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AND TRAINING AUTHORITY

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ASSESSMENT AND MODERATION GUIDELINES


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1. List of Acronyms

CAT Credit Accumulation and Transfer
CHE Council on Higher Education
QCTO Quality Council for Trades and Occupations
RPL Recognition of Prior Learning
SAQA South African Qualifications Authority
SETA Sector Education and Training Authority
NLRD National Learners' Records Database
NQF National Qualifications Framework

2. Glossary of Terms

Clarification of concepts used in this Guideline.

“Accountability” means that all relevant role-players must be able to provide evidence of the development and moderation of assessment tasks and processes and align these tasks and processes with this policy.

“Assessment Body” means a department of education or an entity accredited/ delegated by a the INSETA QA or by the Quality Council for Trades & Occupations (QCTO) to conduct external summative assessment and moderate site-based assessment for specified qualifications, part-qualifications, professional designations, or Recognition of Prior Learning (RPL).

“Learner” is an inclusive term referring to anyone learning, including pupils, students, apprentices, interns, learners in Learnerships, people doing training, and people learning non-formally and informally as well as people enrolled for particular qualifications or part-qualifications, and people learning in contact, distance, and self-study contexts at all levels in the system.

“Assessment Criteria” means the standards used to guide learning and assess learner achievement and/or evaluate and certify competence.

“Assessment” means the process used to identify gather and interpret information and evidence against the required competencies in a qualification, part-qualification, or professional designation in order to make a judgement about a learner’s achievement. Assessment can be formal, non-formal or informal; assessment can be of learning already done, or towards learning to inform and shape teaching and learning still to be done.

“Diagnostic Assessment” means assessment conducted before teaching or training starts, for the purposes of identifying learners’ strengths and weaknesses, in order to use the associated information for the purposes of creating suitable learning environments.

“Dynamic Assessment” means assessment practices in which mediation, learning, testing, frequent feedback to learners and systematic monitoring of changes in learning are explicit parts of the learning context. The goal of dynamic assessment is to see whether, by how much and in what ways those being assessed change as a result of being presented with opportunities to learn.

“Internal Assessment” means any assessment conducted internally by a provider of learning. It is assessment conducted by a person, institution or body directly involved in the development and/or delivery of the learning being assessed.

“External Assessment” means assessment developed by a qualified and competent person or body not directly involved in the development and/or delivery of the learning being assessed.

“Formative Assessment” means a range of formal, non-formal and informal on-going assessment procedures used to focus teaching and learning activities to improve learner attainment.

“Assessor” means a person able to conduct high-quality internal and external assessment for specific qualifications, part-qualifications, or professional designations. Appropriately qualified lecturers, subject matter experts with an ETDP Assessor and/or Moderator Certificate and Recognition of Prior Learning (RPL) specialists are examples of assessors.

“Summative Assessment of Learning” means assessment conducted at the end of sections of learning or at the end of a whole learning programme, to evaluate learning achievements related to a particular qualification, part-qualification, or professional designation.

“Formal Assessment” means assessment for which assessment processes, tools and results are recorded towards achievement of a qualification, part-qualification or professional designation.

“Informal Assessment” for the purposes of this Policy means any judgements made or feedback given in the course of teaching and learning activities. Informal assessments may be in written form but are not usually recorded.

“Integrated Assessment” means assessment which involves all the differing types of assessment tasks required for a particular qualification, part-qualification, or professional designation, such as written assessment of theory and practical demonstration of competence.

“Site-based Assessment” means assessment tasks developed and administered on-site by educators at the place at which tuition is offered.

“Recognition of Prior Learning (RPL)” means the principles and processes through which the prior knowledge and skills of a person are made visible, and are assessed for the purposes of alternative access and admission, certification, or further learning and development.

“National Assessment Policy” for the purposes of this Policy means all policies that are addressed to all organisations of a particular type in South Africa.

“Statistical Moderation” is a process of ensuring that the same assessment standards are applied to all learners doing particular studies. It includes the processes used to reduce sources of measurement error in assessment.

“Moderation” in assessment means internal and external verification that an assessment system is credible, that assessors and learners behave in an ethical way; and that assessments are fair, valid, reliable and practicable.

“Bias” means assessment practices that hinder or advantage particular learners or groups of learners.

An absence of bias is sought, where all learners and educators are treated with equal respect and consideration regardless of social, economic, cultural, faith-based, ethnic, gender or other differences, and where disabled learners and educators are given appropriate support.

“Credibility” means a respected process or product which results from a fair, valid and reliable validation process designed to enhance the quality of a qualification, part-qualification, or professional designation.

