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AIDS HELPLINE: 0800-0123-22 Prevention is the cure

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GOVERNMENT NOTICES

SOUTH AFRICAN QUALIFICATIONS AUTHORITY

No. 78

30 January 2004

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Established in terms of Act 58 of 1995

22 January 2004

The South African Qualifications Authority in terms of the National Standards Body Regulations (Government Gazette No. 18787) published on 28 March 1998, hereby give notice of additional names of the following Standards Generating Body:

NSB 09 : Health Science and Social Services

Additional Names for the SGB for Child and Youth Care Work:

NOMINEE	WORKPLACE	NOMINATING BODY	EXPERIENCE/ QUALIFICATIONS
J C Michael	Child & Youth Care Agency for Development (CYCAD)	CYCAD	B Hons Social Work; Adv Dip in Business Admin; 13 years field experience; 12 years combined management and field experience

Yours sincerely,

JOE SAMUELS

DIRECTOR : STANDARDS SETTING AND DEVELOPMENT

SAQA'S MISSION

"To ensure the development and implementation of a National Qualifications Framework which contributes to the full development of each learner and to the social and economic development of the nation at large."



Established in terms of Act 58 of 1995

SOUTH AFRICAN QUALIFICATIONS AUTHORITY (SAQA)

In accordance with regulation 24(c) of the National Standards Bodies Regulations of 28 March 1998, the Standards Generating Body (SGB) for

Communication and Language

Registered by NSB 04, Communication Studies and Language, publishes the following qualification and unit standards for public comment.

This notice contains the titles, fields, sub-fields, NQF levels, credits, and purpose of the qualification and unit standards. The qualification and unit standards can be accessed via the SAQA web-site at www.saqqa.org.za. Copies may also be obtained from the Directorate of Standards Setting and Development at the SAQA offices, Hatfield Forum West, 1069 Arcadia Street, Hatfield, Pretoria.

Comment on the unit standards should reach SAQA at the address ***below and no later than 1 March 2004***. All correspondence should be marked **Standards Setting – SGB for Public Administration and Management** and addressed to

The Director: Standards Setting and Development
SAQA

Attention: Mr. D Mphuthing

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JOE SAMUELS

DIRECTOR: STANDARDS SETTING AND DEVELOPMENT

**NATIONAL CERTIFICATE IN COMMUNITY LANGUAGE PRACTICE (NQF LEVEL 4)**

- a) **Qualification Title: National Certificate in Community Language Practice (NQF Level 4)**
- b) **Field: Communication Studies & Language**
Sub-field: Language
- c) **Credits: 136**
- d) **Rationale**

A National Certificate in Community Language Practice (NQF Level 4) is required because there is a need for improved competence and recognition of competence in the areas of translating, interpreting and editing at community level. The qualification is intended to achieve entry-level language practice competence, and allows progression to Higher Education and Training at NQF Level 5. The competence attained as part of this qualification also improves learning in any other area of competence, as it facilitates attainment of literacy and focuses on linguistic competence.

Research regarding translation, interpreting and language editing indicates that the understanding of language allows citizens to interact with social systems. Their human rights, including linguistic rights, are protected and their voices are heard. This form of empowerment originates from an understanding of the social systems, and has the effect of helping individuals to function effectively within these systems. The competence attained allows credited learners to positively promote communication between different cultures. In addition, access to information has been shown to have a positive economic impact throughout the world.

The qualification has been designed to provide access to education and training by means of Recognition of Prior Learning within the competence areas. It is also intended to allow learners to obtain credit towards part of the qualification, as the majority of learners who have not had access to formal education and training regarding translation, interpreting and editing have attained sets of competence through workplace experience. These learners often work as freelance service providers in one of the above areas, within their communities, and the qualification is set to improve employment opportunities for learners in this field. The learners include speakers of all official African, South African and any other languages.

e) Purpose of the Qualification

The purpose of the National Certificate in Community Language Practice (NQF Level 4) is to ensure that credited learners are able to render translation, interpreting and editing services in a community-based context (that is, a community within which the learner lives and/or works and is familiar with). Acquisition of this qualification will enhance the quantity and quality of translation, interpreting and editing services in general, and more specifically at community level, and will improve professionalism and ensure ethical conduct.

Learners who qualify and acquire recognised professional competence are able to improve their earning capacity. In addition, an elective component would provide the competence required for

entrepreneurship, allowing credited learners to contribute to the South African economy. Credited learners can also contribute to community upliftment by entrenching linguistic rights, improving access to public services and resolving conflict that arises from ineffective communication.

Qualifying learners are capable of:

- Communicating proficiently in at least their first language and in a second language within their community context
- Organising bilingual and intercultural communication flow
- Managing the power relations in a community context
- Interpreting and conveying verbal and non-verbal communication within and between language groups
- Managing own interpreting and translation activities
- Appreciating interpreting and translation as professional activities, keeping to deadlines and performing activities ethically
- Starting a new business venture, and/or supervising a team of interpreters and/or translators, and/or collecting research data through field work

Interpretation is the conveyance of information from one language to another in spoken or signed form, and translation is the conveyance of information from one language to another in written form

f) Rules of combination

This qualification is designed as follows:

Compulsory	All Fundamental Unit Standards (56 Credits)	First Language , NQF level 4 (20 Credits)
		Second Language , NQF level 4 (20 Credits)
		Mathematics , NQF level 4 (16 Credits)
	All Core Unit Standards (70 Credits)	
Optional at least 10 credits, from Elective Unit Standards, in the following "packages"	Business Investigate the possibilities of establishing and running a small business enterprise, 3 Credits, and Identify customers of the business, 4 Credits, and Care for Customers, 3 Credits	
	Supervision Supervise work unit to achieve work unit objectives (individuals and teams), 12 Credits	
	Research Plan and conduct research activities that redress social development issues, 10 Credits	

Credits	NQF Level		
	4	5	Total
Component			
Fundamental	56		56
Core	60	10	70
<i>Subtotal</i>			
<i>Elective</i>	22	10	10
Total	138	20	136

Learning components: 56 Fundamental, 70 Core and 10 Elective credits

Proposed Unit Standard Title	Level	Credits	Component
1. Engage in sustained oral communication and evaluate spoken texts (8974)	4	5	Fundamental
2. Read, analyse and respond to a variety of texts (8975)	4	5	
3. Write for a wide variety of texts (8976) (Source Language)	4	5	
4. Use language and communication in occupational learning programs (8979) (Source Language)	4	5	

5. Engage in sustained oral communication and evaluate spoken texts (8974)	4	5	
6. Read, analyse and respond to a variety of texts (8975)	4	5	
7. Write for a wide variety of texts (8976) (Target Language)	4	5	
8. Use language and communication in occupational learning programs (8979) (Target Language)	4	5	
9. Use mathematics to investigate and monitor the financial aspects of personal, business, and national issues (9014)	4	6	
10. Apply knowledge of statistics and probability to critically interrogate and effectively communicate findings on life-related problems (9015)	4	6	
11. Represent, analyse and calculate shape and motion in 2- and -dimensional space in different contexts (9016)	4	4	Core
Subtotal: Fundamental 56 Credits			
12. Facilitate bilingual and intercultural communication flow in community interpreting	4	10	
13. Facilitate bilingual and intercultural communication flow in community translation	4	10	
14. Interpret oral text from one language to another ¹	4	20	
15. Translate written text from one language to another	4	20	
16. Manage own interpreting activities	5	5	Elective
17. Manage own translation activities	5	5	
Subtotal: Core 70 Credits			
18. Investigate the possibilities of establishing and running a small business enterprise (SMME) (10386)	4	3	
19. Identify customers of the business (10015)	4	4	
20. Care for Customers (8600)	4	3	
21. Supervise work unit to achieve work unit objectives (individuals and teams) (10981)	4	12	
22. Plan and conduct research activities that redress social development issues (110059)	5	10	
Subtotal: Elective 10 Credits			

g) Access to the qualification

Because of the significance of language competence in effectiveness of translation, interpreting and editing, access to this qualification is limited to learners who have attained NQF Level 1 language competence in their home language as well as another language. Credit can be obtained through Recognition of Prior Learning.

This qualification is based on Unit Standards. Therefore, any learner who demonstrates competence as required by the fundamental, core and elective components as stated in the qualification, will have access to this qualification.

h) Assumptions of learning already in place

To successfully engage with learning towards this qualification, it is assumed that learners have attained language and communication competence in their home language and another language to:

- Engage in a range of speaking and listening interactions
- Read and respond to a range of text types
- Write for a variety of different purposes
- Explore and use a variety of strategies to learn

¹ Range should state that the term 'language' includes reference to language varieties, including, for example, dialects

- Identify and respond to selected literary texts
- Use mathematics to investigate and monitor the financial aspects of personal and business issues
- Investigate life and work related problems using data and probabilities
- Describe, apply, analyse and calculate shape and motion in 2-and 3-dimensional space in different contexts
- Measure, estimate, calculate physical quantities, explore, describe and represent, interpret, justify geometrical relationships in 2 & 3-dimensional space relevant to the life or workplace of the community

These competencies are contained in registered Unit Standards for Communication and Language Studies, and Mathematics Literacy, both at NQF Level 3

i) **Exit level outcomes and associated assessment criteria**

Exit Level Outcomes	Associated Assessment Criteria
Fundamental and Core	
1. Communicate proficiently in at least the first and a second language within the community context	Verbal and non-verbal communication is used effectively and critically, yet sensitively. Text and subtext of verbal and non-verbal communication is identified and appropriately responded to. Communication is used to facilitate individually or collective understanding, effectively and efficiently.
2. Use mathematics for personal and business applications	National, regional and personal budgets are analysed Calculations and the use of statistics are correct Calculations and instruments are used and taken into account when reporting final values
3. Organise bilingual and intercultural communication flow	Strategies are selected for intercultural communication Strategies are used and monitored to facilitate respectful intercultural communication.
4. Manage the power relations in a community context	Tenor of discourse is applied for respectful intercultural communication. Tenor of discourse is monitored to facilitate respectful intercultural communication.
5. Interpret and convey verbal and non-verbal communication within and between language groups	Target language is used appropriately, and in context Verbal and non-verbal communication methods of target culture is respected Vocabulary, idiom and terminology reflect the intended message.
6. Manage own interpreting and translation activities	Data gathering strategies are appropriate to culture and context Contracts with clients are negotiated appropriately Quality assurance strategies are in place
7. Appreciate interpreting and translation as professional activities, keeping to deadlines and performing tasks ethically	Briefs are interpreted, adhered to and renegotiated where required Codes of conduct and codes of ethics of the profession are adhered to

Elective (attainment of one outcome is required to qualify)	
8. Start and maintain a business venture <u>OR</u>	Opportunities for a new business are identified and pursued Customers are identified and their needs and expectations strived for, to ensure repeat business
9. Supervise a work unit <u>OR</u>	Objectives of the team are clearly stated and communicated Action plans are developed and adhered to, to promote adherence to objectives and time frames
10. Plan and conduct research activities	Research plans and schedules are compiled and adhered to Findings of research are interpreted, correctly

j) International comparability

These standards have been developed in line with international standards for the same level of learning and application.

New Zealand

The New Zealand National Qualifications Framework has ten levels of progression. The Translation and Interpreting Unit Standards (no qualification exists on the New Zealand framework) are registered at Levels 6 and 7. Level 6 is described as involving carrying out processes that require a command of wide-ranging, highly specialised technical or scholastic skills, a wide choice of standard and non-standard procedures, often in non-standard combinations, in highly variable routine and non-routine contexts. This is the equivalent of the South African NQF Level 5 or 6. The decision was made to develop this lower level qualification to meet the relatively greater need for interpreting and translating competence in South Africa due to the unique South African environment, for example the multi-cultural, multilingual context. Apart from this difference in complexity, various differences and similarities are noted in the (core) Unit Standards.

Title	South Africa			New Zealand	
	Comp	Level	Credits	Level	Credits
Organise bilingual and intercultural communication flow in community interpreting	Core	4	10		
Demonstrate knowledge of the theory and techniques of interpreting and/or translating				7	15
Interpret and translate for the media between English and New Zealand Sign Language				7	15
Interpret from Maori to English at ceremonial occasions				7	15
Organise bilingual and intercultural communication flow in community translation	Core	4	10		
Interpret oral text from one language to another	Core	4	20		
Interpret in community settings				6	35
Translate written text from one language to another	Core	4	20		
Translate written or other recorded materials from one language into another language				7	45
Manage own interpreting activities	Core	5	5		
Apply management practices to the provision of interpreting and translation services				6	10
Demonstrate knowledge of the ethics and role of the professional interpreter and/or translator				6	15

Prepare for a translating assignment				6	5
Prepare for an interpreting assignment				6	5
Manage own translation activities	Core	5	5		
Total Credits			70		160

Other differences include that:

- The New Zealand standards include 10 credits for Management practice at Level 6
 - The New Zealand standards include 20 credits each at Level 7 for conference interpreting, court and legal interpreting, and interpreting in health care settings
 - The New Zealand standards include translating literary text (Level 7) from one language to another is assigned 15 credits
 - This South African qualification includes credits for communication and language competence
- Credits assigned to each unit standard are generally higher for the South African standards.

Australia:

Australia has a range of Translation and Interpretation qualifications all of which compare to the present qualification to various degrees, for example:

Certificate III in translating (Indigenous) (*Certificates III have replaced trade certificates*)

Diploma of Interpreting and Translation

Advanced Diploma of Translating

Advanced Diploma of Interpreting and Translating (*Diplomas and Advanced Diplomas recognise capacity for initiative and judgement across a broad range of technical and/or management functions. The Advanced Diploma is a more specialised qualification and signifies skill and knowledge of a greater complexity and a higher level of personal accountability than is required at a Diploma level.*)

Scotland:

Scotland provides a range of registered Unit Standards that comprise a Scottish Vocational Qualification in Translation. The Unit Standards, which compare well with the present qualification's Unit Standards include:

Mandatory Unit Standards

Translate General Texts

Translate Technical Texts

Translate Creative Texts

Translate Complex Technical Texts

Develop Own Performance as a Translator

Optional Unit Standards:

Provide Sight Interpretations of Information on Everyday Topics

Research, Prepare and Present Information for Translation Purposes

Access, Process and Retrieve Language Information from a Database for Translation Purposes

Assess the Requirements for the Translation Service

k) Integrated assessment

Before qualifying, the learner will be expected to demonstrate competence that integrates the assessment of all specific outcomes, for all Unit Standards, for example, applying competence in a practical scenario. This will require learners to translate, interpret and proofread within and between at least two languages. In addition, during the learning process to attain the outcomes of each Unit Standard, learners will be expected to give evidence that they have attained the embedded knowledge and specific skills contained in specific outcomes for the relevant Unit Standard.

l) Recognition of Prior Learning (RPL)

Learners who have met the requirements of any Unit Standard in this qualification may apply for recognition of prior learning to the relevant Education and Training Quality Assurance body (ETQA). The applicant will be assessed against the specific outcomes and with the assessment criteria for

the relevant Unit Standard or Unit Standards. A qualification will be awarded should a candidate demonstrate that all the Unit Standards outcomes have been attained.

m) Articulation possibilities

This qualification was developed for **articulation** between translation, interpreting and editing areas of competence.

- Horizontal articulation on the Framework is possible with qualifications such as the
 - National Certificate in New Venture Creation (SMME) (NQF Level 4), (For example Unit Standard: Investigate the possibilities of establishing and running a small business enterprise)
 - National Certificate in Human Resources Management and Practices Support (NQF Level 4), [For example Unit Standard: Supervise work unit to achieve work unit objectives (individuals and teams)]
 - National Certificate in marketing Research (NQF Level 4). (For example Unit Standard: Care for Customers)
- Vertical articulation with ABET Level 4, the GETC, and with FET Levels 2 and 3 qualifications is possible. The competencies attained during this qualification provide a basis for further learning towards business management and entrepreneurship, research, human resource management, etc.

n) Moderation options

Assessment of learner achievements takes place at providers accredited by the relevant ETQA (RSA, 1998b) for the provision of programs that result in the outcomes specified for the National Certificate in Community Language Practice (NQF Level 4). The ETQA is responsible for moderation of learner achievements of learners who meet the requirements of this qualification. Anyone assessing a learner or moderating the assessment of a learner against this qualification must be registered as an assessor with the ETQA. Any institution offering learning that will enable the achievement of this qualification must be accredited as a provider with the relevant ETQA. The ETQA will oversee assessment and moderation of assessment according to their policies and guidelines for assessment and moderation, or in terms of agreements reached around assessment and moderation between the relevant ETQA and other ETQAs and in terms of the moderation guideline detailed below.

Moderation must include both internal and external moderation of assessments at exit points of the qualification, unless the relevant ETQA policies specify otherwise. Moderation should also encompass achievement of the competence described both in Unit Standards as well as the integrated competence described in the qualification. Anyone wishing to be assessed against this qualification may apply to be assessed by any assessment agency, assessor or provider institution that is accredited by the relevant ETQA.

To register as an assessor, the following are required:

- Detailed documentary proof of relevant qualification/s, practical training completed, and experience gained (a Portfolio of Evidence)
- NQF recognised assessor credit

In particular, assessors should assess that the learner demonstrates an ability to consider a range of options by:

- Measuring the quality of the observed practical performance as well as the theory and underpinning knowledge.
- Using methods that are varied to allow the learner to display thinking and decision making in the demonstration of practical performance.
- Maintaining a balance between practical performance and theoretical assessment methods to ensure each is measured in accordance with the level of the qualification.
- Taking into account that the relationship between practical and theoretical is not fixed but varies according to the type and level of qualification.

