITERION RANGE***

Assessment situations for gathering evidence of abilities in problem solving, knowledge, understanding, practical and technical skills, personal and attitudinal skills and values.

### SPECIFIC OUTCOME 2

Plan and prepare for moderation.

#### **OUTCOME RANGE**

The planning and preparation is to take place within the context of an existing moderation system, whether internal or external, as well as an existing assessment plan.