“Fairness” in assessment means that learners are assessed on what they know and have been taught; where questions are set in relation to the cognitive and affective curriculum covered in the teaching and learning; in the case of Recognition of Prior Learning (RPL), there has been preparation for the competent mediation of the required knowledge and other competencies; and that there is no bias towards any learners on the basis of social class, ethnicity, gender, or disability.

“Integrity” for the purposes of this Policy means honesty and transparency in every part of the assessment process, including that assessment questions must be based on work actually covered; learners must at all times be honest about what they offer to be assessed. Assessors must strive to understand what is offered by learners for assessment, and to grade it fairly at all times; and moderators must moderate a fair sample of examples against a fair range of cases.

“Reliability” is the overall consistency of a measure. A measure is said to have high reliability if it produces similar results under consistent conditions. In assessment, reliability refers to the extent to which, in similar contexts, the same assessment-related judgements can be made.

“Transparency” in assessment means the extent to which the assessment criteria and processes are known, visible to and understood by learners and the various role-players in the assessment process.

“Validation” in assessment means any assessment-related activity or practice which relates to the credibility of the assessment by confirming that the assessment is assessing what it is meant to assess.

“Validity” means the extent to which the assessment measures what it has been developed to measure.

Validity is about the appropriateness, usefulness and meaningfulness of assessment procedures, methods, instruments, and materials. Assessment is valid when assessment tasks actually test the knowledge and skills required for defined competencies and learning outcomes.

“Feedback” means specific reporting from the teacher to the learner or between learners, on how they have performed in an assessment activity, regardless of the level of formality of the assessment activity.

Feedback specifies what was done well, and why, and provides clear guidance regarding what is missing or still needs development in learners' texts, performances or demonstrations, in order to enhance learning.

“Credit Accumulation” means the totalling of credits required to complete a qualification or part-qualification.

“Credit Transfer” means the vertical, horizontal or diagonal relocation of credits towards a qualification or part-qualification on the same or different level, usually between different programmes or institutions.

“Credits” means the amount of learning contained in a qualification or part-qualification whereby one credit is equal to ten (10) notional learning hours.

“Notional hours of learning” comprise the total amount of time it would take the average learner to meet the outcomes defined in a learning experience and include *inter alia*, face to face contact time, time spent in structured learning in the workplace, time for completing assignments and research, and time spent in assessment processes.

“Learning outcomes” mean the contextually demonstrated end-products of specific learning processes, which include knowledge, skills and values.

“Educator” for the purpose of this policy, means an inclusive term referring to teachers, lecturers, facilitators, assessors, moderators and workplace mentors teaching, educating, training, facilitating, assessing, and/or enabling learning in learning contexts across the board.

“e-Learning” means a mode of teaching and learning that makes use of technology-mediated features.

“Evaluation of Learning” means process involving gathering evidence and making informed judgements about a learning programme, or module or component of a learning programme; or its curriculum, learning materials or assessment; or its impact on learners or society. Evaluation involves making a judgement about the worth, merit or impact of learning or a programme of learning.

“Guidance” for the purposes of this guideline means information provided to steer sectoral, organisational and individual assessment policy and practice, towards alignment of these policies and practices with the National Assessment Policy.

“Formal Learning” means learning that occurs in an organised and structured education and training environment and that is explicitly designated as such. Formal learning leads to the awarding of a qualification or part-qualification registered on the NQF.

“Learning pathway” means sequencing of qualifications that allows learners to move vertically, diagonally, and in some cases horizontally, through NQF levels giving learners recognition for full or partially completed qualifications or part-qualifications. Learning pathways can also lead to professional designations, when learning pathways include periods of structured work experience over and above qualifications.

“Learning programme” means a purposeful and structured set of learning experiences that leads to a qualification.

“Skills Development Provider” means a body that offers any education programme or trade and occupational learning programme that leads to a qualification or part-qualification registered on the NQF.

“Outcomes” means the contextually demonstrated end-products of specific learning processes which include knowledge, skills and values. Outcomes could be generic in that they could apply across many fields of learning (generic outcomes include aspects such as “ability to problem solve” or “understanding the world as a set of inter-related systems”).

“Portfolio Development” means an accumulation of the collection of multiple forms of evidence that is seen to represent a candidate’s learning. This collection is often referred to as a Portfolio of Evidence (PoE).

“Progression” is the means by which individuals are permitted to move through NQF levels by accumulating appropriate combinations of credits.

“Qualification” means a SAQA-registered national qualification.

“Part-Qualification” means an assessed unit of learning that is registered as part of a qualification.

“Occupational Qualification” means a qualification associated with a trade, occupation or profession, resulting in learning in and for the workplace.