NATIONAL CERTIFICATE IN COMMUNITY LANGUAGE PRACTICE (NQF LEVEL 4): UNIT STANDARDS

A. Existing Unit Standards

Unit Standard 1: Engage in sustained oral communication and evaluate spoken texts, NQF Level 4,5 credits (8974)

Unit Standard 2: Read, analyse and respond to a variety of texts, NQF Level 4,5 credits (8975)

Unit Standard 3: Write for a wide variety of texts, NQF Level 4,5 credits (8976)

Unit Standard 4: Use language and communication in occupational learning programs, NQF Level 4,5 credits (8979)

Unit Standard 5: Engage in sustained oral communication and evaluate spoken texts, NQF Level 4,5 credits (8974)

Unit Standard 6: Read, analyse and respond to a variety of texts, NQF Level 4,5 credits (8975)

Unit Standard 7: Write for a wide variety of texts, NQF Level 4,5 credits (8976)

Unit Standard 8: Use language and communication in occupational learning programs, NQF Level 4,5 credits (8979)

Unit Standard 9: Use mathematics to investigate and monitor the financial aspects of personal, business, and national issues, NQF Level 4,6 credits (9014)

Unit Standard 10: Apply knowledge of statistics and probability to critically interrogate and effectively communicate findings on life-related problems, NQF Level 4,6 credits (9015)

Unit Standard 11: Represent, analyse and calculate shape and motion in 2- and -dimensional space in different contexts, NQF Level 4,4 credits (9016)

Unit Standard 23: Investigate the possibilities of establishing and running a small business enterprise (SMME), NQF Level 4,3 credits (10386)

Unit Standard 24: Identify customers of the business, NQF Level 4,4 credits (10015)

Unit Standard 25: Care for Customers, NQF Level 4,3 credits (8600)

Unit Standard 26: Supervise work unit to achieve work unit objectives (individuals and teams), NQF Level 4,12 credits (10981)

Unit Standard 27: Plan and conduct research activities that redress social development issues, Level 5,10 credits (110059)



Established in terms of Act 58 of 1995

12. UNIT STANDARD TITLE: FACILITATE BILINGUAL AND INTERCULTURAL COMMUNICATION FLOW IN COMMUNITY INTERPRETING

Unit Standard NLRD Number:	(To be added by SAQA)
NQF Level:	5
Credits:	10
Field:	NSB 04: Communication Studies and Language
Sub-field:	Language
Issue Date:	(To be added by SAQA)
Review Date:	(To be added by SAQA)

Purpose:

The purpose of this Unit Standard is to capacitate learners to facilitate bilingual and intercultural communication flow and manage power relations (that is, the equalising of statuses, especially where the interpreting forms part of a conflict resolution process and where language barriers create power imbalances) in a community-interpreting context.

Credited learners are capable of:

Selecting interpreting strategies appropriate to familiar contexts.

Adhering to cultural norms.

Identifying language power relations and eliminating language related power barriers.

Adapting interpretation strategies in relation to stakeholders.

They learn to participate as responsible citizens in the life of local communities, by contributing to the resolution of conflict, by maximising understanding between parties, thereby assuring that misunderstanding does not contribute to conflict, and by conducting themselves in an ethical and professional manner. By facilitating bilingual and intercultural communication flow and managing power relations, they learn the importance of being culturally and aesthetically sensitive across a range of contexts.

Learning assumed to be in place:

To successfully engage with learning towards this unit standard, it is assumed that learners have attained language and communication competence in their home language and another language, to engage in a range of speaking and listening interactions (NQF Level 1, including ABET Level 4)

Specific Outcomes – Credited learners are able to:	Assessment Criteria – Evidence shows that:
Select community interpreting strategies that facilitate communication flow	<p>A variety of strategies are considered</p> <p>An appropriate strategy is selected according to the intended function and cultural context</p> <p>The selected strategy is justified</p> <p>Adaptation of communication process during transactions meets cultural context requirements</p>

	Selected strategy is constantly monitored during interpreting activities
Adhere to cultural norms that facilitate communication flow	Cultural norms are identified according to situation Behaviour is adapted to identified norm Appropriate strategy is selected Reflection of process is ongoing
Respect power relations to facilitate communication flow	Appropriate tenor of discourse is selected Appropriate tenor of discourse is applied Tenor of discourse is monitored Tenor of discourse is adapted according to context
Adapt strategies in relation to stakeholders' requirements	Cultural dynamics are respected Theoretical strategies are modified according to context Theoretical concepts are reflected on in relation to context at any time during the implementation of the strategy Selected strategies are justified

Accreditation process and moderation:

Assessment of learner achievements takes place at providers accredited by a relevant ETQA (RSA, 1998b) for the provision of programs that result in the outcomes specified for this unit standard. Anyone assessing a learner against this unit standard must be registered as an assessor with a relevant ETQA. Any institution offering learning that will enable achievement of this unit standard must be accredited as a provider with a relevant ETQA. The relevant ETQA according to the moderation guidelines and the agreed ETQA procedures will oversee moderation of assessment and is responsible for moderation of learner achievements of learners who meet the requirements of this unit standard.

Range statements:

Interpretation is the conveyance of information from one language to another in spoken or signed form. Additional indications of the range are reflected in the Unit Standard where relevant.

Notes:

Critical cross-field outcomes

Credited learners have attained the generic ability to:

- Solve problems when constantly monitoring the strategy which was selected for interpretation in order to facilitate community communication flow
- Work effectively with others throughout the process of interpreting
- Employ self management when reflecting on own adherence to cultural norms
- Manage information when tenor of discourse is adapted according to context and power relations are respected to ensure communication flow
- Communicate effectively throughout the process of interpreting
- Understand contextual world systems when respecting power relations to ensure communication flow

Essential embedded knowledge

Credited learners understand and can explain:

Communication theory
Community interpreting strategies
Source and Target Cultures (Power relations)
Linguistics theory
Codes of ethics, codes of conduct and professional conduct
The purposes of interpreting
Data gathering strategies

Terminology relevant to interpreting assignments
Components of a structured plan for interpreting events
Quality assurance strategies, methods, techniques and tools and instruments



13. UNIT STANDARD TITLE: FACILITATE BILINGUAL AND INTERCULTURAL COMMUNICATION FLOW IN COMMUNITY TRANSLATION

Unit Standard NLRD Number:	(To be added by SAQA)
NQF Level:	4
Credits:	10
Field:	NSB 04: Communication Studies and Language
Sub-field:	Language
Issue Date:	(To be added by SAQA)
Review Date:	(To be added by SAQA)

Purpose:

The purpose of this Unit Standard is to capacitate learners to translate in a community context and to facilitate bilingual and intercultural communication flow, whilst managing power relations.

Credited learners are capable of:

Selecting translation strategies appropriate to familiar contexts.

Adhering to cultural norms.

Identifying language power relations and respecting those power relations.

Adapting translation strategies in relation to stakeholders.

They learn to participate as responsible citizens in the life of local communities, by maximising understanding between parties, thereby contributing to the resolution of conflict and by conducting themselves in an ethical and professional manner. By facilitating bilingual and intercultural communication flow and managing power relations, they learn the importance of being culturally and aesthetically sensitive across a range of contexts.

Learning assumed to be in place:

To successfully engage with learning towards this unit standard, it is assumed that learners have attained language and communication competence in their home language and another language, to engage in a range of speaking and listening interactions (NQF Level 1, including ABET Level 4). Furthermore, Life Skills competencies, as set out in NQF Level 2 Life Skills Unit Standards, are assumed.

Specific outcomes - Credited learners are able to:	Assessment criteria - Evidence shows that:
Select translation strategies	<p>A variety of strategies are considered</p> <p>An appropriate strategy is selected according to the intended function and cultural context</p> <p>The selected strategy is justified</p> <p>Adaptation of communication process during transactions meets cultural context requirements</p> <p>Selected strategy is reviewed and assessed</p>
Adhere to cultural norms	<p>Cultural norms are identified according to situation</p> <p>Translation style is adapted to identified norm</p>

	Appropriate strategy is selected Reflection of process is ongoing A consistent path is followed according to function
Respect power relations and eliminate power related language barriers	Appropriate tenor of discourse is selected Appropriate tenor of discourse is applied Tenor of discourse is monitored Tenor of discourse is adapted according to path initially selected
Adapt strategies in relation to stakeholders' requirements	Cultural dynamics are respected Theoretical strategies are combined according to stakeholder requirements Theoretical concepts are reflected on Selected strategies are justified

Accreditation process and moderation:

Assessment of learner achievements takes place at providers accredited by a relevant ETQA (RSA, 1998b) for the provision of programs that result in the outcomes specified for this unit standard.

Anyone assessing a learner against this unit standard must be registered as an assessor with a relevant ETQA.

Any institution offering learning that will enable achievement of this unit standard must be accredited as a provider with a relevant ETQA.

The relevant ETQA according to the moderation guidelines and the agreed ETQA procedures will oversee moderation of assessment and is responsible for moderation of learner achievements of learners who meet the requirements of this unit standard.

Range statements:

Translation is the conveyance of information from one language to another in written form. Additional indications of the range are reflected in the Unit Standard where relevant.

Notes:**Critical cross-field outcomes**

Credited learners have attained the generic ability to:

- Solve problems when constantly monitoring the strategy which was selected for translation in order to facilitate communication flow
- Work effectively with others throughout the process of translation
- Employ self management when reflecting on own adherence to cultural norms
- Manage information when tenor of discourse is adapted according to context and power relations is respected to ensure communication flow
- Communicate effectively throughout the process of translation
- Understand contextual world systems when respecting power relations to ensure communication flow

Essential embedded knowledge

Credited learners understand and can explain:

Communication theory
Source and Target Cultures
Codes of ethics, codes of conduct and professional conduct
Data gathering strategies
Terminology relevant to interpreting assignments
Components of a structured plan for interpreting events
Quality assurance strategies, methods, techniques and tools and instruments



Established in terms of Act 58 of 1995

14. UNIT STANDARD TITLE: INTERPRET FROM ONE LANGUAGE TO ANOTHER

Unit Standard NLRD Number:	(To be added by SAQA)
NQF Level:	4
Credits:	20
Field:	NSB 04: Communication Studies and Language
Sub-field:	Language
Issue Date:	(To be added by SAQA)
Review Date:	(To be added by SAQA)

Purpose:

The purpose of this Unit Standard is to capacitate learners to interpret from one language to another, in a community context. Learners will make information accessible in the community, which information is otherwise inaccessible, empowering people to have a voice in their own community.

Credited learners are capable of:

Using linguistic and cultural codes that are relevant and familiar in a cultural context.
 Conveying messages, the meaning of which is understandable to stakeholders.
 Conveying messages that reflect the intended source messages.
 Providing interpreting services in the community.
 Facilitating effective communication between stakeholders.
 Assuring quality and adapting own performance in relation to brief.
 Dealing with "noise" (any interference that distorts the message, includes sounds, moods etc.)

Learners learn to participate as responsible citizens in the life of local communities, by contributing to the resolution of conflict and by conducting themselves in an ethical and professional manner. Learners learn the importance of being culturally and aesthetically sensitive across a range of contexts, whilst improving their earning ability, by obtaining recognised professional competence.

Learning assumed to be in place:

It is assumed that learners have the following competencies when embarking on this unit standard:

First Language, NQF Level 3
 Second Language, NQF Level 3
 Life Skills, NQF Level 2

Specific outcomes - Credited learners are able to:	Assessment criteria - Evidence shows that:
Use codes	Target language is used appropriately in context Source message is decoded in context Codes used is appropriate to specific interpreting situation (tenor, cultural dynamics, etc) Language features and structures are adhered to Terminology, vocabulary, idiom suit the context
Convey messages understandable to	Messages are enunciated clearly Messages reflect the mood of the sender

stakeholders	Messages are audible Tempo of delivery corresponds to that of sender Receiver's processing ability is assessed Difficulty and formality of message is adapted according to receiver.
Convey intended message	Source message is conveyed completely (quantity) Source message is conveyed accurately (quality) Information superfluous to context is excluded Vocabulary, idiom, terminology reflect the intended message.
Deal with 'noise'	Sources of 'noise' are identified Influences of 'noise' are counteracted Sources of 'noise' that can be controlled are eliminated Sources of 'noise' are assessed for impact

Accreditation process and moderation:

Assessment of learner achievements takes place at providers accredited by a relevant ETQA (RSA, 1998b) for the provision of programs that result in the outcomes specified for this unit standard.

Anyone assessing a learner against this unit standard must be registered as an assessor with a relevant ETQA.

Any institution offering learning that will enable achievement of this unit standard must be accredited as a provider with a relevant ETQA.

The relevant ETQA according to the moderation guidelines and the agreed ETQA procedures will oversee moderation of assessment and is responsible for moderation of learner achievements of learners who meet the requirements of this unit standard.

Range statements:

Interpretation is the conveyance of information from one language to another in spoken form
'Noise' is any interference that distorts the message, includes sounds, moods etc

Notes:

Critical cross-field outcomes

Credited learners have attained the generic ability to:

- Solve problems when adapting the difficulty and formality of a message to ensure receiver's full comprehension
- Work effectively with others throughout the interpretation process
- Employ self management when excluding information superfluous to the context in order to ensure effective and efficient interpretation
- Manage information when assessing the impact of noise on the interpretation process
- Communicate effectively throughout the interpretation process
- Understand contextual world systems when assessing a receiver's processing ability to ensure effective interpretation

Essential embedded knowledge

Credited learners understand and can explain:

Communication theory

Source and Target Language (Proficiency and Reading, Structure, Idiom, Textual features and other relevant elements)

Codes of ethics, codes of conduct and professional conduct

The purposes of interpreting

Data gathering strategies

Terminology relevant to interpreting assignments

Components of a structured plan for interpreting events

Quality assurance strategies, methods, techniques and tools and instruments



Established in terms of Act 58 of 1995

15. UNIT STANDARD TITLE: TRANSLATE FROM ONE LANGUAGE TO ANOTHER

Unit Standard NLRD Number:	(To be added by SAQA)
NQF Level:	4
Credits:	20
Field:	NSB 04: Communication Studies and Language
Sub-field:	Language
Issue Date:	(To be added by SAQA)
Review Date:	(To be added by SAQA)

Purpose:

The purpose of this Unit Standard is to capacitate learners to translate from one language to another in a community context. Learners will make information accessible in the community, which is otherwise inaccessible, empowering people to have a voice in their own community.

Credited learners are capable of:

Using linguistic and cultural codes that are relevant and familiar in a cultural context.
 Conveying messages, the meaning of which is understandable to stakeholders.
 Conveying messages that reflect the intended source messages.
 Providing translation services in the community.
 Facilitating effective communication between stakeholders.
 Assuring quality and adapting own performance in relation to brief.

They learn to participate as responsible citizens in the life of local communities, by maximising understanding between parties, thus contributing to the resolution of conflict and by conducting themselves in an ethical and professional manner. They learn the importance of being culturally and aesthetically sensitive across a range of contexts, whilst improving their earning ability, by obtaining recognised professional competence

Learning assumed to be in place:

It is assumed that learners have the following competencies when embarking on this unit standard:

First Language, NQF Level 3
 Second Language, NQF Level 3
 Life Skills, NQF Level 2

Specific outcomes - Credited learners are able to:	Assessment criteria - Evidence shows that:
Use source message codes	Target language is used appropriately in context Source message is decoded in context Codes used are appropriate to specific text function Language features and structures are adhered to Terminology, vocabulary, idiom suit the context

Convey messages understandable to recipients	Text is clear and concise Form reflects the purpose of the translation Formulation is optimal for effective communication Receiver's processing ability is assessed Complexity and formality of source message is adapted according to receiver.
Convey intended message	Source message is conveyed completely in terms of translation brief (quantity) Source message is conveyed accurately according to brief (quality) Information superfluous to context is excluded Vocabulary, idiom, terminology is adapted to capture cultural differences. Translation gives consideration to cultural differences
Present written product	Grammatical errors are identified and corrected Technical errors are identified and corrected Punctuation errors are identified and corrected Layout and presentation is appropriate Writing is clear and legible Incorrect translations are rectified Text promotes reader involvement

Accreditation process and moderation:

Assessment of learner achievements takes place at providers accredited by a relevant ETQA (RSA, 1998b) for the provision of programs that result in the outcomes specified for this unit standard.

Anyone assessing a learner against this unit standard must be registered as an assessor with a relevant ETQA.

Any institution offering learning that will enable achievement of this unit standard must be accredited as a provider with a relevant ETQA.

The relevant ETQA according to the moderation guidelines and the agreed ETQA procedures will oversee moderation of assessment and is responsible for moderation of learner achievements of learners who meet the requirements of this unit standard.

Range statements:

Translation is the conveyance of information from one language to another in written form. Additional indications of the range are reflected in the Unit Standard where relevant.

Notes:

Critical cross-field outcomes

Credited learners have attained the generic ability to:

- Solve problems when adapting the difficulty and formality of a message to ensure receiver's full comprehension
- Work effectively with others throughout the translation process
- Employ self management when conveying messages understandable to recipients
- Manage information when adapting vocabulary, idiom and terminology to capture cultural differences.
- Communicate effectively throughout the translation process
- Understand contextual world systems when assessing a receiver's processing ability to ensure effective translation

Essential embedded knowledge

Credited learners understand and can explain:

Communication theory

Source and Target Language (Proficiency and Reading, Structure, Idiom, Textural features and other relevant elements)

Codes of ethics, codes of conduct and professional conduct

Data gathering strategies

Terminology relevant to interpreting assignments

Components of a structured plan for interpreting events

Quality assurance strategies, methods, techniques and tools and instruments



Established in terms of Act 58 of 1995

16. UNIT STANDARD TITLE: MANAGE OWN INTERPRETING ACTIVITIES

Level on the NQF: 5
Credits: 5
Field: Communication Studies and Language
Sub-field: Language
Issue date:
Review date:

Purpose

The purpose of this Unit Standard is to ensure that learners are able to prepare for, and accomplish interpreting assignments, analyse an interpreting brief, and evaluate their own performance against the interpreting brief. Learners mostly already work as interpreters within their community, although employment is not a requirement to attain the outcomes.