“Quality Council” means one of the three councils tasked with developing and managing the Sub-Frameworks of the NQF in order to ensure that agreed quality standards are met, namely the Council on Higher Education (CHE) for the Higher Education Qualifications Sub-Framework (HEQSF); Umalusi for the General and Further Education and Training Qualifications Sub-Framework (GFETQSF); and the Quality Council for Trades and Occupations (QCTO) for the Occupational Qualifications Sub-Framework (OQSF).

“Quality” means meeting the requirements of nationally agreed outcomes and performance or assessment criteria, thus facilitating both provision and monitoring of learning.

“Sub-Framework” means one of three qualifications Sub-Frameworks which make up the NQF as a single integrated system: the Higher Education Qualifications Sub-Framework (HEQSF); the General and Further Education and Training Qualifications Sub-Framework (GFETQSF); and the Occupational Qualifications Sub-Framework (OQSF).

1. Purpose

The purpose of this guideline is to support the implementation of the QCTO Assessment Policy and provide guidance and set minimum standard for effective, valid, reliable, fair, transparent and appropriate assessments that have integrity across INSETA-accredited Skills Development Providers. This guideline is the SAQA aligned with the National Policy for Designing and Implementing Assessments for NQF Qualifications and Professional Designations in South Africa.

2. Objectives

This Guideline seeks to:

- 2.1 provide sufficient information, guidance and clarity for the implementation of learning and assessments
- 2.2 facilitate differing learning approaches in a way that is not restricting of innovation but that is aligned with NQF principles and international best practice
- 2.3 develop shared understanding of best practice principles to which assessment relating to NQF qualifications and part-qualifications must adhere
- 2.4 provide the dimensions of a holistic approach to assessment for learning and to make visible the requirements
- 2.5 clarify the assessment-related roles and functions of assessment bodies; the SAQA, assessment quality partners, Skills Development Providers and all role-players involved in assessment, with respect to NQF qualifications and part-qualifications
- 2.6 ensure alignment regarding the systemic monitoring, evaluation, and quality assurance of assessment

3. Scope and Application

This Policy provides for assessment relating to all NQF qualifications and part-qualifications and applies to:

- a) employers, learners, accredited Skills Development Providers and all role-players involved in assessment across learning quality assured by the INSETA
- b) all insurance-specific legacy qualifications and part-qualifications registered on the South African NQF

4. Registration of Assessors

Assessors are required to provide evidence that they have the expertise, knowledge in the qualification and experience in the field they would like to conduct assessments. Applicant Assessor must:

- possess a relevant qualification preferably in the same field at least one level higher than the qualification the applicant wishes to assess and be a subject matter expert and have at least 5 years direct occupational experience in the field that the applicant wishes to assess, OR
- be a subject matter expert and have at least 5 years direct occupational experience in the field that the applicant wishes to assess and membership registration with a relevant Professional Body.

All applicant Assessors must have achieved the relevant SAQA-registered Assessor unit standard confirmed by an approved ETDP Statement of Credits confirming their competence.

5. Registration of Moderators

Moderators are required to provide evidence that they have the expertise, knowledge in the qualification and experience in the field they would like to conduct moderation. Applicant Moderator must:

- be a registered Assessor with a minimum of 2 years assessment experience with INSETA or another quality assuring body;
- have achieved the unit standard “Conduct the Moderation of Outcomes-Based Assessment” and submit the relevant ETDP Statement of Credits;
- possess a relevant qualification/skills programme at a level higher, preferably in the same subject field of the qualifications/ unit standards that the applicant wishes to moderate; or a qualification at a level higher that significantly meets the exit level outcomes of the qualification/unit standards that will be moderated;
- be a subject matter expert and have at least 3 years direct occupational experience in the field that the applicant wishes to moderate.

Assessors and Moderator who still intend to practice in the Insurance Sector must apply for re-registration **three months** before expiry of their accreditation.

6. Code of Conduct for Assessors and Moderators

INSETA’s approach to business ethics is founded on the concept of utmost good faith and is characterised by integrity, reliability and a commitment to avoid harm. Equivalent standard of ethical behaviour is expected from all INSETA-registered Assessors and Moderators.

Upon registration, Assessors and Moderators will be required to sign and accept the INSETA Code of Conduct for Assessors and Moderators.

To this end assessors and moderators are required to:

- Provide accurate information about learners

- Avoid the signing of any assessment and/ or moderation documentation (including but not limited to the learning materials, tools, assessments, reports and associated forms pertaining to achievements) that is incomplete, inaccurate or untrue
- Ensure that the assessment process is clear, transparent and accessible to all learners
- Refrain from defacing or inappropriately amending any assessment evidence
- Provide for the constant review and improvement of both assessment practice and tools
- Provide opportunities and mechanisms for reassessment, both formative and summative
- Acknowledge individual difference between learners and make provision to accommodate these differences, which includes using appropriate methods of assessment and adapting these to cater for individual needs
- Make every effort to ensure assessment measures what it is intended to measure
- Gather and assess evidence against the prescribed outcomes and assessment criteria
- Be consistent in making assessment judgements against the unit standards
- Attend Assessor and Moderator forums and keep updated on technical knowledge and knowledge of assessment practices
- Brief learners clearly about the assessment process, the evidence required and the tools that will be used to assess evidence against the unit standards
- Refrain from any aggressive or abusive language or behaviour toward learner, Skills Development Provider(s) or quality assurance structures
- Adhere to the appropriate reporting lines which prescribe the first appeal to the Skills Development Provider, thereafter to the QA and only in cases of non-resolution, to the QCTO
- Report to INSETA any forgery of their signature in assessments and moderation they become aware of, where they know they did not conduct such assessment or moderation
- Report to INSETA in writing, any learning delivery and assessment non-compliance practices that by an accredited Skills Development Provider(s); are in contravention to INSETA, SAQA and QCTO policies, guidelines and procedures
- Attend capacity- and competency-building sessions arranged by INSETA.

In the assessment process, Assessors will be responsible for:

- Becoming familiar with the qualification to be assessed
- Planning the assessment and making decisions about the assessment methods, instruments, evidence required

- Designing the assessment
- Preparing the learners in accordance with laid-down policies and procedures
- Making assessment judgement against the criteria of the qualification
- Providing feedback to the learners with regard to the assessment decision
- Recording results and completing the administration according to INSETA requirements
- Evaluating the process by:
 - The use of specially-designed evaluation instruments to invite feedback from the learner and other role-players
 - Reviewing the entire process with other assessors
 - Using assessment results to evaluate the learning programme and strategies used

The Moderator will be responsible for:

- Through sampling, check the design of assessment material for appropriateness before they are used, compile a report on the assessments and monitor assessment processes
- Through comparative sampling (competent, not yet competent, across assessors) of **25% or a minimum 3** portfolios per programme, check candidate evidence, check results and decisions for consistency, make an moderation judgment indicating whether the assessors judgment is upheld or overturned
- Co-ordinate assessor meetings
- Liaise with external moderators/INSETA Verifiers
- Report any non-compliances to the INSETA QA, related to an Accredited Skills Development Provider, INSETA-Registered Assessor, -Moderator or learner misconducts
- Ensure that assessment practice is conducted according to laid down codes of conduct and in a consistent, accurate and well-designed manner
- Verify that assessments are conducted according to the assessment principles
- Moderate and sign-off the design of assessments and assessment instruments; and recommend reviews as necessary
- Provide an appeals procedure for dissatisfied learners
- Identify, investigate and report to INSETA QA; any trends in terms of inconsistencies, inaccuracies or appeals
- Evaluate the performance of assessors and ensure that methods used are comparable and judgments are consistent and accurate
- Moderate and sign-off on appropriately aligned and relevant learning material and the review thereof
- Adhere to the INSETA QA Code of Conduct for Assessors and Moderators

7. External Moderation (Verification)

External Moderators/Verifiers are deemed to be part of INSETA-QA

The purpose of external moderation is to ensure consistency and quality of learning and assessments among various accredited Skills Development Providers delivering learning and assessing.

The following outline external moderation process:

- Checking that support systems for the delivery of learning are appropriate and working effectively
- Providing advice and guidance to Skills Development Providers, Assessors and Internal Moderators
- Checking that all the staff involved in assessment are appropriately qualified, experienced and duly registered with INSETA
- Checking the credibility of assessment methods and instruments.
- Quality assuring internal moderation systems
- Ensuring consistency across providers through evaluating assessment processes and learner evidence
- Checking Assessor's decisions and Internal Moderator's judgments
- Investigating any trends or inconsistencies and recommending remediation to the Skills Development Providers
- Advising INSETA QA of any irregularities discovered

8. Core Assessment Assumptions

- The form taken by any given assessment is related to its purpose and to the qualification of which it is part
- assessment is integral to the curriculum of which it is part
- assessment criteria are established and documented before learning starts

9. Assessment Principles

It is important to adhere to the following Assessment Principles:

a) Validity

- where assessment measures what it sets out to measure; where procedures, methods, instruments and materials are appropriate, useful and meaningful;
- where there is validation activities to ensure validity;