Specifically, credited learners are able to:

Brief relevant parties involved in interpreting assignments regarding interpreting code of practice, the process and their role within the process
 Investigate terminology relevant to interpreting assignments before commencing with interpreting
 Organise practical aspects related to interpreting assignments (for example, securing venue and equipment)
 Analyse the interpreting brief or instructions for efficient decision-making before and during the interpreting process
 Quality assure and modify/adapt own interpreting performance in relation to the brief, before and during the interpreting process
 Debrief parties to assess whether expectations regarding the interpreting brief and process were met

By ensuring that learners are able to prepare for interpreting assignments, prepare the participants, set up the logistics for interpreting, and evaluate their own performance, this Unit Standard aims to ensure that credited learners provide high quality interpreting services. Learners become aware of the importance of reflecting and exploring a variety of strategies to learn more effectively, as they identify various sources of information, they access such sources, and use the information and terminology appropriately. They learn to participate as responsible citizens in the life of local communities, by maximising understanding (thereby contributing to the resolution of conflict) and by conducting themselves in an ethical and professional manner. By preparing for the interpreting process, they learn the importance of being culturally and aesthetically sensitive across a range of contexts. Finally, by attaining the outcomes related to interpreting the brief and evaluating their performance in relation to the brief a client focus is developed that allows learners to improve their economic empowerment opportunities within the field.

Learning assumed to be in place

It is assumed that learners have attained language and communication competence in their home language and another language to:
 Engage in a range of speaking and listening interactions

Identify and respond to selected literary texts

These competencies are required to obtain credit for registered Unit Standards for Communication and Language Studies at NQF Level 1 (including ABET Level 4).

Specific Outcomes – Credited learners are able to:	Assessment Criteria – Evidence shows that:
Specific Outcome 1: Brief parties regarding interpreting code of practice	The parties have understood the purpose of the interaction The parties know how to conduct themselves during the interaction Codes of conduct and codes of ethics of the profession are adhered to by the learner
Specific Outcome 2: Investigate terminology relevant to interpreting assignments	Appropriate data gathering strategies are used Records of terminology are kept Codes of conduct and codes of ethics of the profession are adhered to by the learner
Specific Outcome 3: Establish logistics related to interpreting assignments	Logistic requirements are adequately addressed/in place Codes of conduct and codes of ethics of the profession are adhered to
Specific Outcome 4: Analyse the interpreting brief/instructions for efficient decision-making	Negotiation of the contract with the client has been completed/taken place A structured plan is developed for the event Codes of conduct and codes of ethics of the profession are adhered to
Specific Outcome 5: Quality assure and modify/adapt own interpreting performance in relation to the brief	Appropriate quality assurance strategies are selected Quality is accurately assured using appropriate methods, techniques and tools and instruments Interpreting performance is continually modified when required, in line with feedback Codes of conduct and codes of ethics of the profession are adhered to
Specific Outcome 6: Debrief parties to assess whether expectations were met	All participants' (including own and client's) expectations are considered Deviations from the brief are addressed Codes of conduct and codes of ethics of the profession are adhered to

Accreditation and Moderation

Assessment of learner achievements takes place at providers accredited by the relevant ETQA (RSA, 1998b) for the provision of programs that result in the outcomes specified for this Unit Standard. The ETQA is responsible for moderation of learner achievements of learners who meet the requirements of this Unit Standard. Anyone assessing a learner or moderating the assessment of a learner against this Unit Standard must be registered as an assessor with the ETQA. Any institution offering learning that will enable the achievement of this Unit Standard must be accredited as a provider with the relevant ETQA. The ETQA will oversee assessment and moderation of assessment according to their policies and guidelines for assessment and moderation, or in terms of agreements reached between the relevant ETQA and other ETQAs regarding assessment and moderation. Moderation must include both internal and external moderation of assessments, unless the relevant ETQA policies specify otherwise. Anyone wishing to be assessed against this qualification may apply to be assessed by any assessment agency, assessor or provider institution that is accredited by the relevant ETQA.

Range statements

The range of competence regarding communication and language includes two languages, namely, the learners' home language and one other language. Language also includes sign language. All codes and modes are included, including Braille.

Notes**13.1 Critical cross-field outcomes**

On completion of learning towards this Unit Standard, learners will have acquired the generic ability to:

- Identify and solve problems responsibly and creatively during the interpreting interaction evident in their critically evaluating their own interpreting performance, continually modifying their behaviour when required, in line with feedback and addressing deviations from the brief.
- Work effectively with others as a member of a team, group, organisation, or community while rendering interpreting services within the community, and briefing the parties regarding interpreting practice.
- Organise and manage oneself and one's activities responsibly and effectively by quality assuring and modifying/adapting own interpreting performance in relation to the brief and adhering to the professional codes of conduct and codes of ethics.
- Collect, analyse, organise and critically evaluate information regarding the interpreting brief/instructions and terminology relevant to the interpreting assignments.
- Communicate effectively using language skills in the mode of oral presentation during interpreting assignments when briefing and debriefing the parties involved.
- Use science and technology effectively and critically, showing responsibility towards the environment and health of others while establishing logistics and researching terminology.
- Demonstrate an understanding of the world as a set of related systems by recognising that problem-solving contexts do not exist in isolation, taking into account all parties' expectations and analysing the interpreting brief/instructions for efficient decision making.

13.2 Essential Embedded Knowledge

Credited learners understand and can explain:

Codes of ethics, codes of conduct and professional conduct

The purposes of interpreting

Data gathering strategies

Terminology relevant to interpreting assignments

Components of logistics

Contractual requirements and components of an interpreting brief

Components of a structured plan for interpreting events

Quality assurance strategies, methods, techniques and tools and instruments



17. UNIT STANDARD TITLE: MANAGE OWN TRANSLATION ACTIVITIES

Level on the NQF:	5
Credits:	5
Field:	Communication Studies and Language
Sub-field:	Language
Issue date:	
Review date:	

Purpose

The purpose of this Unit Standard is to ensure that learners are able to understand and assess client specifications, after deciding whether to take on assignment based on their level of expertise. Learners are able to fulfil the required translating tasks and evaluate their own performance against the translating brief. Learners mostly already work as translators within their community, although employment is not a requirement to attain the outcomes.

Credited learners are capable of:

Assessing and negotiating the brief, bearing in mind ethical and professional requirements
 Brief relevant parties involved in translation regarding translation code of practice, the process and the parties' roles within the process
 Investigate terminology relevant to translation assignments before commencing with translation
 Analyse the translation brief or instructions for efficient decision-making before and during the translation process
 Quality assure and modify/adapt own translation performance in relation to the brief, before, during and after the translation process

By ensuring that learners are able to prepare for translation assignments, negotiate with clients regarding boundaries, set up the logistics for translation, and evaluate their own performance, this Unit Standard aims to ensure that credited learners provide translation services appropriate to the context. Learners become aware of the importance of reflecting and exploring a variety of strategies to identify various sources of information, access such sources, and use the information and terminology appropriately. They learn to participate as responsible citizens in the life of local communities, by contributing to the resolution of conflict and by conducting themselves in an ethical and professional manner. By preparing for the translation process, they learn the importance of being culturally and aesthetically sensitive across a range of contexts. Finally, by attaining the outcomes related to translation and by evaluating their performance in relation to the brief, a user focus is developed that allows learners to improve their earning potential within the field.

Learning assumed to be in place

To successfully engage with learning towards this unit standard, it is assumed that learners have attained language and communication competence in their home language and another language to:

Engage in a range of speaking and listening interactions
 Identify and respond to selected literary texts

These competencies are required to obtain credit for registered Unit Standards for Communication and Language Studies at NQF Level 1 (including ABET Level 4).

Specific Outcomes – Credited learners are able to:	Assessment Criteria – Evidence shows that:
Specific Outcome 1: Brief parties regarding translation code of practice	The parties have understood the purpose of the interaction The parties know how to conduct themselves during the interaction Codes of conduct and codes of ethics of the profession are adhered to
Specific Outcome 2: Research terminology relevant to translation assignments	Appropriate data gathering strategies are used Terminology is recorded Codes of conduct and codes of ethics of the profession are adhered to
Specific Outcome 4: Analyse the translation brief/instructions for efficient decision-making	Negotiation of the brief and contract with the client has been completed/taken place A structured plan is developed for the task Codes of conduct and codes of ethics of the profession are adhered to
Specific Outcome 5: Quality assure and modify/adapt own translation performance in relation to the brief / Completed task fulfils the brief	Appropriate quality assurance strategies are selected Quality is accurately assured using appropriate methods, techniques and tools and instruments Translation performance is modified during the process, in line with the brief before release Codes of conduct and codes of ethics of the profession are adhered to

Accreditation and Moderation

Assessment of learner achievements takes place at providers accredited by the relevant ETQA (RSA, 1998b) for the provision of programs that result in the outcomes specified for this Unit Standard. The ETQA is responsible for moderation of learner achievements of learners who meet the requirements of this Unit Standard. Anyone assessing a learner or moderating the assessment of a learner against this Unit Standard must be registered as an assessor with the ETQA. Any institution offering learning that will enable the achievement of this Unit Standard must be accredited as a provider with the relevant ETQA. The ETQA will oversee assessment and moderation of assessment according to their policies and guidelines for assessment and moderation, or in terms of agreements reached between the relevant ETQA and other ETQAs regarding assessment and moderation. Moderation must include both internal and external moderation of assessments, unless the relevant ETQA policies specify otherwise. Anyone wishing to be assessed against this qualification may apply to be assessed by any assessment agency, assessor or provider institution that is accredited by the relevant ETQA.

Range statements

The range of competence regarding communication and language includes two languages, namely, the learners' home language and one other language. Language also includes sign language. All codes and modes are included, including Braille.

Notes**Critical cross-field outcomes**

On completion of learning towards this Unit Standard, learners will have acquired the generic ability to:

- Identify and solve problems responsibly and creatively during the translating interaction by critically evaluating their own translating performance and modifying their behaviour when required.
- Work effectively with others as a member of a team, group, organisation, or community while rendering translation services within the community, and briefing the parties regarding translation practice.
- Organise and manage oneself and one's activities responsibly and effectively by quality assuring and modifying/adapting own translation performance in relation to the brief and adhering to the professional codes of conduct and codes of ethics
- Collect, analyse, organise and critically evaluate information regarding the translation brief/instructions and terminology relevant to the translation assignments
- Communicate effectively using language skills in the mode of oral presentation during translation assignments when briefing and debriefing the parties involved
- Use science and technology effectively and critically, showing responsibility towards the environment and health of others while establishing logistics and investigating terminology
- Demonstrate an understanding of the world as a set of related systems by recognising that problem-solving contexts do not exist in isolation, taking into account all parties' expectations and analysing the translation brief/instructions for efficient decision-making

Essential Embedded Knowledge

Credited learners understand and can explain:

Codes of ethics, codes of conduct and professional conduct

The purposes of interpreting

Data gathering strategies

Terminology relevant to interpreting assignments

Components of logistics

Contractual requirements and components of an interpreting brief

Components of a structured plan for interpreting events

Quality assurance strategies, methods, techniques, tools, and instruments

**SOUTH AFRICAN QUALIFICATIONS AUTHORITY (SAQA)**

In accordance with regulation 24(c) of the National Standards Bodies Regulations of 28 March 1998, the Standards Generating Body (SGB) for

Entrepreneurship Small Business Development

Registered by NSB 03, Business, Commerce and Management Studies, publishes the following unit standards for public comment.

This notice contains the titles, fields, sub-fields, NQF levels, credits, and purpose of the unit standards. The unit standards can be accessed via the SAQA web-site at www.saga.org.za. Copies may also be obtained from the Directorate of Standards Setting and Development at the SAQA offices, Hatfield Forum West, 1069 Arcadia Street, Hatfield, Pretoria.

Comment on the qualification and unit standards should reach SAQA at the address ***below and no later than 1 March 2004***. All correspondence should be marked **Standards Setting – SGB for Entrepreneurship Small Business Development** and addressed to

The Director: Standards Setting and Development
SAQA

Attention: Mr. D Mphuthing

Postnet Suite 248

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e-mail: dmphuthing@saqa.co.za

JOE SAMUELS

DIRECTOR: STANDARDS SETTING AND DEVELOPMENT

1. **TITLE:** Demonstrate an understanding of an entrepreneurial profile.

2. **UNIT STANDARD NUMBER:**

3. **LEVEL ON THE NQF:** 4

4. **CREDITS:** 5

5. **FIELD:** Business, Commerce and Management Studies
Sub Field: Generic Management

6. **ISSUE DATE:**

7. **REVIEW DATE:**

8. **PURPOSE:**

This Unit Standard is aimed at learners who would like to identify and develop within themselves, the personal characteristics of an entrepreneur that ensure the successful operation of a new venture.

The Unit Standard also introduces the learner to the economic, administrative and behavioural (psycho-social) barriers that contribute to failure in starting and sustaining an enterprise. The learner will develop strategies to work effectively in a group and set personal goals in an entrepreneurial context.

In order to contribute to the development of society at large the Unit Standard will make the learner aware of the importance of the entrepreneur in creating new ventures and employment opportunities.

The qualifying learner will be able to:

- Describe and discuss entrepreneurship
- Identify and describe the characteristics of a successful entrepreneur.
- Identify, assess and improve individual entrepreneurial characteristics.
- Explain and demonstrate effective teamwork strategies in an entrepreneurial context.

9. **LEARNING ASSUMED TO BE IN PLACE:**

Learners accessing this qualification will have demonstrated competence in Computer Literacy, Mathematical Literacy and Communications at NQF level 3 or equivalent.

10. **SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA:**

Specific Outcome 1: Describe and discuss entrepreneurship.

Assessment Criteria:

- 1.1 Entrepreneurship is described and discussed in terms of employment opportunities .

- 1.2 Entrepreneurial opportunities are identified and described within a specific economic area related to the interest of the learner.
- 1.3 Advantages and disadvantages of entrepreneurship are explained with examples.
- 1.4 Reasons for business failure are identified and discussed with examples.
- 1.5 The role of entrepreneurship in social development is explained with examples

Specific Outcome 2: Identify and describe the characteristics of a successful entrepreneur.

Assessment Criteria:

- 2.1 The characteristics of a successful entrepreneur are identified and discussed with examples
- 2.2 Skills, aptitudes, personality and values of entrepreneurial behaviour are clearly differentiated with examples.
- 2.3 The importance of each characteristic is analysed in the context of a specific new venture.
- 2.4 The technical, business, managerial and personal strategies required for establishing a successful venture are explained with examples.

Specific Outcome 3: Identify, assess and improve individual entrepreneurial characteristics.

Assessment Criteria:

- 3.1 A base-line knowledge of self in respect of personality, interests and aptitude is established by the learner
- 3.2 The characteristics of a successful entrepreneur are identified and listed in the individual's own context.
- 3.3 Own strengths and weaknesses as an entrepreneur are determined with examples.
- 3.4 Strategies to address shortcomings are developed and implemented where possible.
- 3.5 Enabling programmes for the new entrepreneur are identified.
- 3.6 Short term goals for self in entrepreneurial context are clearly articulated and discussed.
- 3.7 Medium and long term goals are planned and sustainability of the goals are determined.

Specific Outcome 4: Explain and demonstrate effective teamwork strategies in an entrepreneurial context.

Assessment Criteria:

- 4.1 The concepts of teamwork are explained and implemented where applicable.
- 4.2 The characteristics of group dynamics are analysed with examples given of each.
- 4.3 Group roles and stages in team development are identified.
- 4.4 Strategies for effective teamwork and the effects of group dynamics in the work place are discussed with examples.

11. ACCREDITATION AND MODERATION:

- An individual wishing to be assessed (including through RPL) against this Unit Standard may apply to an assessment agency, assessor or provider institution accredited by the relevant ETQA., or an ETQA that has a Memorandum of Understanding with the relevant ETQA
- Anyone assessing a learner against this Unit Standard must be registered as an assessor with the relevant ETQA or an ETQA that has a Memorandum of Understanding with the relevant ETQA.
- Any institution offering learning that will enable achievement of this Unit Standard or assessing this Unit Standard must be accredited as a provider with the relevant ETQA or an ETQA that has a Memorandum of Understanding with the relevant ETQA .
- Moderation of assessment will be conducted by the relevant ETQA at its discretion.

12. RANGE STATEMENT:

- The individual's context may include family, community, spaza, organisation or business
- Entrepreneurial characteristics include, but are not limited to commitment, energy, need to achieve, tolerance for stress, decisiveness, and ability to deal with failure, ability to identify opportunities, to make informed decisions, ability to manage risk and time management.
- The role of entrepreneurship in social development: Job creation, empowerment, local wealth creation, urbanisation and negation of migrant labour.
- Address shortcomings: skills training, assertiveness training or equivalent programmes.
- Aptitude and personality tests. Psycho-social barriers contributing to failure.
- Group work and group dynamics.

13. NOTES:**EMBEDDED KNOWLEDGE:**

- Definition of entrepreneur and "intrapreneur".
- Definitions of skills, aptitudes, personality and values.
- The distinguishing characteristics and role of an entrepreneurial profile.
- Understand a range of potential self-employment options.
- An understanding and an appreciation that it is usually an individual's responsibility to develop entrepreneurial skills.
- Advantages and disadvantages of entrepreneurship.
- Reasons for business failure.
- Group dynamics and effective team strategies.

CRITICAL CROSS-FIELD AND DEVELOPMENTAL OUTCOMES:

The ability to:

- Communicate effectively using visual, mathematical and/or language skills in context of the new venture.
- Organise oneself and one's activities by carefully considering the advantages and disadvantages of being an entrepreneur before making a business decision.

- Collect, analyse, organise and critically evaluate information in order to develop entrepreneurial skills with a clear understanding of the implications for a new venture.
- Identify and solve problems pertaining to the entrepreneurial profile of the individuals.
- Work effectively in a group within a business context.