- where there is a match between content to be assessed, learning outcomes, and purpose of assessment;
 - where the assessment relates to its stated purpose, learning outcomes, and assessment criteria
- b) Reliability**
- where measures produce similar results under consistent conditions;
 - where to a great extent, similar assessment-related judgements are made across similar contexts in consistent ways.
- c) Integrity**
- where there is honesty in every part of the assessment process
- d) Transparency**
- where learners and educators have clear understanding of the assessment processes
- e) Accountability**
- where all role-players in assessment processes acknowledge and account for their areas of responsibility;
- f) Fairness**
- where learners are assessed on what they know and have been taught
 - where the purpose of assessment is to enhance learning
- g) Absence of bias**
- where assessment practices do not in any way advantage or disadvantage particular learners or groups of learners
- h) Sensitivity to language**
- where care is taken to ensure that language does not become a barrier to learning;
- i) Credibility in the form of supportive administration procedures**
- where physical and other conditions under which assessment is conducted do not unfairly prejudice assessment activities and outcomes
- j) Assessment range**
- where the full range of relevant competencies needed for a qualification, part-qualification or are assessed.

10. Implementing the Principles of Assessment

Enhancing the quality of assessment in line with best practice is based on understanding the principles of assessment. It is expected that implementation of the principles of assessment will take different forms in each of the specific contexts of the three Quality Councils with their Sub-Frameworks.

10.1 Checking for validity/validation includes:

- a) validation of assessment tools, which involves ensuring the match between what is to be assessed and the suitability of the tools chosen to measure this aspect;
- b) validation of assessment tasks, which involves ensuring the match between what is to be assessed and the suitability of the tasks to make this aspect visible/audible;
- c) validation of assessment processes including developing assessment tools and tasks, marking, moderation, and providing feedback on assessment conducted – to ensure a match between the processes and goals of assessment;

10.2 Enhancing the reliability of assessment includes ensuring that similar judgements are made across similar contexts about:

- a) assessment tools and tasks;
- b) marking/assessing;
- c) moderation;
- d) recording and dissemination of results;
- e) certification; and
- f) record keeping.

10.3 Enhancing credibility or validation through a peer-review process where all aspects of the assessment process are documented and available for scrutiny.

10.4 Building Integrity into assessment processes and tools includes:

- a) assessment questions based on work actually covered, or to enhance learning in a genuine way
- b) learners being honest about what they offer to be assessed;
- c) assessors striving to understand what is being offered by learners for assessment, and grading it fairly at all times;
- d) moderators moderating a fair sample of cases; and
- e) feedback being given to learners and educators after moderation.

10.5 Increasing Transparency and Accountability in assessment includes:

- a) making assessment purposes, processes, criteria and consequences known and visible to all relevant stakeholders; and
- b) providing evidence of the development and moderation of assessment tasks and instruments where appropriate.

10.6 Ensuring fairness in assessment involves:

- a) an appropriate assessment range, where the full range of relevant competencies and levels of cognitive skills are required for a qualification, part-qualification or professional designation is assessed.
- b) equal assessment opportunities for all learners regardless of their ethnicity, age, gender, culture, disability, social class, language and other contextual features;
- c) sensitivity to language, where:
 - an accessible language of learning and teaching is used, which is mediated for those learners for whom it is not their mother tongue;
 - care is taken to use appropriate language that is free of ambiguity and technical jargon; and
 - in cases of translation into different national languages, the assessment is consistent and the alternate forms comparable;
- d) moderation to enhance consistency and reduce bias, which includes:
 - documentation of internal moderation procedures and outcomes
 - in the case of statistical moderation, procedures that at minimum present and explain the distribution of learner performance and the techniques used to moderate this performance
 - documentation of processes for the appointment of external moderators with expertise and experience
 - documentation of processes by which internal or external grading irregularities or sources of error are or will be corrected
- e) supportive administrative procedures, which include:
 - clear and accessible information
 - standardised conditions under which assessment is conducted
 - standardised appeals processes which are the same for all similar instances within an institution
- f) in the case of RPL, mediation between knowledge and skill gained in informal and non-formal ways, and the formal knowledge and skill required

- g) in the case of CAT and learners transferring between institutions or departments:
 - recognition that CAT must be carried out on the basis of the qualification or part-qualification concerned, and
 - there must be no discrimination on the basis of whether or not an institution is public or private, or on the basis of where qualifications, part-qualifications or credits were obtained, or any other aspect unrelated to the knowledge and skills concerned
- h) A range of modes of teaching and learning, including assessment, such as face-to-face, e-learning, mixed-mode and multi-modal approaches must be attempted to facilitate lifelong learning and to maximise inclusivity.
- i) The user-friendliness and availability of assessment-related documentation must be ensured.

11. Content of Assessment

The content of assessment is informed by its purpose, as a systematic method of gathering information regarding the desired knowledge, skills, and values. When deciding the content of assessment, the following aspects need to be taken into account:

- a) Deciding the scope of any assessment, the following aspects must be covered in the curriculum:
 - relevant knowledge, skills and values
 - relevant levels of cognitive challenge and complexity
 - The curriculum must have been benchmarked in appropriate ways.
- b) Distinctions must be made between **quantity (volume of learning)** and **quality (type of learning)** achieved. The goal of assessment must focus on both how much learning has taken place, and what kind of learning has occurred – and the extent to which all of this learning is successful.
- c) Assessment requires a **range of competencies** such as the following, all of which are considered over time:
 - the reproduction of knowledge, skills and values
 - application of knowledge, skill and values in known settings
 - application of knowledge, skills and values in new contexts
 - new ways of assessing based on application and development of knowledge and skills, and evidence of deep analysis, synthesis and understanding that enables making new connections;
- d) Distinctions must be made between capabilities that learners actually demonstrate in relation to curriculum, and the potential that learners have, to develop latent (hidden) capabilities in relation to curriculum. Where possible and appropriate, efforts must be made to assess learners' latent abilities;
- e) Assessment takes into account learners' prior learning and experience; and

- f) Assessment must be used to facilitate learning. This kind of assessment – assessment with instruction, engagement and feedback – must be adopted wherever feasible and appropriate.

12. Assessment Competence

Competence takes the following forms:

12.1 Applied Competence

The assessment of the achievements or non-achievement of the Unit Standard or Qualification outcomes is based on the competence against the prescribed assessment criteria.

12.2 Practical Competence

The demonstrated ability to perform a set of tasks in an authentic context. A range of actions or possibilities is considered and assessment decisions are made.

12.3 Foundational Competence

The demonstrated understanding of what the learner is doing and why. This underpins the practical competence and therefore the actions taken.

12.4 Reflexive Competence

The demonstrated ability to integrate performance with understanding, so as to show that the learner is able to adapt to changed circumstances appropriately and responsibly, and to explain the reason behind an action.

13. Assessment Relating to Formal, Non-formal and Informal Learning

As part of a fair and accountable system for teaching and learning, assessment in respect of formal, informal and non-formal learning must be transparent and must include CAT and RPL where feasible. Formal learning is learning that occurs in an organised and structured education or training environment and is described as such.

What is to be assessed and assessment criteria in relation to this formal learning must be made clear to learners in applicable ways - through discussion, visual ways, aural [heard] ways, or enacted demonstration, or other appropriate means.

Assessment for CAT usually takes place once comparability has been established at curriculum level. Assessment that is part of CAT must take the following into account:

a) Credit Accumulation

Each qualification and part-qualification registered on the NQF is based on learning outcomes and is assigned a credit value. Each credit represents 10 notional hours of learning and is allocated at a specific level of the NQF. Credits can be accumulated over time and counted towards a qualification or part-qualification if the learning is current.

b) Credit transfer

Credits can be relocated upwards, downwards, or sideways in the NQF, towards another qualification or part-qualification registered on the same or different Sub-Framework of the NQF. Steps must be taken to support individuals starting on new or more advanced courses by identifying gaps in knowledge and/or skills, and taking steps to address these gaps.

c) Credit Accumulation and Transfer (CAT)

The diverse features of credit accumulation and credit transfer must be combined to facilitate lifelong learning and access to the workplace. Evidence of articulation possibilities, including within and between the Sub-Frameworks of the NQF and the world of work, must be included in the design of new qualifications and part-qualifications in order to promote CAT.

In promoting CAT, qualifications must be compared using credible methods that determine the comparability of the curricula concerned. Where there are gaps, supplementary work may be required. All rules governing CAT decisions must be valid, fair, reliable, and transparent.

d) Recognition of Prior Learning (RPL)

Assessment is integral to RPL processes where informal and non-formal learning are recognised. RPL is multi-contextual. How it takes place differs between contexts. There are two main forms of RPL which reflect differing RPL purposes and practices:

- **RPL for access** which provides alternative access routes into programmes of learning; and
- **RPL for credit** which involves obtaining credits towards a qualification, part-qualification or professional designation, for learning or experience obtained informally or non-formally.

Assessment in RPL occurs not in isolation but as part of the RPL process which includes:

- candidate support before, during and after the RPL process;

- preparation for an RPL process or sub-process;
- mediation of knowledge obtained informally, non-formally or formally;
- assessment of competence; and
- certification.

RPL can be carried out at any NQF level.