1. **TITLE:** Apply innovative thinking to the development of a small business
2. **UNIT STANDARD NUMBER:**
3. **LEVEL ON THE NQF:** 4
4. **CREDITS:** 4
5. **FIELD:** Business, Commerce and Management Studies
Sub Field: Generic Management
6. **ISSUE DATE:**
7. **REVIEW DATE:**
8. **PURPOSE:**

This Unit Standard is aimed at giving the learners a fundamental understanding of the importance of innovation in business success. The learner will gain knowledge of specific techniques for releasing creativity in the development a viable business venture.

It will also address the behavioural (psycho-social) barriers that contribute to failure in starting and sustaining an enterprise.

The qualifying learner will be able to:

- Develop specific techniques for releasing creativity in developing ideas/opportunities for a new venture.
- Determine the role of innovation in the development and growth of a new venture.
- Apply principles and practices of innovation in the development and growth of a new venture.

9. LEARNING ASSUMED TO BE IN PLACE:

- Learners accessing this qualification will have demonstrated competence in Computer Literacy, Mathematical Literacy and Communications at NQF level 3 or equivalent.

10. SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA:

Specific Outcome 1: Develop specific techniques for releasing creativity in developing ideas/opportunities for a new venture

Assessment Criteria:

- 1.1 The concept and application of creativity is demonstrated through business related activities.
- 1.2 The difference between analytical and creative thinking is demonstrated with examples through problem-solving activities in a new venture creation context.
- 1.3 Barriers to creative thinking are identified with examples of their effect on creative thinking.
- 1.4 Lateral thinking exercises are applied to generate new ideas.

Specific Outcome 2: Determine the role of innovation in the development and growth of a new venture.

Assessment Criteria:

- 2.1 The concept of innovation is described and discussed in relation to new venture creation.
- 2.2 Types of innovation are identified and explained with examples.
- 2.3 The impact of innovation on a new venture is explained with examples.
- 2.4 The relationship between successful entrepreneurship and innovation is explained with examples.
- 2.5 Factors that contribute to the development and growth of a new venture are identified and explained with examples.

Specific Outcome 3: Apply principles and practices of innovation to the development and growth of a new venture.

Assessment Criteria:

- 3.1 Innovative thinking is applied to generate new products that the business can make and/or new services it can provide for greater profitability and/or viability
- 3.2 Innovative thinking is applied to generate alternative ways the business can run its operations to cut costs and increase income.
- 3.3 Innovative thinking is applied to generate ways in which the business can generate more employment opportunities without putting the business at risk
- 3.4 Innovative thinking is used to generate ways in which the skills needs of employees can be addressed without risking the venture.
- 3.5 Innovative thinking is applied to find ways to minimise the impact of opposition firms on the venture.

11. ACCREDITATION AND MODERATION:

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

12. RANGE STATEMENT:

- Thinking Skills and idea generating techniques.
- Analytical and creative thinking in a business context.
- The individual's context may include family, community, spaza, organisation or business.
- Entrepreneurial characteristics include, but are not limited to commitment, energy, need to achieve, tolerance for stress, decisiveness, and ability to deal with failure.

13. NOTES:**EMBEDDED KNOWLEDGE:**

- Thinking skills
- Definition of creativity
- Analytical and creative thinking
- The barriers of creative thinking
- The concept of innovation
- Entrepreneurship and innovation
- Types and causes of innovation
- Idea generation techniques
- Principles and practices of innovation.

CRITICAL CROSS-FIELD AND DEVELOPMENTAL OUTCOMES:

The ability to:

- Communicate effectively using visual, mathematical and/or language skills in describing innovative ideas for a new venture.
- Organise oneself and one's activities by carefully considering the advantages and disadvantages of being an innovative entrepreneur before making a business decision.
- Collect, analyse, organise and critically evaluate information in order to promote innovation in a new venture.
- Demonstrate an understanding of the world as a set of related systems where the application of the principles and practices of innovation create better chances for a successful venture.
- Identify and solve problems pertaining to the identification of innovative practices in new ventures.

1. TITLE: Research the viability of new venture ideas/opportunities.

2. UNIT STANDARD NUMBER:

3. LEVEL ON THE NQF: 4

4. CREDITS: 5

5. FIELD: Business, Commerce and Management Studies
Sub Field: Generic Management

6. ISSUE DATE:

7. REVIEW DATE:

8. PURPOSE:

This Unit Standard is aimed at learners who wish to identify and screen new ideas and/or opportunities with the intention of establishing and/or participating in a new venture.

The qualifying learner is capable of finding information about different industry sectors; explaining the purpose of potential new ventures; identifying characteristics of successful ventures and evaluating new venture opportunities.

The qualifying learner will be able to:

- Identify and assess own business ideas/opportunities for a new venture.
- Analyse the viability of a selected idea/opportunity against specific screening variables.
- Research the potential of a particular idea/opportunity as a new venture.
- Analyse a range of risks associated with a new venture.
- Evaluate new venture ideas/opportunities based on research findings.

9. LEARNING ASSUMED TO BE IN PLACE

Learners accessing this qualification will have demonstrated competence in Computer Literacy, Mathematical Literacy and Communications at NQF level 3 or equivalent.

10. SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA:

Specific Outcome 1: Identify and assess own business ideas/opportunities for a new venture.

Assessment Criteria:

- 1.1 An own business is discussed in terms of its advantages and disadvantages for the owner, the labour market and the business sector.
- 1.2 Sources and methods of access to general and commercial business information are identified for proposed business venture.
- 1.3 Reasons for selecting or rejecting a particular new venture idea/opportunity are explained with examples.
- 1.4 Essential features of the new venture are identified in terms of market share, sales volume, asset value, and extent of independence from outside control.

Specific Outcome 2: **Analyse the viability of a selected idea/opportunity against specific screening variables.**

Assessment Criteria:

- 2.1 The aptitude, interests and values of the potential owner are screened for suitability to the new venture.
- 2.2 The market conditions are assessed to determine the viability of the new venture.
- 2.3 An assessment is made of the competition the new venture is up against.
- 2.4 The access to relevant technology and other resources needed for the new venture is analysed to aid a decision on the viability of the new venture .

Specific Outcome 3: **Research the potential of a particular idea/opportunity as a new venture.**

Assessment Criteria:

- 3.1 A personal profile of an entrepreneur is matched to the type of work, product or service that has potential as a new venture to ensure compatibility.
- 3.2 Training needs to ensure success of the new venture are identified for all persons involved in the venture.
- 3.3 Market research is conducted including analysis of demand for the product/service and competitor analysis.
- 3.4 The most suitable location of the new venture is investigated to aid a decision on the location of the new venture.
- 3.5 Constraints on trade and applicable by-laws are investigated to ensure that there are no legal obstacles to the establishment of the new venture.

Specific Outcome 4: **Analyse a range of risks associated with a new venture.**

Assessment Criteria:

- 4.1 The concept of risk management is explained with examples .
- 4.2 The potential risks and factors that may threaten the new venture are identified and analysed with a view to eliminating and/or minimising them.
- 4.3 The risks associated with being an employer are explained.
- 4.4 The possible measures to reduce risk are explained with examples from a real or simulated new venture.
- 4.5 The insurance and security needs associated to risks in the new venture are investigated.

Specific Outcome 5: **Evaluate new venture ideas/opportunities based on research findings.**

Assessment Criteria:

- 5.1 Criteria are established for evaluating the success of a new venture.
- 5.2 A preliminary evaluation of the proposed new venture is produced in the form of a written report, using the identified criteria.

11. ACCREDITATION AND MODERATION:

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12. RANGE STATEMENT:

- Risks include demand, competition, capability to produce/service at an economic and marketable price, level of capital require.
- Failure factors include capital management, credit management, technical ability, market access and size, marketing/selling skills, management capability, business growth, personal life conflict.
- Evaluation refers to the size and type of market segment, product range, sources of supply, physical facilities, essential services, financial resources, return on investment, staffing needs, technology requirements, legal/regulatory compliance, growth potential.

13. NOTES:

EMBEDDED KNOWLEDGE:

- Methods and techniques for assessing and analysing information associated with new venture opportunities.
- How to evaluate new venture opportunities.
- The types of new ventures and opportunities.
- The Labour Market study
- Researching the industry and the broad market
- Consumer, competitors and supplier research
- Interpreting research findings
- Identifying your target market
- Estimating the size of the market
- Conducting own research
- Risk management, insurance and security

CRITICAL CROSS-FIELD AND DEVELOPMENTAL OUTCOMES

- Identify and solve problems and make decisions which arise during the process of assessing, analysing and evaluating new venture opportunities.
- Collect, analyse, organise and critically evaluate information which will assist in the investigation and assessment of new venture opportunities.
- Organise oneself and one's activities by using structured methods in investigating and assessing new venture opportunities.
- Demonstrate an understanding of the world as a set of related systems by explaining the potential impact of proposed new venture decisions.
- Develop entrepreneurial opportunities.

1. TITLE: Demonstrate an understanding of the function of the market mechanisms in a new venture

2. UNIT STANDARD NUMBER:

3. LEVEL ON THE NQF: 4

4. CREDITS: 5

5. FIELD: Business, Commerce and Management Studies
Sub Field: Generic Management

6. ISSUE DATE:

7. REVIEW DATE:

8. PURPOSE:

This Unit Standard is aimed at learners who wish to develop an understanding of the way market mechanisms operate in a new venture. It will also address the economic realities of South Africa and the role new ventures play in job creation.

The qualifying learner will be able to:

- Explain the free market system in terms of perfect and imperfect competitive markets.
- Discuss and illustrate the interaction of demand and supply in price determination under conditions of perfectly competitive markets.
- Identify and discuss the factors that drive economic activity.
- Describe the development and significance of markets with particular reference to South Africa.

9. LEARNING ASSUMED TO BE IN PLACE

Learners accessing this qualification will be competent in Computer Literacy, Mathematical Literacy and Communications at NQF level 3 or equivalent.

10. SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA:

Specific Outcome 1: Explain the free market system in terms of perfect and imperfect competitive markets.

Assessment Criteria:

- 1.1 Characteristics of different economic systems are identified with examples.
- 1.2 The role of competition in a free market system is explained with examples from state owned/ monopolies and private businesses.
- 1.3 Varying prices of the same product/service are listed in illustrating competition.
- 1.4 Reasons for imperfect competitiveness are described with examples.
- 1.5 The advantages and disadvantages of competition are explained with examples for the consumer and business.

Specific Outcome 2: Discuss and illustrate the interaction of demand and supply in price determination under conditions of perfectly competitive markets.

Assessment Criteria:

- 2.1 The laws of demand and supply and the consequence of these laws for new ventures are explained and illustrated with examples.
- 2.2 Demand and supply curves are illustrated and the relationship between the variables is explained in context of own venture.
- 2.3 The relationship between demand, supply and price is discussed and illustrated with reference to own products or service.
- 2.4 Factors that lead to changes in the demand and supply curve are listed in own specific context.

Specific Outcome 3: Identify and discuss the factors that drive economic activity.

Assessment Criteria:

- 3.1 The effects of cyclical movements in a market system are evaluated in context of a new venture.
- 3.2 The concept of inflation and its impact on own specific business is described with examples.
- 3.3 The reasons for the decline in the value of money are identified with examples.
- 3.4 The role of foreign currency and exchange rates in the general economy is identified with examples.
- 3.5 The role of the interest/ BA rate, Gross Domestic Product and Balance of Payments in the operations of own venture is identified and explained with examples.

Specific Outcome 4: Describe the development and significance of markets with particular reference to SA.

Assessment Criteria:

- 4.1 International trade as a result of uneven distribution of resources is investigated in terms of opportunities for new ventures.
- 4.2 The socio-economic factors in South Africa that underline the importance of new ventures, are identified with examples.
- 4.3 The conditions for the existence of perfect and imperfect markets are explained and related to the south African context.
- 4.4 Growth sectors that exist in South Africa are identified for possible new ventures.

11. ACCREDITATION AND MODERATION:

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12. RANGE STATEMENT:

- Concepts of the economic system.
- Laws of demand and supply
- Interaction of demand, supply and price.
- Factors that influence the South African economy.

13. NOTES:**EMBEDDED KNOWLEDGE:**

- Capitalism and Communism
- Market systems
- Demand and supply
- Inflation, GDP, Consumer Price Index
- Balance of Payments, Exchange Rates, Interest Rates
- Economic cycle
- Growth sectors of RSA
- Identifying new venture opportunities.

CRITICAL CROSS-FIELD AND DEVELOPMENTAL OUTCOMES:

The ability to:

- Identify and solve problems in which responses display that responsible decisions using critical and creative thinking have been made.
- Collect, analyse, organise and critically evaluate information in relevant sources and other written/spoken texts.
- Organising and managing oneself and one's activities responsibly and effectively in order to understand the way market mechanisms operate.
- Demonstrate and understand the world as a set of related systems through engaging in a number of tasks that require integration of information from different sources and from existing knowledge.
- Exploring education and career opportunities through an awareness of the realities of the South African economy.

1. **TITLE:** Plan strategically to improve business performance.

2. **UNIT STANDARD NUMBER:**

3. **LEVEL ON THE NQF:** 4

4. **CREDITS:** 4

5. **FIELD:** Business, Commerce and Management Studies
Sub Field: Generic Management

6. **ISSUE DATE:**

7. **REVIEW DATE:**

8. **PURPOSE:**

The qualifying learner will be able to define the concept of strategic planning; discuss and explain the role of the various organisational structures in business performance; supervise and monitor expenditure as a crucial aspect of business performance and analyse marketing objectives.

The learner will be able to identify and rectify problems occurring in a/own business and develop various attributes of a/own business venture to improve performance.

The qualifying learner will be able to:

- Define and discuss the concept of strategic planning in managing business performance.
- Discuss and explain the role of the various organisational structures in business performance.
- Supervise and monitor expenditure as a crucial aspect of business performance.
- Analyse marketing objectives related to business performance.
- Identify and rectify performance problems occurring in own business.
- Develop business attributes in a specific context to enhance performance.

9. **LEARNING ASSUMED TO BE IN PLACE**

Learners accessing this qualification should be competent in: Computer Literacy, Mathematical Literacy and Communication at NQF level 4 or equivalent.

10. **SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA:**

Specific Outcome 1: Define and discuss the concept of strategic planning in managing business performance.

Assessment Criteria:

- 1.1 The concept of strategic planning is defined and discussed using examples from a business venture
- 1.2 Benefits of strategic planning for performance monitoring are listed using examples from a business venture
- 1.3 Aspects of a good strategic plan are identified using examples from a business venture
- 1.4 The relationship between the timing of a strategic plan and performance of a

venture is determined and evaluated using examples from a business venture

Specific Outcome 2: Discuss and explain the role of the various organisational strategies in business performance.

Assessment Criteria:

- 2.1 The role of key elements — purpose, process, props, prototype — are determined in the strategy/plan.
- 2.2 Alternative organisational structures are identified and an explanation given of how key elements operate within each structure.
- 2.3 Advantages and disadvantages of all organisational structures are explained using examples from a business venture
- 2.4 Reasons for choosing particular organisational structures are described in terms of a particular business venture.
- 2.5 Examples of organisational structures are provided for own context.

Specific Outcome 3: Supervise and monitor expenditure as crucial aspect of business performance.

Assessment Criteria:

- 3.1 Supervision practices, with reference to expenditure are evaluated in own business.
- 3.2 Marketing expenditure is analysed in accordance with the scope of the business.
- 3.3 Business progress is monitored and attributes needing development identified against project plan.
- 3.4 Workflow is organised to achieve minimal wastage and delay.
- 3.5 Maintenance management techniques and tools are utilised as a process for managing and anticipating expenditure.

Specific Outcome 4: Monitor, measure and report on business performance.

Assessment Criteria:

- 4.1 Qualitative and quantitative performance indicators are considered for a particular business venture.
- 4.2 Financial indicators are measured and reported for a particular business venture.
- 4.3 Customer satisfaction is monitored and reported for a particular business venture.
- 4.4 A variety of reporting lines are recognised and explained for a particular business venture.
- 4.5 Report priorities and requirements are described and documented for a particular business venture.
- 4.6 Progress is documented and reported in accordance with established
- 4.7 Procedures and agreed timeframe and format.
- 4.8 Decisions on the future of business are based on performance indicators.

Specific Outcome 5: Identify and rectify performance problems occurring in business.

Assessment Criteria:

- 5.1 Potential problems are identified, recorded and notified with a view to their resolution
- 5.2 Symptoms of performance problems are identified and root causes determined.
- 5.3 Appropriate problem-solving methods and techniques are identified, selected and applied to solve the problem.

5.4 Performance problems are rectified within set timeframes.

11. ACCREDITATION AND MODERATION:

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12. RANGE STATEMENT:

- Identify and use appropriate organisational structures in setting up and running a business
- Need for strategic plans and changes in a venture to ensure performance leads to and is driven by the profit motive.
- Advantages and disadvantages of organisational structures including: Finances, business marketing plans, problem identification, culture, politics, vision, ethics and business etiquette.
- Factors that influence the South African economy.

13. NOTES:

EMBEDDED KNOWLEDGE:

- Market systems, Demand and supply
- Economic cycle
- Growth sectors of RSA
- Business organisational structures
- Advantages and disadvantages of each type of organisational structure
- Principles and techniques for general supervision of peoples
- Comprehensive understanding of the nature and scope of business
- Problem solving techniques

CRITICAL CROSS-FIELD AND DEVELOPMENTAL OUTCOMES:

The following Critical Cross-Field Outcomes are addressed by this Unit Standard:

- Identify and solve problems in which responses display that responsible decisions using critical and creative thinking have been made.
- Work effectively with others as members of a team, group organisation and community.
- Collect, analyse, organise and critically evaluate information in relevant sources and other written/spoken texts.
- Organising and managing oneself and one's activities responsibly and effectively in order to understand the way organisational structures work in a business environment.
- Demonstrate and understand the world as a set of related systems through engaging in a number of tasks that require integration of information from different sources and from existing knowledge.