14. Implementing Assessment for Differing Purposes

The following assessment purposes are recognised:

a) Diagnostic Assessment

Diagnostic assessment is usually conducted before teaching or training starts, for the purposes of identifying learners' strengths and weaknesses, in order to use the associated information for the purposes of creating suitable learning environments.

b) Integrated Assessment

Integrated assessment is a holistic set of assessment tasks needed for a qualification, part-qualification or professional designation. Integrated assessment could consist of written assessment of theory together with a practical demonstration of competence – where a learner's conceptual understanding of something is evaluated through the approach he/she takes in applying it practically. The intention is to assess learners in the modes in which they are expected to display particular competencies.

c) Formative Assessment

Formative assessment is assessment designed to feed into further learning and is very important for the learning process. A range of formal, non-formal, and informal *formative* assessment procedures must be used to focus teaching and learning to improve learner success

When formative assessment is formal, results must be recorded and they count towards promotion marks.

Formative Assessments must:

- Use a variety of assessment methods, tools and instruments appropriate to the assessment criteria of the unit standard being assessed.
- Be designed to support the teaching and learning process
- Diagnose the learner's strength and weaknesses
- Provide feedback to the learner on his/her progress per unit standard (even when integrated)

- Help to make decisions on the readiness of learners to access a summative assessment
- Assessment activities to be linked against the Unit Standards Specific Outcomes, Associated Criteria, Critical Cross Field Outcomes and Essential Embedded Knowledge and must be reflected on an Assessment Matrix
- A different assessment version to be developed per assessment intervention i.e. minimum of 1 x Formative Assessment with 1 x Remediation Formative Assessment

d) **Summative Assessment**

- Summative assessment is conducted at the end of sections of learning or whole learning programmes, to evaluate learning related to a particular qualification, part-qualification, or professional designation.
- Summative assessment of learning usually has as its aim the judgment about learner achievements at the end of a learning programme and/or the certification of learning that has already taken place, and the extent to which this learning has been successful.
- Summative assessment must be controlled, formal and knowledge-based and comprise a combination of question types- shorter questions or questions which only require singular sentence answers are only one kind of question type may be used. In addition there should be application based questions which is a longer question type and which requires learners to apply their knowledge to a scenario in which they consolidate multiple learning outcomes in an integrated manner. There may be no more than one third knowledge recall type questions
- A learner must be competent at the formative assessment stage prior to attempting the summative assessment
- Summative assessments must be conducted in a “closed-book” environment and must be administered under supervision of an invigilator
- Reference material such as a policy wording, may be supplied by the invigilator during the summative assessment
- Integrated Summative Assessment should integrate specific outcomes and assessment criteria across unit standards and this should be done over a two or three hour paper
- Summative Assessment questions should be linked to the Exit Level Outcomes of the Qualification, if articulating to full qualifications
- A learner is only competent on a Unit standard after they have been found competent on both the Formative and Summative Assessments
- **In the event of a Learnership, learners** must produce a complete Logbook signed by workplace mentors before they are allowed to take part in Summative Assessments.

15. Assessments for E-Learning

- Formative and summative assessments may be assessed online but summative assessments need to be conducted in a “**closed-book**”, **supervised** atmosphere.
- System marked assessment is not recognised for formative or summative assessment.
- Proof of a backup system needs to be in place for all e-learning assessments.

16. Re-assessments

16.1 Formative Assessment remediation is critical as this will define the learners’ access to the summative assessment. Each Skills Development Provider’s Assessment Policy must include re-assessment process for remediation for learners who were found Not Yet Competent in Formative Assessments.

16.2 Skills Development Provider’s process for re-assessment must be aligned to the following conditions:

- Learners should be given specific feedback on areas where they are assessed as not-yet-competent so that learning and remediation may focus on these areas
- Remediation should take place in the same situation or context, under the same conditions and at the same level of complexity as the original assessment
- Only **30%** of the original Assessment tool may be used for remedial assessment
- A **maximum of two** remediation interventions should be allowed. In the event that the learner is still Not-yet-competent after the second remediation, the learners should be re-enrolled on the same learning programme or guided into another learning programme.

16.3 The Assessor should exercise his/her discretion and fair judgement in the following instances:

- Where several outcomes have been assessed and some, but not all, were achieved successfully, a decision must be made about whether to retain credits for the successful outcomes, depending on the inter-dependence of the outcomes.
- The length of time allowed to lapse between the original assessment and re-assessment will depend on the currency of evidence required, but must be within the life of the qualification and the relevant Unit Standards
- A learner who is repeatedly unsuccessful should be given guidance on other possible and more suitable learning pathways.

17. Assessment Requirements and Responsibilities

17.1 Responsibilities of the INSETA Quality Assurance Division

- a) develop for use in their sector:
 - high level policy and criteria for assessment that are aligned with this National Policy for Designing and Implementing Assessment;
 - detailed assessment directives and guidelines where applicable; and
 - Exemplars where feasible.
- b) Take into account QCTO assessment policies.
- c) Oversee, support, monitor and evaluate the assessment-related work in their sector.

Monitoring includes:

- assessing alignment with the principles, content and implementation criteria in the SETA QA
 - evaluating and disseminating the development and implementation of best practice within the sector
- d) Develop and maintain an information management system for the recording of assessment results and trends, that is compatible with the National Learners' Records Database (NLRD)
 - e) Monitor and ensure the development of feedback mechanisms so that what emerges from and Verifications is fed into improving assessment practices in the sector
 - f) Enter into partnerships to align or partly align curricula, learning and assessment in ways that facilitate systemic articulation and learning pathways where applicable.
 - g) Support and monitor development of stakeholders involved in providing assessment and the extent of adherence to the National Policy for Designing and Implementing Assessment in their institutions where applicable
 - h) Appoint appropriately qualified and competent persons to conduct Verifications in the sector
 - i) Certification of learners who have achieved full required credits for a registered qualification
 - j) Registering constituent Assessors and Moderator for specified registered qualifications in terms of the criteria established for this purpose
 - k) Progressively develop and enhance capacity to initiate, support, monitor and evaluate quality assessment practices in accordance with this Policy

17.2 Responsibilities of INSETA-Accredited Skills Development Providers

- a) Fulfil the relevant quality assurance requirements
- b) Progressively develop capacity to implement the assessment policies of their accrediting QA
- c) Develop and maintain an information management system for the recording of assessment results and trends in these results
- d) Ensure development of feedback mechanisms so that what emerges from assessment and Verifications is fed into improving learning programmes and teaching practices
- e) Prepare for Verification visit as scheduled by INSETA Verifiers
- f) Provide signed NLRD form to INSETA QA
- g) Load credits obtained by learners within 21 working days of receipt of signed Verification report
- h) Implement remediation recommended by the INSETA Verifier
- i) Arrange for collection of certificates from INSETA QA.
- j) In case of Learnerships, ensure that learners and employers are given support to complete Learner Logbooks to confirm workplace experience and required notional hours

17.3 Responsibilities of Learners Participating in Assessment

- a) taking responsibility for all of the learner's parts of the assessment process
- b) Participate in assessment processes in an honest manner displaying integrity at all times
- c) When required, to follow the appeals procedures of the assessment providers concerned

18. Assessment Misconduct

The following behaviour by candidates shall constitute misconduct in the examination room

- Taking into the examination room or possessing while there any materials, written or otherwise, either not issued to candidates by an invigilator or not among the essential or permissible materials listed on the Question Paper
- Helping or attempting to help another candidate; obtaining or attempting to obtain help from another candidate.

18.1 Plagiarism

Plagiarism is defined as an act of fraud that involves both stealing someone else's work and lying about it. This includes:

- to steal and pass off the ideas or words of another as one's own
- to use another's production without acknowledging the source
- to commit literary theft
- to present as new and original an idea from an existing source

The SDP must invoke their internal Policy on how to deal with learners involved in assessments misconduct.

19. Assessment Appeals

Skills Development Providers must, as part of the assessment preparation process, inform the Learners of their right to appeal against apparently unfair assessment. Appeals can be brought against:

- Assessments that are perceived to have been unfair, invalid or unreliable
- The assessment outcome, if the Assessor's judgement is considered to show bias
- Inadequate expertise or experience of the assessor, if this is considered to have influenced the assessment outcome
- Unethical practices by the Assessor and/or Moderator

19.1 Appeals Procedure

The following steps will apply:

- If a learner who has been found Not Yet Competent is of the opinion that the assessment and/or its process were flawed, the learner may lodge an appeal in writing with the Skills Development Provider's Internal Moderator within 10 working days of receipt of assessment outcome.
- The Internal Moderator must conduct an investigation in consultation with the Assessor and the Learner, within 15 days of receipt of a written appeal notice.
- If the learner is still found not-yet-competent after the Moderator's investigation, the learner may lodge a further written appeal with the INSETA QA Manager within 10 working day of receipt of the Internal Moderator's findings.
- INSETA QA Manager will assign an External Moderator (Verifier) to conduct an investigation within 15 working days of receipt of the appeal notice.

- This investigation may involve the Internal Moderator, the Assessor, the aggrieved Learner and possibly (in agreement with all parties) an expert-witness and/or an objective third party.
- If the learner is still found to be Not Yet Competent after the Verifier's investigation, at this stage he/she must be given guidance on other possible more suitable learning paths.

20. Certification of learners by INSETA QA

- Once Verification is endorsed and learners are found to be competent, INSETA QA will send a signed Verification report to the Skills Development Provider
- Skills Development Provider is required to load learner credits of the INSETA system within 14 days of receipt of the report and report completion of this process to INSETA QA
- INSETA QA will issue learner certificates and notify Skills Development Provider to arrange collection of the same from INSETA QA for distribution to learners.