1. **TITLE:** **Implement an action plan for business operations.**

2. **UNIT STANDARD NUMBER:**

3. **LEVEL ON THE NQF:** 4

4. **CREDITS:** 4

5. **FIELD:** Business, Commerce and Management Studies
Sub Field: Generic Management

6. **ISSUE DATE:**

7. **REVIEW DATE:**

8. **PURPOSE:**

This Unit Standard is intended for all people working in the SMME sector. The learner will be able to implement the business plans developed for a new venture. The practical and physical aspects of establishing a business are the focus of this Unit Standard.

The qualifying learner will be able to:

- Design an action plan for a new venture.
- Implement an action plan to establish own business
- Set up business premises and operational systems
- Arrange business finances
- Identify the crime risk and establish necessary precautions for safety.

9. **LEARNING ASSUMED TO BE IN PLACE**

Learners accessing this Unit Standard should be competent in: Computer Literacy, Mathematical Literacy and Communications at NQF level 3 or equivalent.

10. **SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA:**

Specific Outcome 1: **Design an action plan for a new venture.**

Assessment Criteria:

- 1.1 Actions to take to establish a business are listed with a view to setting priorities.
- 1.2 Actions to be taken are prioritised and an explanation given of the reason for the priority assigned to each action.
- 1.3 Time frames are scheduled for prioritised actions.
- 1.4 Deadlines are determined for scheduled actions.

Specific Outcome 2: **Set up business premises and operational systems**

Assessment Criteria:

- 2.1 Options of leasing or purchasing premises are compared together with the advantages and disadvantages of each option.
- 2.2 Suitable premises and location are determined for a particular business venture.
- 2.3 Operating systems are put into place for a particular business venture.
- 2.4 Professional image is established for a particular business venture.
- 2.5 Legal issues and safety regulations for the premises are adhered to in terms of the relevant legislation.

- 2.6 Stationary and other basic requirements are arranged according to the policy and procedure determined for a particular business.
- 2.7 Communication systems are organised for a particular business venture.

Specific Outcome 3: Business financial systems are arranged

Assessment Criteria:

- 3.1 The various bank systems and types of bank accounts available for a small business are identified and a choice made of the most suitable ones for the business in question.
- 3.2 A code of conduct is established for the business which includes ethical procedures and the fair treatment of internal and external clients.
- 3.3 Financial systems are established to eliminate fraud and to ensure efficient control of money, debtors, creditors, cash flow and the budget.
- 3.4 Financial control and auditing systems are investigated and applied in context.
- 3.5 Screening procedures for debtors are established to ensure bad debts are eliminated or kept to a minimum

Specific Outcome 4: Identify the risks associated with the specific business.

Assessment Criteria:

- 4.1 The internal financial risks are identified and security systems established for a particular business venture
- 4.2 Risks associated with safety and security are evaluated and emergency procedures are established to ensure the safety of all people in the business and the security of equipment.
- 4.3 The insurance needs are investigated and a decision taken on the most suitable insurance to take for a specific enterprise.
- 4.4 The risks associated with stock and other business assets are described and an indication is given of possible measures to reduce the risk.

11. ACCREDITATION AND MODERATION:

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12. RANGE STATEMENT:

The typical scope of this Unit Standard is:

- Poor financial management includes poor cash flow planning, lack of understanding of overdraft requirements, poor management of debtors and creditors, bad debts, unplanned growth, poor screening of debtors, inadequate financial controls.
- Short term insurance needs including building, fire, theft, stock vehicle, movable assets.
- Long term insurance needs include key-man insurance, temporary disablement, buy and sell agreements with partners, death cover, cover to repay business loans, computer insurance, etc.
- Legal business types for new ventures.

- Legal registrations include PAYE, VAT, UIF, RSC, COID, Skills Development Levy and Industry registrations
- Business, financial, marketing and/or operations plans.
- Application forms for different services

13. NOTES:

EMBEDDED KNOWLEDGE:

- Implementation of finance, marketing, operational, administrative, management plans
- Business name and registration, market research of product, need or service, proposed business structure, location of the new venture, analysis of competition, projected budget income statements, projected cash flow data, personal investment and skills.
- The importance of planning according to time frames and priorities.
- The importance of monitoring and revising implementation plans.
- Evaluate relevant human, physical, human and financial resources.

CRITICAL CROSS-FIELD AND DEVELOPMENTAL OUTCOMES:

The following Critical Cross-Field Outcomes are addressed by this Unit Standard:

- Identify and solve problems that could arise in business implementation.
- Demonstrate an understanding of the world as a set of related systems by recognising that planning takes place within a broader context when establishing a new venture.
- Collect, analyse, organise and critically evaluate information needed to implement a business plan.
- Communicate effectively so procedures are completed to implement the plans of the new venture.
- Use science and technology to collect and analyse the data to be used establishing a new venture.
- Participate as a responsible citizen in the life of local, national and global communities, by beginning to understand the responsibilities and implications of adhering to the necessary legislation and regulations governing business operations.

1. TITLE: Finance a new venture

2. NUMBER:**3. LEVEL ON THE NQF:** 4**4. CREDITS:** 5

5. FIELD: Business, Commerce and Management Studies
Sub Field: Generic Management

6. ISSUE DATE:**7. REVIEW DATE:****8. PURPOSE:**

This Unit standard is intended for learners who need to make decisions and recommendations about financing options for a new venture.

The qualifying learner will be able to:

- Determine the capital requirements of the new venture.
- Identify and compare all short term and long term funding options and services offered by the finance industry for new ventures.
- Compile personal income and expenditure and assets and liabilities statements.
- Identify the requirements and processes to access the selected financing option for the new venture.
- Identify alternative sources to secure finance for a new venture.

9. LEARNING ASSUMED TO BE IN PLACE

Learners accessing this qualification should be competent in Computer Literacy, Mathematical Literacy and Communication at NQF Level 3 or equivalent.

10. SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA:

Specific Outcome 1: Determine the capital requirements of the new venture.

Assessment criteria:

- 1.1 Funding requirements and capital structure are identified and analysed for the new venture.
- 1.2 Realistic fixed asset requirements are determined for the new venture.
- 1.3 Pre-operating costs are identified and calculated to an exact value.
- 1.4 Monthly operating costs - including a cash flow statement - are compiled for the new venture.
- 1.5 The financial viability of the proposed new venture is assessed and estimation made of the break-even point.

Specific Outcome 2: Identify and compare funding options and services offered by the finance industry for new ventures.

Assessment Criteria:

- 2.1 An extensive list of financial institutions offering funding for new ventures is compiled with a view to selecting the one best suited to the particular venture.

- 2.2 The various funding packages (products) appropriate for a new venture are investigated and compared in terms of own venture needs.
- 2.3 The cost of the various funding options is compared to determine suitability for own venture's business structure.
- 2.4 Short-term and long-term advantages and disadvantages of the various funding options are considered and discussed in context of own business and a decision made as to the most suitable.

Specific Outcome 3: **Compile personal income and expenditure and assets and liabilities statements.**

Assessment Criteria

- 3.1 Personal income and expenditure statements are prepared for oneself based on own financial situation over the past year.
- 3.2 The situations when an assets and liabilities statement is required are listed and an indication is given of the advantages of keeping such records.

Specific Outcome 4: **Identify the requirements and processes to obtain the selected financing option for the new venture.**

Assessment Criteria:

- 4.1 Collateral requirements for accessing funding are identified to determine if they can be met.
- 4.2 The new venture proposals are assessed in terms of available collateral.
- 4.3 The information and back-up documentation needed to process application for funding is collected and used to complete the application
- 4.4 A financing option is chosen that is consistent with the business plan in terms of profit objectives and return on capital.
- 4.5 Laws, regulations, rules and procedures covering the provision and use of financial services are observed to ensure compliance.

Specific Outcome 5: **Identify alternative sources to secure finance for a new venture.**

Assessment Criteria:

- 5.1 The difference between debt (loans) and equity (owner's capital) is explained with reference to the new venture.
- 5.2 Problems faced in obtaining finance for the new venture are identified with a view to overcoming them.
- 5.3 Alternative sources of equity are investigated for the new venture.
- 5.4 Government and non-governmental schemes for new venture creation are investigated and analysed and an explanation given of their advantages and disadvantages for the new venture.
- 5.5 The option of leasing as a method of reducing start-up capital is considered for own venture.
- 5.6 The repayments and interest rates of the alternative options are considered and compared to those of the financial institutions to make informed decisions.

11. ACCREDITATION AND MODERATION:

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12. RANGE STATEMENT:

- Funding requirements and capital structure include working, fixed, debt and equity capital.
- Banking and financial institutions may include but are not limited to registered banks, merchant banks, and micro-finance institutions.
- Alternative funding options.

13. NOTES:

EMBEDDED KNOWLEDGE:

- Understand micro and macro economic principles and how the local and national economies work.
- The range of financing options available.
- The principles of interest and repayments.
- Long-term debt and short-term finance

CRITICAL CROSS-FIELD AND DEVELOPMENTAL OUTCOMES:

The following Critical Cross-Field outcomes are addressed by this Unit Standard:

- Communicate effectively using visual, mathematical and/or language skills in the modes of oral and/or written presentation.
- Collect, analyse, organise and critically evaluate information in order to make informed financial decisions with clear understanding of the implications.
- Organise oneself and one's activities by carefully considering the advantages and disadvantages of capital funding options for a new venture.
- Work effectively with others as a member of a team, group, organisation or community.
- Identify and solve problems in which responses display that responsible decisions using critical and creative thinking have been made.

1. TITLE: Produce business plans for a new venture

2. UNIT STANDARD NUMBER:**3. LEVEL ON THE NQF:** 4**4. CREDITS:** 8**5. FIELD:** Business, Commerce and Management Studies
Sub Field: Generic Management**6. ISSUE DATE:****7. REVIEW DATE:****8. PURPOSE:**

This Unit Standard has as its core purpose to equip learners with the necessary knowledge and skills to produce business, financial and/or operations plans for implementing a new venture. It will also address the economic and administrative issues that prevent the starting of a new venture and contribute to the inability of an entrepreneur to sustain a new venture

The qualifying learner will be able to:

- Identify, gather and analyse the relevant information needed to compile a business plan.
- Formulate an ethical framework for the operational plans of a new venture.
- Establish and prioritise business, financial and/or operational goals and objectives for a new venture.
- Design and present business, financial and/or marketing plans based on a budget for a new venture.

9. LEARNING ASSUMED TO BE IN PLACE:

- Learners accessing this qualification will be competent in Computer Literacy, Mathematical Literacy and Communications and NQF level 3 or equivalent.

10. SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA:

Specific Outcome 1: **Identify, gather and analyse the relevant information needed to compile a plan for a new venture.**

Assessment Criteria:

- 1.1 The purpose and importance of a business plan is discussed in terms of its contribution to a successful business.

- 1.2 The different elements of a successful business plan are listed and described with examples
- 1.3 Information on the resources needed and procedures to be followed to achieve the plan is compiled.
- 1.4 The industry specific and legal requirements for own venture are identified and explained in terms of how they will affect the venture.

Specific Outcome 2: **Formulate an ethical framework for the operational plans of a venture.**

Assessment Criteria:

- 2.1 Legislation and relevant regulations relating to the type of venture are identified for use in drawing up a code of ethics for the business.
- 2.2 Non-statutory regulations applicable to the sector are identified and used for use in drawing up a code of ethics for the business
- 2.3 Codes of conduct that are used by similar organisations in the sector are evaluated and elements identified for inclusion in an ethical framework for then business
- 2.4 Social and ethnic considerations are identified for inclusion in the ethical framework of a new venture
- 2.5 Personal values are identified for modifying an ethical framework for a new venture.
- 2.6 An ethical framework and codes of ethics and conduct are drawn up for the new venture.

Specific Outcome 3: **Establish and prioritise business, financial and/or operations goals and objectives for a new venture.**

Assessment Criteria:

- 3.1 Personal objectives are clearly articulated and aligned to the plans of own venture.
- 3.2 Business objectives are analysed and specific goals formulated to achieve objectives set out for own business.
- 3.3 A vision statement of a new venture is compiled to represent goals and objectives set for own venture.
- 3.4 Specific short and long term goals are formulated allowing flexibility for possible changing circumstances.
- 3.5 Possible contribution to community and regional growth objectives are identified and considered.
- 3.6 Cultural values and beliefs of prospective employees and expected consumers are incorporated into the plans of own venture.

Specific Outcome 4: **Design and present business, financial and/or marketing plans based on a budget for a new venture**

Assessment Criteria.

- 4.1 The business of the venture is introduced and described based on research and analyses of competitors.

- 4.2 Structure and layout of the business plan is designed to be compatible with the nature of own venture.
- 4.3 Marketing and promotion of the own venture is concisely presented in the business plan.
- 4.4 Finance requirements for the business are stated in the business plan.
- 4.5 The projected income and expense items for own venture are tabulated in the business plan.
- 4.6 The costs, risks and proposed infrastructure of the operations plan is presented in the business plan of own venture.
- 4.7 Relevant documentation is compiled to support the business plan.
- 4.8 Business plan information is presented in relevant and clear format.
- 4.9 Procedures to present the business plan for own venture to a financier is explained.

11. ACCREDITATION AND MODERATION:

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- Moderation of assessment will be conducted by the relevant ETQA at its discretion.

12. RANGE STATEMENT:

- Legal business types for new ventures.
- Legislation applicable to the sector in which the new venture is situated
- Legal registrations include PAYE, VAT, UIF, RSC, COIDA, Skills Development Levy and Industry registrations
- Business, financial, marketing and/or operations plans.
- Elements of a business plan
- Codes of ethics and conduct.

13. NOTES:

EMBEDDED KNOWLEDGE:

- Principles of designing and developing plans (finance, marketing, operational, administrative, management)
- Elements of a business plan include: Description of the business, market research of product, need or service, proposed business structure, location of the new venture, analysis of competition, projected budget income statements, projected cash flow data, personal investment and skills.
- The importance of planning according to time frames and priorities.
- The importance of monitoring and revising implementation plans.

- Evaluate relevant human, physical, human and financial resources.

CRITICAL CROSS-FIELD AND DEVELOPMENTAL OUTCOMES:

The ability to:

- Identify and solve problems that could arise if business plan.
- Demonstrate an understanding of the world as a set of related systems by recognising that planning takes place within a broader context when establishing a new venture.
- Collect, analyse, organise and critically evaluate information needed to compile a business plan.
- Communicate effectively so procedures are completed as set out by the business plan of the new venture.
- Use science and technology to collect and analyse the data to be used in the plans for a new venture.
- Participate as a responsible citizen in the life of local, national and global communities, by beginning to understand the responsibilities and implications of creating a new venture.

1. TITLE: Manage finances of a new venture.

2. UNIT STANDARD NUMBER:**3. LEVEL ON THE NQF:** 4**4. CREDITS:** 5**5. FIELD:** Business, Commerce and Management Studies
Generic Management**6. ISSUE DATE:****7. REVIEW DATE:****8. PURPOSE:**

This Unit Standard is intended for learners who have to manage the finances of a business venture. Learners who achieve this Unit Standard are able to manage the income and expenditure of own business and base financial decision-making on financial data.

The qualifying learner will be able to:

- Explain financial aspects involved in running a business.
- Establish accounting systems.
- Analyse elements of an income and expenditure statement.
- Analyse elements of a balance sheet.
- Use the evidence in financial statements to make a decision.

9. LEARNING ASSUMED TO BE IN PLACE:

Learners should be competent in Communication, Mathematical Literacy and Financial Literacy at NQF Level 3.

10. SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA:

Specific Outcome 1: Open and operate a banking account for own business.

Assessment Criteria:

- 1.1 The necessity of banking and banking accounts are discussed in terms of the effective running of a business venture
- 1.2 The various types of accounts are identified and the differences explained.
- 1.3 The impact of interest rates on the venture's profitability is determined.
- 1.4 Documentation necessary for banking is completed in detail.
- 1.5 Bank statements are interpreted correctly.

Specific Outcome 2: Explain financial aspects involved in running a business.

Assessment Criteria:

- 2.1 The Concepts, start-up capital and working capital are explained in relation to own business.

- 2.2 The relationship between 'cash flow' and 'profit' is explained with examples.
- 2.3 The difference between short-term finance and long-term debt finance is explained with examples.
- 2.4 The difference between fixed and working capital is explained in terms of own business venture.

Specific Outcome 3:**Establish accounting systems***Assessment Criteria:*

- 3.1 An accounting system is established for own business.
- 3.2 Taxation requirements are catered for in the accounting system of own business.

Specific Outcome 4:**Analyse the elements of an income and expenditure statement.***Assessment Criteria:*

- 4.1 Assets and liabilities are determined in business context.
- 4.2 The purposes of an income and expenditure statement are explained and an indication is given of how often these statements are required for own business.
- 4.3 Sources of income and expenditure are identified for own business.
- 4.4 Sources of income and expenditure are explained with reference to an income and expenditure statement.
- 4.5 Income and expenditure statements of a number of ventures are examined and evaluated to determine the financial viability of the enterprise.

Specific Outcome 5:**Analyse a balance sheet.***Assessment Criteria:*

- 5.1 The purpose of a balance sheet is explained and an indication is given of how often a balance sheet is necessary in business context.
- 5.2 The concept of an asset is explained and the assets in a balance sheet are classified in terms of fixed and current assets.
- 5.3 A balance sheet is analysed and evaluated in terms of equity or financial net worth.
- 5.4 The concept of a liability is explained and the liabilities in a balance sheet are classified in terms of long-term and current liabilities.

Specific Outcome 6:**Use the evidence in financial statements to make a financial decision.***Assessment Criteria:*

- 6.1 The purposes of an income and expenditure statement are explained and an indication is given of how often these statements are required for own business.
- 6.2 The financial strengths and weaknesses of own venture are analysed and suggestions are made of ways to improve income and reduce costs.
- 6.3 The concepts of financial ratios are explained and suggestions are made on how to improve the ratios of own business.
- 6.4 The relationship between turnover, income, revenue, sales/earnings and profit is explained using own venture as example.
- 6.5 Prepare a cash flow to determine the financial well-being of the business.

11. ACCREDITATION AND MODERATION:

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12. RANGE STATEMENT:

- The individual's context may include family, community, spaza, organisation or business (services, manufacturing, trade and retail industries).
- Financial statements specific to own venture are analysed
- Ratios include profitability, liquidity, solvency and GP percentages.

13. NOTES:**EMBEDDED KNOWLEDGE:**

- Financial concepts
- Accounting systems
- Financial statements: balance sheets
- Assets and liabilities
- Financial decision-making

CRITICAL CROSS-FIELD AND DEVELOPMENTAL OUTCOMES:

The following Critical Cross-Field Outcomes are addressed by this Unit Standard:

- Communicate effectively using visual, mathematical and/or language skills in context of the new venture.
- Organise oneself and one's activities by carefully analysing financial information when making decisions in a business context.
- Collect, analyse, organise and critically evaluate information in order to develop sound financial decisions and understand the implications for a new venture.
- Identify and solve problems pertaining to the financial structure in the new ventures.

1. TITLE: Manage time productively

2. UNIT STANDARD NUMBER:**3. LEVEL ON THE NQF:** 4**4. CREDITS:** 4

5. FIELD: Business, Commerce and Management Studies
Sub Field: Generic Management

6. ISSUE DATE:**7. REVIEW DATE:****8. PURPOSE:**

This Unit Standard is intended for learners who need to make decisions and recommendations about effective time management in a new venture.

The qualifying learner will be able to:

- Identify, explain and describe the purpose and process of scheduling activities in own business.
- Organise and prepare business activities and estimate their duration.
- Develop strategies to deal with interruptions
- Develop an effective business schedule.

9. LEARNING ASSUMED TO BE IN PLACE

Learners accessing this Unit Standard should be competent in Computer Literacy, Mathematical Literacy and Communications at NQF level 3 or equivalent.

10. SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA:

Specific Outcome 1: Identify, explain and describe the purpose and process of scheduling activities in own business.

Assessment criteria:

- 1.1 The importance of scheduling in business is explained with examples.
- 1.2 A schedule development process is explained in accordance with established business practices.
- 1.3 The advantages and implications of task completion within the shortest possible time and at a specified due date are explained with examples.
- 1.4 The importance and function of task scheduling is explained with examples

Specific Outcome 2: Organise and prepare business activities and estimate their duration.

Assessment Criteria:

- 2.1 Business activities are defined and identified in terms of their importance for the business and the time each takes to complete

- 2.2 Business activities are prioritised within the objectives and scope of own business.
- 2.3 Predecessor/successor relationships within business activities are identified and distinguished as either mandatory or discretionary.
- 2.4 Basic procedures and networks are developed and documented for own business.
- 2.5 Time duration estimates are sourced from responsible individuals and indicated on the tasks schedules.
- 2.6 Realistic deadlines or time frames are set for each procedure/process.

Specific Outcome 3: Develop strategies to deal with interruptions

Assessment Criteria:

- 3.1 Procedures and times required to complete procedures/tasks are relayed to individuals to ensure all know what is expected..
- 3.2 Possible interruptions to procedures/processes/tasks are identified and strategies are developed to deal with each to minimise their effect.
- 3.3 Interruptions are dealt with assertively yet appropriately according to identified strategy and/or business procedure.

Specific Outcome 4: Develop an effective business schedule.

Assessment Criteria:

- 4.1 Activity lists are updated to contain relevant data.
- 4.2 The shortest time to complete business tasks is determined for a specific business venture.
- 4.3 Resources required for business activities are identified and documented per activity.
- 4.4 The Start and finish dates of process/projects are indicated according to requirements and duration.
- 4.5 Non-critical activities are identified and scheduled according to business requirements.
- 4.6 Office systems, diaries, screening and schedules are developed for own business.

11. ACCREDITATION AND MODERATION:

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12. RANGE STATEMENT:

- A general understanding of the principles, methods and techniques for scheduling tasks and activities. An all-round understanding of the principles, methods and techniques of time planning and management.

13. NOTES:**EMBEDDED KNOWLEDGE:**

- Principles, methods and techniques for scheduling tasks and activities.
- Principles, methods and techniques of time planning and management.
- Office systems for appointments, screening and interruptions
- Planning schedules
- Establishing priorities

CRITICAL CROSS-FIELD AND DEVELOPMENTAL OUTCOMES:

The following Critical Cross-field Outcomes are addressed by this Unit Standard:

- Communicate effectively using visual, mathematical and/or language skills in the modes of oral and/or written presentation.
- Collect, analyse, organise and critically evaluate information in order to make informed decisions about schedules and time management.
- Organise oneself and one's activities by carefully considering the advantages and disadvantages of ineffective time management.
- Work effectively with others as a member of a team, group, organisation or community in prioritising activities.
- Identify and solve time problems in which responses display that responsible decisions using critical and creative thinking have been made.

1. **TITLE:** Apply the principles of costing and pricing to a business venture.

2. **UNIT STANDARD NUMBER:**

3. **LEVEL ON THE NQF:** 4

4. **CREDITS:** 6

5. **FIELD:** Business, Commerce and Management Studies
Sub Field: Generic Management

6. **ISSUE DATE:**

7. **REVIEW DATE:**

8. **PURPOSE:**

This Unit Standard is for learners who want to be competent in applying the principles of costing and pricing in determining profit margins for a new venture. The Unit Standard will assist the learner to determine the future profitability by establishing whether the costs involved will generate sufficient profit to justify the launching of the new venture.

The qualifying learner will be able to:

- Identify and apply the criteria of a price setting policy for a new venture.
- Identify and analyse internal and external factors that impact on pricing decisions.
- Demonstrate an understanding of the relationship between costs, revenue and profits.

9. **LEARNING ASSUMED TO BE IN PLACE**

Learners accessing this Unit Standard should be competent in Mathematical Literacy and at NQF Level 3.

10. **SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA:**

Specific Outcome 1: Identify and apply the criteria of a price setting policy for a new venture.

Assessment criteria:

- 1.1 The flow of the trading cycle is explained and illustrated for a new venture.
- 1.2 The concepts costing, pricing and tendering are differentiated accurately.
- 1.3 The difference between fixed costs, variable costs and total costs is demonstrated in context of own venture.

Specific Outcome 2: Identify and analyse internal and external factors that impact upon pricing decisions.

Assessment Criteria:

- 2.1 The internal factors impacting upon pricing decisions are identified and discussed in relation to the profitability of own venture.

- 2.2 The external factors impacting upon pricing decisions are identified and discussed in relation to the profitability of own venture
- 2.3 The business activity levels are recognised and limitations are specified.
- 2.4 Variations in pricing decisions are to be calculated in terms of the impact on the breakeven point.

Specific Outcome 3:

Demonstrate an understanding of the relationship between costs, revenue and profits.

Assessment Criteria:

- 3.1 Available costing methods are reviewed in relation to own business.
- 3.2 Product/Services costs and prices are calculated accurately.
- 3.3 Break-even point is determined for the business venture.
- 3.4 Profit mark-up is calculated and analysed for own business.
- 3.5 A distinction between types of profit is made in relation to own business venture.
- 3.6 Costing and pricing methods are reviewed to ensure correct application.
- 3.7 Expenses and revenues are classified and categorised for the new venture.
- 3.8 Competitive markets are investigated and compared to inform effective costing and forecasting of operating expenses.
- 3.9 Suppliers and new products are assessed in terms of potential contribution to profit and market share.
- 3.10 Competing products/services are investigated and opportunities for development/improvement are identified.

11. ACCREDITATION AND MODERATION:

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12. RANGE STATEMENT:

- Costing and pricing in trading, retailing, manufacturing and services.
- Product and service comparisons
- Costing and pricing calculations

13. NOTES:**EMBEDDED KNOWLEDGE:**

- Trading cycle
- Definitions of capital, costs, revenue, pricing, and profits.
- Determination of break-even point
- Costing and pricing methods
- Direct and indirect costs

- Application of commonly-used information gathering techniques.
- Application of financial concepts.
- Appropriate use of financial analysis in making accurate decisions.
- Banking, banking application forms, bank statements and interest rates.

CRITICAL CROSS-FIELD AND DEVELOPMENTAL OUTCOMES:

The following Critical Cross-Field Outcomes are addressed by this Unit Standard:

- Identify and solve problems using critical and creative thinking, in terms of mathematical skills in costing and pricing.
- Collect, organise and evaluate information using mathematical and accountancy methods in relation to appropriate financial activities.
- Communicate effectively using visual, mathematical and language skills verbally, graphically and in writing.
- Self-organisation and management using structured methods for profitability.

1. **TITLE:** Develop, implement and evaluate a marketing strategy for a new venture.

2. **UNIT STANDARD NUMBER:**

3. **LEVEL ON THE NQF:** 4

4. **CREDITS:** 8

5. **FIELD:** Business, Commerce and Management Studies
Sub Field: Generic Management

6. **ISSUE DATE:**

7. **REVIEW DATE:**

8. **PURPOSE:**

This Unit Standard is for those learners who need to develop and implement a marketing strategy for a new venture idea/opportunity. The marketing strategy will include the understanding of the marketing components product, promotion, place and price. The learner will be competent in compiling basic market research and interpreting the findings of relevant business research.

The qualifying learner will be able to:

- Demonstrate knowledge of marketing concepts applicable to a new venture.
- Analyse the product/service requirements of the target market of a new venture.
- Demonstrate an understanding of the market research process and interpretation of research findings relevant to the new venture.
- Develop a marketing plan for a new venture.

9. **LEARNING ASSUMED TO BE IN PLACE**

Learners accessing this Unit Standard should be competent in Computer Literacy, Mathematical Literacy and Communications at NQF Level 3 or equivalent.

10. **SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA:**

Specific Outcome 1: Demonstrate knowledge of marketing concepts applicable to a new venture operation.

Assessment criteria:

- 1.1 The concepts product, price, place and promotion are defined in terms of the marketing mix.
- 1.2 Key marketing concepts are explained in terms of their implication for own venture.
- 1.3 Marketing media are compared in terms of their advantages and disadvantages for effective marketing of products and/or services of own venture.
- 1.4 The target market and positioning of own venture is identified and described accurately.

Specific Outcome 2: **Analyse the product/service requirements of the target market of a new venture**

Assessment Criteria:

- 2.1 Sources of market information about similar products and/or services are identified with a view to identifying the needs of a specific target market.
- 2.2 Competition for the provision of products and/or services is identified in terms of the services, prices and promotions offered by the business venture.
- 2.3 External and environmental factors impacting on consumer or customer behaviour are assessed for impact on marketing decisions.
- 2.4 The competitive advantages and disadvantages of the product/service are assessed using a marketing analysis approach.
- 2.5 Changes to the product and/or service delivery are identified which would enhance the marketing of the new venture.

Specific Outcome 3: **Demonstrate an understanding of the market research process and interpret the findings relevant to the new venture.**

Assessment Criteria:

- 3.1 The different techniques and methodology used for market research are evaluated and one selected for a own business research.
- 3.2 A planned market research for own venture is designed to include all aspects of the marketing of products/services offered by the business venture.
- 3.3 Other studies and published data on the market are analysed in terms of own business.
- 3.2 Factual information is gathered and interpreted in terms of own business.
- 3.3 Recommendations for own venture are formulated using the factual information.

Specific Outcome 4: **Develop and implement a marketing plan for a new venture.**

Assessment Criteria:

- 4.1 A marketing plan is developed to reflect research findings and recommendations for own venture.
- 4.2 The marketing plan is aligned to the business plan of own venture.
- 4.3 A cost effective mix of marketing methods are reflected in the plan.
- 4.4 The marketing plan, based on research, is implemented for own venture.
- 4.5 A process to monitor the marketing plan is designed to evaluate if the desired outcomes have been achieved.

Specific Outcome 5: **Evaluate and modify the marketing plan.**

Assessment Criteria:

- 5.1 The marketing plan is monitored for achieving the desired outcomes.
- 5.2 The positive, negative and interesting facts of the implementation of the plan are recognized and listed with a view to making the necessary amendments to the plan.
- 5.3 Possible modifications to the original plans are considered and tested.

11. ACCREDITATION AND MODERATION:

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12. RANGE STATEMENT:

- An all rounded understanding of the marketing mix and resources available and their uses.
- A broad understanding of marketing research.

13. NOTES:**EMBEDDED KNOWLEDGE:**

- Marketing objectives includes selling products and/or services, attracting customers, developing and maintaining customer loyalty, maintaining image, providing information.
- Marketing concepts include needs, demands, market, marketing mix, promotion, public relations, service and advertising.
- Marketing media include radio, television, print media advertisements, print media editorials, brochures, telemarketing and public relations.
- Research processes, methods and techniques, i.e. surveys, interviews, questionnaires.
- External and environmental factors include cultural, social, economic, regulatory, technological, demographic and competitive.
- Marketing recourses include people, time, capital and space.
- Marketing includes marketing communications with sponsors and public relations.

CRITICAL CROSS-FIELD AND DEVELOPMENTAL OUTCOMES:

The following Critical Cross-Field Outcomes are addressed by this Unit Standard:

- Collect, evaluate, organise and critically evaluate information pertaining to marketing.
- Communicate effectively so that correct processes are followed and correct channels are utilised in marketing the new venture.
- Work effectively with others utilising skills and abilities to ensure the best marketing strategy for the new venture.
- Identify and solve problems pertaining to marketing a new venture.
- Use science and technology to communicate with customers in the marketing and research processes.
- Demonstrate an understanding of the world as a set of related systems and how it would impact on the marketing of the new venture.

-
1. **TITLE:** **Determine and manage the human resource needs of a new venture**
-

2. **UNIT STANDARD NUMBER:**

3. **LEVEL ON THE NQF:** 4

4. **CREDITS:** 5

5. **FIELD:** Business, Commerce and Management Studies
Sub Field: Generic Management

6. **ISSUE DATE:**

7. **REVIEW DATE:**

8. **PURPOSE:**

This Unit Standard is intended for people who have to use a variety of technical, business, managerial and personal skills and strategies to determine, and manage the human resources for a new venture.

The qualifying learner will be able to:

- Identify human resource requirements for the new venture
- Implement and apply human resource needs.
- Design and develop basic employment policies and procedures.
- Identify and manage staff/employee development needs and opportunities.

9. **LEARNING ASSUMED TO BE IN PLACE:**

Learners accessing this unit Standard should be competent in Computer Literacy, Mathematical Literacy and Communications at NQF level 3 or equivalent.

10. **SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA:**

Specific Outcome 1: **Identify human resource requirements for the new venture.**

Assessment Criteria:

- 1.1 Key competence, skills and capabilities needed for own business are identified to ensure that the venture is viable.
- 1.2 The capacity and role of available human resources is evaluated in terms of own venture.
- 1.3 A human resource needs analyses is conducted for successful operation of own venture.
- 1.4 The cost implications of human resource needs are evaluated and budget implications considered.

Specific Outcome 2: **Design and implement human resources needs.**

Assessment Criteria:

- 2.1 Work is planned and roles allocated to people in the new venture.

- 2.2 Job descriptions are compiled in terms of specifying competencies, skills, and capabilities required by the venture.
- 2.3 A plan that establishes a programme for recruiting and employing staff/employees is produced to meet the human resource requirements of own venture.

Specific Outcome 3: **Design and develop basic employment policies and procedures**

Assessment Criteria:

- 3.1 Legislation governing employment of staff is identified in relation to the venture.
- 3.2 Employment conditions are compiled and interpreted for the venture.
- 3.3 Policies and procedures are developed so as to achieve equitable and responsible outcomes for staff and development of human resources in relation to the business operations.
- 3.4 Equity related plans and policies are communicated to staff and relevant stakeholders.
- 3.5 Disciplinary procedures are established in consultation with staff.

Specific Outcome 4: **Identify and manage staff/employee developmental opportunities.**

Assessment Criteria:

- 4.1 Training and developmental needs of staff are identified to contribute to effective performance in the venture
- 4.2 Performance and self-evaluation is conducted to inform training needs and capacity building.
- 4.3 Opportunities for staff development are investigated and evaluated and drafted into a staff skills development plan.
- 4.4 Resources and incentives for training and development of employees are identified for new venture .

11. ACCREDITATION AND MODERATION:

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12. RANGE STATEMENT:

- Potential sources may include but are not limited to: owner, or operator, or proprietor; co-owners; family members; funders and backers; paid and unpaid staff; full time, part time, casual, contract workers and out workers.
- Mix of staff may include but is not limited to: owner, or operator, or proprietor; co-owners; family members; funders and backers; paid and unpaid staff; full time, part time, casual, contract workers and out workers.

- Employment conditions include recruiting and employing policies, wages, holidays, leave, equal pay, hours of work and shift provisions, health and safety provisions, equity, equal employment opportunities, grievance and disciplinary procedures

13. NOTES:

EMBEDDED KNOWLEDGE:

- Matching of applicants and positions.
- Recruiting, screening and interviewing techniques.
- Relationship between skilled Human resources and profitability.
- Principles of planning, organising and motivating staff.
- Effective utilisation of human resources to improve profitability of business.
- Current labour legislation
- Constitution and Human Rights
- Skills development legislation

CRITICAL CROSS-FIELD AND DEVELOPMENTAL OUTCOMES:

This Unit Standard addresses the following Critical Cross-Field Outcomes:

- Communicate effectively so as to enhance the performance of staff.
- Work effectively with others on the basis of the expertise in accordance with the human resources needs.
- Identify and solve problems that may arise in relation to human resources activities.
- Organise and manage oneself and one's activities to work effectively.
- Demonstrate an understanding of the world as a set of related systems in order to improve productivity and employment conditions.
- In order to contribute to the full personal development of each individual and the social and economic development of society at large, it must be the intention underlying any programme of learning to make an individual aware of the importance of exploring education and career opportunities for growth in the new venture.

1. TITLE: Mobilise resources for a new venture.

2. UNIT STANDARD NUMBER:**3. LEVEL ON THE NQF:** 4**4. CREDITS:** 4**5. FIELD:** Business, Commerce and Management Studies
Sub Field: Generic Management**6. ISSUE DATE:****7. REVIEW DATE:****8. PURPOSE:**

This Unit Standard is intended for people who have to ensure that resources are utilised effectively in a small business venture. The learner will also be able to identify opportunities to improve the effectiveness of resources.

The qualifying learner will be able to:

- Identify and utilise available resources.
- Evaluate the resources contribution to effective business performance.
- Seek and use professional advice to supplement competencies.

9. LEARNING ASSUMED TO BE IN PLACE:

Learners accessing this Unit Standard should be competent in Mathematical Literacy and Communications at NQF Level 3.

10. SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA:

Specific Outcome 1: Identify and utilise available resources.

Assessment Criteria:

- 1.1 The resources available to own venture are identified and explained in terms of the role each will play in the business venture
- 1.2 Different institutional sources of expertise are identified relevant to the venture
- 1.3 Conditions, procedures, costs and information required to access resources are investigated to determine whether or not they are affordable.
- 1.4 Application forms are completed and relevant documents are prepared to access the relevant resources.

Specific Outcome 2: Evaluate the contribution of resources to effective business performance.

Assessment Criteria:

- 2.1 Potential performance of resources is evaluated against stated business objectives.
- 2.2 Actual contribution of resources to achievement of business objectives is evaluated against stated business objectives.
- 2.3 Alternative resources to ineffective or inefficient resources are evaluated for practicality, cost and desired outcome.
- 2.4 Criteria for evaluation of improvement are identified as per objectives.

Specific Outcome 3: Seek and utilize professional advice to supplement competencies.

Assessment Criteria:

- 3.1 The resource areas where advice is required are identified and the objectives described for intervention.
- 3.2 Available professional advice is identified and categorised according to specific requirements of own venture.
- 3.3 The brief for the professional advice is specified according to desired outcomes of own business.
- 3.4 Records of the advice given are recorded and kept for future reference.
- 3.5 Professional fees are negotiated in line with best business practices.

11. ACCREDITATION AND MODERATION:

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12. RANGE STATEMENT:

The following elements are included but are not limited to:

- Objectives: requirements of the business, short term objectives, long term objectives, realistic time frames, milestones and targets, measurable outcomes.
- Advisors: lawyers, accountants, specialist consultants and business counsellors.
- Fees: up-front costs, tax allowances, cost benefits.

13. RANGE STATEMENT:**EMBEDDED KNOWLEDGE:**

- Relevant resources: Financial, Technological, Business, Human, Industry Related Expertise, Safety and Security, Legal, etc.
- An ability to conduct a SWOT analysis.
- The ability to compile a personal action plan and an organisational action plan.
- A sound understanding of negotiation skills.

CRITICAL CROSS-FIELD AND DEVELOPMENTAL OUTCOMES:

The following Critical Cross-Field Outcomes are addressed by this Unit Standard:

- Identify and solve problems in which responses display that responsible decisions using critical and creative thinking have been made in the process of applying operational practices for new venture resources.
- Work effectively with others as a member of a team, group, organisation to ensure the successful mobilisation of resources.
- Collect, analyse, organise and critically evaluate information pertaining to the application of resources in a new venture.
- Use science and technology effectively when mobilising resources and for collecting, analysing and storing data related to the application and mobilisation of resources.
- Demonstrate an understanding of the world as a set of related systems by recognising that the successful mobilisation does not happen in isolation and requires constant input from the new venture.

1. **TITLE:** Develop, implement and monitor a quality policy for a new venture.

2. **UNIT STANDARD NUMBER:**

3. **LEVEL ON THE NQF:** 4

4. **CREDITS:** 4

5. **FIELD:** Business, Commerce and Management Studies
Sub Field: Generic Management

6. **ISSUE DATE:**

7. **REVIEW DATE:**

8. **PURPOSE:**

This unit standard is intended for learners who need to design appropriate quality control and evaluation systems for a new venture to enable it to meet consumer needs and other relevant standards.

The qualifying learner will be able to:

- Explain concepts, systems and principles of quality,
- Assess the quality assurance requirements for a new venture.
- Design and implement a quality assurance system to specification.
- Review and amend the quality assurance system.

9. **LEARNING ASSUMED TO BE IN PLACE**

- Learners accessing this Unit Standard should be competent in Mathematical Literacy and Communications at NQF level 3 or equivalent.

10. **SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA:**

Specific Outcome 1: Explain concepts, systems and principles of quality.

Assessment criteria:

- 1.1 Concepts of quality are explained in terms of degree of excellence, conformity with the requirements of fit-for-purpose, and meeting and/or exceeding customer needs relevant to own venture.
- 1.2 Systems associated with the management of quality are explained in terms of relationships, limitations and applications in the context of own venture idea/opportunity.
- 1.3 The principles of various quality management systems are analysed in terms of appropriateness to own venture.

Specific Outcome 2: Assess the quality assurance requirements of a venture.

Assessment Criteria:

- 2.1 Factors impacting on a venture's quality assurance system are described in terms of legislation.
- 2.2 Quality assurance requirements identified reflect an analysis of customer needs and expectations, and organisation and stakeholder requirements.
- 2.3 The objectives of a quality assurance system are described in terms of own venture
- 2.4 A documented plan for a quality assurance system is reviewed in terms of standards and specifications for products and/or services, a communications strategy, operational procedures including data collection, provisions for contingencies, and an internal audit system.

Specific Outcome 3: Design a quality assurance system to specification.

Assessment Criteria:

- 3.1 Methods of providing quality customer services, which incur no costs, are designed for own venture.
- 3.2 Strategies to implement quality services are identified for own venture.
- 3.3 The relationship between quality and profitability is investigated in own venture.
- 3.4 The relationship between quality and available resources is analysed for own venture.
- 3.5 Strategies to promote and communicate quality standards devised for own venture.

Specific Outcome 4: Review and amend the quality assurance system.

Assessment Criteria:

- 4.1 Opportunities for improvement of the quality assurance system are identified for own venture.
- 4.2 Changes to address problems or opportunities for quality improvement are considered and discussed for own venture.
- 4.3 Methods to give credit to resolve potential conflicts regarding quality are investigated for own venture.
- 4.4 Effective strategies and methods to obtain direct information from customers are identified and illustrated with examples.

11. ACCREDITATION AND MODERATION:

- An individual wishing to be assessed (including through RPL) against this Unit Standard may apply to an assessment agency, assessor or provider institution accredited by the relevant ETQA, or by an ETQA that has a Memorandum of Understanding with the relevant ETQA.
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- Moderation of assessment will be conducted by the relevant ETQA at its discretion.

12. RANGE STATEMENT:

- Systems include but are not limited to the ISO 9000 series, quality assurance, quality control, total quality management (TQM) , continuous improvement.
- Principles of quality management systems includes a systematic approach; documentation of procedures, standards, and specifications; innovation; review and audit; measurement; evaluation.

13. NOTES:**EMBEDDED KNOWLEDGE:**

- The importance of delivering quality products to ensure profitability and customer satisfaction, using a quality control system.
- the importance of on-going revision of systems.
- Assessment principles
- Communication, surveys, questionnaires – improving customer satisfaction.
- Benchmarking
- Quality Self Audits

CRITICAL CROSS-FIELD AND DEVELOPMENTAL OUTCOMES:

This Unit Standard addresses the following Critical Cross-Field Outcomes:

- Collect, evaluate, organise and critically evaluate information to maintain and improve customer satisfaction and quality standards.
- Communicate effectively using visual, mathematical and/or language skills in the interpretation and creation of an effective quality management system.
- Identify and solve problems in regard to level of quality and customer service strategies for a new venture.
- Organise and manage activities of a new venture responsibly and effectively.
- Demonstrate an understanding of the world as a set of related systems when analysing feedback related to quality or lack thereof.

1. **TITLE:** **Negotiate in a new venture.**

2. **UNIT STANDARD NUMBER:**

3. **LEVEL ON THE NQF:** 4

4. **CREDITS:** 4

5. **FIELD:** Business, Commerce and Management Studies
Sub Field: Generic Management

6. **ISSUE DATE:**

7. **REVIEW DATE:**

8. **PURPOSE:**

This Unit Standard has as its core purpose, qualifying learners who will be competent in using specific negotiation skills in reaching agreements and for the securing of business deals for a new venture. It will also address the economic/administrative and behavioural (psycho-social) barriers that contribute to failure in achieving solutions in disputes or landing business deals.

This Unit Standard is aimed at people who need to acquire skills in negotiating agreements and business contracts.

The qualifying learner will be able to:

- Demonstrate knowledge of the principles and procedures of negotiation.
- Assess the negotiation situation and determine own parameters.
- Conduct negotiations in a manner appropriate to the context.
- Record the outcome of negotiations in an agreed format.
- Review negotiation outcomes and modify own approach.

9. **LEARNING ASSUMED TO BE IN PLACE**

Learners accessing this Unit Standard should be competent in Computer Literacy, Mathematical Literacy and Communications at NQF level 3 or equivalent.

10. **SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA:**

Specific Outcome 1: **Demonstrate knowledge of the principles and procedures of negotiation.**

Assessment criteria:

- 1.1 Advantages and disadvantages of negotiation as a technique for resolving disputes are discussed using examples.
- 1.2 Principles of negotiation are identified and explained in context.
- 1.3 The steps in the negotiation procedure are described within a particular business venture
- 1.4 Legislative requirements for negotiation are determined for a particular context.
- 1.5 Knowledge of different negotiation styles is demonstrated with examples
- 1.6 The basic elements of conflict and need for resolution thereof are identified within own venture.

Specific Outcome 2: Assess the negotiation situation and determine own parameters.

Assessment Criteria:

- 2.1 The core role players are identified in the negotiation situation
- 2.2 The participation of the key stakeholders is agreed upon for the particular venture.
- 2.3 Suitable negotiation processes are defined and evaluated in terms of negotiating business contracts for own venture.
- 2.4 The impact of a positive business image in the negotiation situation is evaluated for a particular business.
- 2.5 The reputation and expertise of the parties involved, viable operations and procedures as well as financial stability is assessed to determine the parameters of the business.

Specific Outcome 3: Conduct a negotiation in a manner appropriate to the context.

Assessment Criteria:

- 3.1 The context of the negotiation is determined from available facts.
- 3.2 The structure of the negotiation is established to suit the context.
- 3.3 The desired outcome is determined to serve as the objective for the process.
- 3.4 The terms of agreement are established and recorded to avoid misunderstanding by all parties involved.

Specific Outcome 4: Record the outcome of negotiations in an agreed format.

Assessment Criteria:

- 4.1 Format for recording the outcome of negotiations is agreed to by all parties.
- 4.2 Relevant information gathered is evaluated and results communicated in a manner that meets everyone's requirements.

Specific Outcome 5: Review negotiation outcomes and modify own approach based thereon.

Assessment Criteria:

- 5.1 The advantages and disadvantages of the negotiated outcomes for the venture are identified and discussed in relation to objectives. Of the process
- 5.2 Expertise and abilities of all parties involved are assessed for credibility and appropriateness to the new business.
- 5.3 The compatibility of business ideas of the new venture with the negotiation agreement is assessed to ensure compliance.
- 5.4 Negotiation outcomes are assessed to determine if they are realistic to the venture operation.
- 5.5 The contribution of the key individuals/stakeholders is evaluated to determine future strategies
- 5.6 The business ethics used in negotiation is examined to see the degree of compatibility with mission and vision of venture

11. ACCREDITATION AND MODERATION:

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12. RANGE STATEMENT:

- The context may include price and wage negotiation, terms of trade, lease agreements, rentals etc.
- Parties to negotiation may include suppliers, service providers, customers, staff, etc.
- Parameters can be derived from bottom line, time constraints, costing and pricing, limited resources etc.
- Format may include verbal, written or otherwise recorded outcome.

13. NOTES:**EMBEDDED KNOWLEDGE:**

- The principles of negotiation.
- The procedural steps within particular contexts e.g. labour.
- Legislative requirements if appropriate.
- Different negotiation styles, e.g. win – win.
- The purpose of negotiation.
- Basic elements of conflict resolution within the context.

CRITICAL CROSS-FIELD AND DEVELOPMENTAL OUTCOMES:

The following Critical Cross-Field Outcomes are addressed by this Unit Standard:

- Collect, evaluate, organise and critically evaluate information pertaining to important decision-making.
- Communicate effectively in negotiations using the appropriate channels and procedures.
- Work effectively with others to determine the future success of the venture through negotiation.
- Demonstrate an understanding of the world as a set of related systems to achieve best possible outcomes for a new venture.

1. **TITLE:** Monitor productivity in a business venture.

2. **UNIT STANDARD NUMBER:**

3. **LEVEL ON THE NQF:** 4

4. **CREDITS:** 5

5. **FIELD:** Business, Commerce and Management Studies
Sub Field: Generic Management

6. **ISSUE DATE:**

7. **REVIEW DATE:**

8. **PURPOSE:**

This Unit Standard is intended to enable learners to measure business productivity, identify monitoring strategies and devise possible productivity improvement opportunities in a new venture.

The qualifying learner is will be able to:

- Obtain and analyse a range of relevant reliable business performance standards and productivity measurements.
- Compare projected results to goals/objectives of the business, financial and/or operating plan.
- Compile and present a strategy plan for monitoring productivity.
- Review the implementation of a productivity improvement plan.
- Plan effective time management strategies for productivity in own venture.

9. **LEARNING ASSUMED TO BE IN PLACE**

Learners accessing this Unit Standard should be competent in Communication and Mathematical Literacy at NQF Level 3.

10. **SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA:**

Specific Outcome 1: Obtain and analyse a range of relevant, reliable business performance standards and productivity measurements.

Assessment criteria:

- 1.1 The impact of low productivity on the South African economy is discussed with examples.
- 1.2 The relationship between productivity and profitability are explained for a business venture.
- 1.3 Performance standards and productivity measurement instruments that a new venture could use to measure its productivity are identified and a decision taken on which is most applicable to the business venture

Specific Outcome 2: Compare actual results with projected results and the goals/objectives of the business, financial and/or operating plan of the business venture.

Assessment Criteria:

- 2.1 Actual results are compared with projected results in own venture plans to determine future viability of venture.
- 2.2 Actual results are compared with the goals and/or objectives of the new venture to determine degree of compatibility.
- 2.3 Actual financial situation, cash flow position, etc are compared with projected figures to determine financial viability of the business venture

Specific Outcome 3: Compile and implement a plan for productivity improvement.

Assessment Criteria:

- 3.1 Opportunities to optimise productivity improvement in own venture are identified so as to improve profit margin.
- 3.2 An organisational activity plan co-ordinating stakeholders, their roles and performance expectations is compiled to improve productivity.
- 3.3 An individual activity plan to improve productivity is framed based on established performance criteria.
- 3.4 The utilisation and maintenance of resources is planned to ensure productivity.
- 3.5 Productivity improvement control techniques are selected and applied in own business.
- 3.6 The implementation of the productivity improvement plan is monitored to determine what amendments, if any, need to be made to the plan.

Specific Outcome 4: Implement effective time management strategies for productivity in own venture.

Assessment Criteria:

- 4.1 The correlation between effective time management and productivity is analysed for own venture.
- 4.2 A time management plan is developed and implemented for own business.
- 4.3 Business activities are sequenced and the duration estimated to prevent time lags in the process.
- 4.4 A business schedule is developed and implemented to optimise productivity levels.

11. ACCREDITATION AND MODERATION:

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12. RANGE STATEMENT:

- Performance standards and criteria.
- Professional and industry boards specifications for performance
- Analysis of individual performance
- Time management, problem-solving and decision-making approaches relevant to new ventures.

13. NOTES:

EMBEDDED KNOWLEDGE:

- The importance of effectively managing business performance to ensure profitability of business.
- The inter-relationship between productivity and profitability.
- Performance measurement
- Time management, decision-making and problem-solving.
- Effective resource management to ensure productivity.
- Resource maintenance and productivity.

CRITICAL CROSS-FIELD AND DEVELOPMENTAL OUTCOMES:

This Unit standard addresses the following Critical Cross-Field outcomes:

- Collect, evaluate, organise and critically evaluate information so as to manage and maximise productivity in the new venture.
- Identify and solve problems using formulated strategies for productivity.
- Organise and manage oneself and one's activities using structured methods for compiling productivity standards for the new venture.

1. **TITLE:** Tender to secure business for a new venture.

2. **UNIT STANDARD NUMBER:**

3. **LEVEL ON THE NQF:** 4

4. **CREDITS:** 5

5. **FIELD:** Business, Commerce and Management Studies
Sub Field: Generic Management:

6. **ISSUE DATE:**

7. **REVIEW DATE:**

8. **PURPOSE:**

This Unit Standard is intended for people who use the tendering process to secure new business for their own business venture.

The qualifying learner will be able to:

- Identify information resources of available business and new markets accessed through tendering processes.
- Analyse tender documents for viability in the new venture context.
- Demonstrate an understanding of the relationship between costs, revenue and profits in securing the tender.
- Negotiate with suppliers and investigate new products/services to apply competitive tender costing.

9. **LEARNING ASSUMED TO BE IN PLACE**

Learners accessing this Unit Standard should be competent in Mathematical Literacy and Communication at NQF Level 3

10. **SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA:**

Specific Outcome 1: Identify information sources of available business and new markets that can be accessed through the tendering processes.

Assessment criteria:

- 1.1 Electronic media sites are investigated for possible tenders.
- 1.2 The printed media containing new business or calls for tenders for new business in are identified for own business context.
- 1.3 New markets are researched for potential tendering opportunities.
- 1.3 Other sources of information for tender opportunities are identified and investigated for own business opportunities.

Specific Outcome 2: Analyse tender documents for viability in the new venture context.

Assessment Criteria:

- 2.1 Appropriate tenders for own business are identified with reasons why they suit own business.
- 2.2 the presentation methods and tender submissions procedures are explained with examples.
- 2.3 The business activity levels within a specific tender are recognised and limitations of own business capacity are specified in that context.
- 2.4 The internal and external factors of human resources capacity that impact on a specific tender are determined for own business.

Specific Outcome 3: Calculate costs, revenue and profits of a specific tender.

Assessment Criteria:

- 3.1 Available costing methods are reviewed in relation to the tender specifications.
- 3.2 Product/Services costs and prices applicable to the tender are calculated accurately.
- 3.3 The internal factors impacting upon pricing decisions are identified and discussed in relation to the profitability of the tender.
- 3.4 The external factors impacting upon pricing decisions are identified and explained in relation to the profitability of the tender.
- 3.5 Variations in pricing decisions are to be calculated in terms of the impact on the break-even point.
- 3.6 Break-even point of the tender is determined for own business.
- 3.7 Profit mark-up is calculated and analysed for the tender.
- 3.8 Costing and pricing methods are reviewed to ensure correct application to tender specifications.
- 3.9 Expenses and revenues are classified and categorised for the specific tender.
- 3.10 Suppliers and new products are assessed in terms of potential contribution to profit and securing the tender.
- 3.11 Competing products/services are identified and considered in the tendering process.

Specific Outcome 4: Complete tender documentation

Assessment Criteria:

- 4.1 Tender documents are completed accurately.
- 4.2 Checks and balances are carried out on the costing and input into the documents.
- 4.3 Dates and times of submitting tenders are adhered to.

11. ACCREDITATION AND MODERATION:

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12. RANGE STATEMENT:

- Costing and pricing in tendering contexts.
- Tendering principles.
- Tendering to secure business for a new venture.
- Product and service comparisons
- Costing and pricing calculations
- Tender presentation methods

13. NOTES:

EMBEDDED KNOWLEDGE:

- Costs, revenue, pricing, tendering and profits.
- Determination of break-even point
- Costing and pricing methods
- Direct and indirect costs
- Tendering procedures and principles
- Application of commonly-used information gathering techniques.
- Application of financial concepts.
- Price negotiating skills
- Appropriate use of financial analysis in making accurate decisions.
- Presentation of tenders and completion of tender documents.

CRITICAL CROSS-FIELD AND DEVELOPMENTAL OUTCOMES:

The following Critical Cross-Field Outcomes are addressed by this Unit Standard:

- Identify and solve problems using critical and creative thinking, in terms of mathematical skills in tendering.
- Collect, organise and evaluate information using mathematical and accountancy methods in relation to appropriate financial activities.
- Communicate effectively using visual, mathematical and language skills verbally, graphically and in writing.
- Self-organisation and management using structured methods for profitability.



Established in terms of Act 58 of 1995

SOUTH AFRICAN QUALIFICATIONS AUTHORITY (SAQA)

In accordance with regulation 24(c) of the National Standards Bodies Regulations of 28 March 1998, the Standards Generating Body (SGB) for

Generic Management

Registered by NSB 03, Business, Commerce and Management Studies, publishes the following unit standards for public comment.

This notice contains the titles, fields, sub-fields, NQF levels, credits, and purpose of the unit standards. The unit standards can be accessed via the SAQA web-site at www.saga.org.za. Copies may also be obtained from the Directorate of Standards Setting and Development at the SAQA offices, Hatfield Forum West, 1069 Arcadia Street, Hatfield, Pretoria.

Comment on the qualification and unit standards should reach SAQA at the address ***below and no later than 1 March 2004***. All correspondence should be marked **Standards Setting – SGB for Generic Management** and addressed to

The Director: Standards Setting and Development
SAQA

Attention: Mr. D Mphuthing

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JOE SAMUELS

DIRECTOR: STANDARDS SETTING AND DEVELOPMENT

1. TITLE: Identify and measure the factors that influence productivity**2. NUMBER:**

3. FIELD: Business, Commerce and Management Studies
Sub-Field: Generic Management

4. LEVEL ON NQF: 4

5. CREDITS: 10

6. ISSUE DATE:**7. REVIEW DATE:****8. PURPOSE:**

This Unit Standard will be of use to individuals who need an understanding of Productivity as a key managerial concept, focusing on measuring Productivity and the factors that influence it, in order to optimise enterprise resource management and/or improve profitability.

People credited with this Unit Standard will be able to:

- Demonstrate an understanding of what Productivity is
- Measure single factor Productivity and assess causes of the current levels of single factor Productivity.
- Measure total factor Productivity
- Measure the quantitative factors that influence Productivity and establish their influence on Productivity and profitability.
- Identify the qualitative factors that influence Productivity and establish their influence on Productivity.

9. LEARNING ASSUMED TO BE IN PLACE:

It is assumed that people starting to learn towards this Standard are competent in:

- Communication at NQF Level 4
- Mathematical Literacy at NQF Level 4

10. SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA

Specific Outcome 1: Demonstrate an understanding of the concept "Productivity"

Assessment Criteria

- 1.1 The concept "Productivity" is explained in terms of the output/input ratio
- 1.2 Productivity is explained in terms of its core values
***Range:** The core values include, but are not limited to, continuous incremental improvement; doing it right first time; waste elimination; striving for satisfaction of recipient of products/services.*
- 1.3 Productivity is explained in terms of its benefits to society, the economy and the environment.
- 1.4 The Productivity process is explained in terms of effectiveness, efficiency, utilisation and respect for human dignity
- 1.5 The different types of Productivity are explained with examples
***Range:** The types of Productivity include only single factor and total factor Productivity as well as value added.*

Specific Outcome 2:

Measure single factor Productivity and assess causes of the current levels of single factor Productivity

Range: The current levels of single factor Productivity performance includes higher than expected, equal to expected and lower than expected levels.

Assessment criteria:

- 2.1 Single factor Productivity is measured through the correct application of the output-input ratio.
Range: Where required outputs or inputs are converted to Rand value to facilitate the adding of various outputs or inputs.
- 2.2 The causes of current levels of labour Productivity are identified with examples.
Range: The causes of current levels of labour Productivity include, but are not limited to, absenteeism, non-availability of material and equipment, education, training and development, quality of materials and machines, leadership and supervision, employee relations and organisational culture.
- 2.3 The causes of the current levels of material Productivity are identified with examples.
Range: The causes of current levels of material Productivity include, but are not limited to, quality of material, material wastage, continuous availability of material and optimal usage of material and competitive procurement.
- 2.4 The causes of the current levels of capital Productivity are identified with examples
Range: The causes of current levels of capital Productivity include, but not are limited to, machine breakages, machine idling and feeding rate and planned maintenance.
Capital Productivity refers to and is limited to machine Productivity and the optimal use of equipment.

Specific outcome 3:

Measure total factor Productivity

Range: Measuring total factor Productivity refers to the simultaneous measurement of all three categories of factors of production, that is, labour; material and capital related items.

Assessment Criteria:

- 3.1 Total factor Productivity is correctly measured using the output/input ratio.
- 3.2 All output and input items are included in the equation
Range: The output is expressed in total units of similar products or similar service derivatives and the input in Rand value
The output is expressed in Rand value and represents total revenue from dissimilar products and dissimilar services and the input in Rand value.
- 3.4. Total factor Productivity is specified for a section, a department, the whole organisation or group of organisations.

Specific outcome 4:

Measure the quantitative factors that influence Productivity and establish their influence on Productivity and profitability.

Assessment Criteria:

- 4.1 Quantitative factors that influence Productivity are measured using correct formulae.
Range: Quantitative factors that influence Productivity include wastage, efficiency, utilisation, absenteeism and labour turnover
- 4.2 The causes of the current levels in the quantitative factors are identified correctly
- 4.3 The influence of each quantitative factor on Productivity is established through measurement.
- 4.4 The importance of the quantitative factors in improving Productivity and profitability is explained with examples.

Specific outcome 5: Identify the qualitative factors that influence Productivity and establish their influence on Productivity.

Assessment criteria:

- 5.1. The qualitative factors that influence Productivity are identified correctly
Range: The qualitative factors that influence Productivity include, but are not limited to, communication, leadership and supervision, employee relations, education, training, development, organisational culture, management style, motivation, job satisfaction.
- 5.2. The relationship between the quantitative factors that influence Productivity and the qualitative factors is correctly identified.
- 5.3. The influence of the qualitative factors on Productivity is established correctly

11. ACCREDITATION AND MODERATION:

1. Anyone assessing a learner against this Unit Standard must be registered as an assessor with the relevant ETQA or any ETQA with a Memorandum of Understanding with the relevant ETQA.
2. Any institution offering learning that will enable achievement of this Unit Standard or will assess this Unit Standard must be accredited as a provider with the relevant ETQA or any ETQA with a Memorandum of Understanding with the relevant ETQA.
3. Moderation of assessment will be overseen by the relevant ETQA according to the moderation guidelines in the relevant qualification and the agreed ETQA procedures.
4. Therefore anyone wishing to be assessed against this Unit Standard may apply to be assessed by any assessment agency, assessor or provider institution which is accredited by the Services ETQA.

12 NOTES:

CRITICAL CROSS-FIELD OUTCOMES:

This Unit Standard supports the Critical Cross-Field Outcomes as follows:

1. Organise and manage oneself and one's activities responsibly and effectively by, e.g.,
 - Measuring and assessing the causes of single factor Productivity.
2. Collect, analyse, organise and critically evaluate information by, e.g.,
 - Establishing the influence of each quantitative factor on Productivity through measurement.
3. Use science and technology effectively and critically by, e.g.,
 - Using the output/input ratio to measure single factor Productivity.

EMBEDDED KNOWLEDGE:

- The concept of Productivity concept and its benefits
- The concepts of single and total factor Productivity.
- Value added as a form of Productivity
- The use of the output/input ratio to measure single factor Productivity.
- The factors that influence labour-, material- and capital Productivity and the causes of current levels of these factors
- Use of the output/input ratio to measure total factor Productivity
- Conversion of output and input items to Rand value
- Use of correct formulae to measure the quantitative factors that influence Productivity
- Causes of current levels in quantitative factors that influence Productivity
- The influence of quantitative factors on Productivity and profitability

- Use of quantitative factors to improve Productivity
- The qualitative factors that influence Productivity
- The relationship between the quantitative factors that influence Productivity and the qualitative factors
- The influence of qualitative factors on Productivity.

1. TITLE: Measure and improve single factor productivity at a work station

2. UNIT STANDARD NUMBER:**3. LEVEL ON NQF:** 4**4. CREDITS:** 8

5. FIELD: Business, Commerce and Management Studies
Sub-Field: Generic Management

6. ISSUE DATE:**7. REVIEW DATE:****8. PURPOSE:**

This Unit Standard will be of use to individuals who have a responsibility for measuring and improving single factor productivity at their workstation within an organisational unit.

People credited with this Unit Standard are able to:

- Measure single factor productivity and determine the causes of their current levels
- Plan the actions required to improve single factor productivity
- Implement and evaluate the effectiveness of actions to improve single factor productivity.

9. LEARNING ASSUMED TO BE IN PLACE:

It is assumed that people starting to learn towards this Unit Standard are competent in:

- Communication at NQF Level 3
- Mathematical LITERACY at NQF Level 3.

10. SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA

Specific Outcome 1: Measure single factor productivity and assess causes of their current levels

Range: The current levels of single factor productivity performance include higher than expected, equal to expected and lower than expected levels.

Assessment criteria:

- 1.1 Single factor productivity is measured through the correct application of the output-input ratio.
Range: Where required outputs or inputs are converted to Rand value to facilitate the adding of various outputs or inputs.
- 1.2 The current causes of levels of labour productivity are identified using the appropriate measurement tool.
Range: Labour productivity includes but is not limited to absenteeism, non-availability of material and equipment, education, training and development.
- 1.3 The causes of the current levels of material productivity are identified using the appropriate measurement tool.

Range: Material productivity includes but is not limited to quality of material, material wastage, availability of material and optimal usage of material.

- 1.4 The causes of the current levels of capital productivity are identified using the appropriate measurement tool.
Range: Capital includes, but is not limited to machine breakages, machine idling and feeding rate.
Capital productivity refers to and is limited to machine productivity and the optimal use of equipment.

Specific outcome 2: Plan the actions required to improve single factor productivity

Range: The plan involves localised decisions in a familiar environment involving repetitive tasks.

Assessment Criteria:

- 2.1 The causes and effects of current levels of labour, material and capital productivity are outlined giving examples from the organisation.
- 2.2 The targets to be achieved and actions required to improve the single factor productivity are defined in conjunction with others.
- 2.3 The roles and responsibilities of others involved in improving single factor productivity are defined for the organisation.
- 2.4 The actions to be taken to address the identified causes of current levels of single factor productivity are detailed with time frames for each.
- 2.5 A plan listing the objectives of the plan, targets to be achieved, the roles and responsibilities of all people involved and the timeframe for implementation is drawn up in an appropriate format.

Specific outcome 3: Implement and evaluate the effectiveness of actions to improve single factor productivity

Assessment Criteria:

- 3.1 Actions are carried out on time and in line with the plan.
- 3.2 Contingencies are dealt with in a manner that contributes to improved single factor productivity.
- 3.3 Actual improvements in single factor productivity are established and compared to set targets
- 3.4 The plan is adjusted to ensure targets are achieved.
- 3.5 Records of all measurements done, plans implemented and adjustments made to plans are recorded in an acceptable format to assist future planning.

11. ACCREDITATION AND MODERATION:

1. Anyone assessing a learner against this Unit Standard must be registered as an assessor with the relevant ETQA or with an ETQA that has a Memorandum of Understanding with the relevant ETQA.
2. Any institution offering learning that will enable achievement of this Unit Standard or assessing this Unit Standard must be accredited as a provider with the relevant ETQA or with an ETQA that has a Memorandum of Understanding with the relevant ETQA
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12. RANGE STATEMENT:

Single factor productivity indicates the separate measures of labour, capital and material productivity.

13. NOTES:

CRITICAL CROSS-FIELD OUTCOMES:

The following illustrates some of the ways in which this Unit Standard supports Critical Cross-Field Outcomes:

1. Organise and manage oneself and one's activities responsibly and effectively by, e.g.,
 - Measure and assess the causes of single factor productivity.
2. Collect, analyse, organise and critically evaluate information by, e.g.,
 - Assess the causes and effects of current levels of single factor productivity.
3. Communicate effectively by, e.g.,
 - Explaining and motivating others to adopt roles to improve single factor productivity through implementation of improvement plans.
4. Use science and technology effectively and critically by, e.g.,
 - Using the output/input ratio to measure single factor productivity.

EMBEDDED KNOWLEDGE:

- The concept of single factor productivity.
- Using the output/input ratio in measuring single factor productivity.
- The factors that influence labour, material and capital productivity
- The relationship between the factors and the single factor productivity measures
- planning, sequencing of activities and evaluation of implementation OF PLANS.

1. TITLE: Formulate and implement an action plan to improve productivity within an organisational unit

2. UNIT STANDARD NUMBER:

3. LEVEL ON NQF: 4

4. CREDITS: 8

5. FIELD: Business, Commerce and Management Studies
Sub-Field: Generic Management

6. ISSUE DATE:

7. REVIEW DATE:

8. PURPOSE:

This unit standard is intended for all persons working as a supervisor in an organisational unit with the responsibility of measuring, improving and reporting on the productivity of that organisational unit.

People credited with this unit standard are able to:

- Measure current levels of Single Factor Productivity and identify the factors that influence productivity levels within the organisational unit.
- Formulate an activity plan to improve productivity within the organisational unit.
- Optimise productivity within the organisational unit by coordinating the implementation of the action plans and evaluating the outcomes

9. LEARNING ASSUMED TO BE PLACE:

Learners accessing this Unit Standard should be competent in:

- Communication at NQF Level 3
- Mathematical Literacy at NQF Level 3.

10. SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA

Specific outcome 1: Measure current levels of Single Factor Productivity and identify the factors that influence productivity levels within the organisational unit.

Assessment criteria

- 1.1 Productivity measures are selected to identify single factor productivity in the organisational unit
- 1.2 Quantitative factors that influence productivity are measured correctly, and their influence on single factor productivity levels identified correctly.

Range: Quantitative factors are limited to the basic formulae of calculation and the causes thereof are found within the organisation

Specific outcome 2: Formulate an activity plan to improve productivity within the organisational unit

Assessment criteria:

- 2.1 The causes and effects of unacceptable labour, material and capital productivity are analysed for use in the plan.
- 2.2 People employed in the organisational unit are involved in drawing up a plan and setting priorities to improve the productivity of all three resources.
- 2.3 Priorities are set to improve the quantitative factors that influences productivity of all three resources.
- 2.4 The causes of unacceptable productivity levels within the operational unit should be identified and measures taken to ensure their removal.

Specific outcome 3: Optimise productivity within the organisational unit by coordinating the implementation of the action plans and evaluating the outcomes

Assessment criteria:

- 3.1 Tasks are allocated to team members as per the plan.
- 3.2 Actual improvements in productivity are established and compared to set targets.
- 3.3 Actions are adjusted to ensure targets are achieved.

11. ACCREDITATION AND MODERATION:

1. Anyone assessing a learner against this Unit Standard must be registered as an assessor with the relevant ETQA or with an ETQA that has a Memorandum of Understanding with the relevant ETQA.
2. Any institution offering learning that will enable achievement of this Unit Standard or assessing this Unit Standard must be accredited as a provider with the relevant ETQA or with an ETQA that has a Memorandum of Understanding with the relevant ETQA.
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12. NOTES

CRITICAL CROSS-FIELD OUTCOMES:

The following illustrate the ways in which this Unit Standard supports Critical Cross-Field Outcomes:

1. Identify and solve problems by using critical and creative thinking by, e.g.,
 - Formulate a plan to improve productivity.
2. Work effectively with others as a member of a team by, e.g.,
 - Coordination of implementation of action plans.
3. Organise and manage oneself and one's activities responsibly and effectively by, e.g.,
 - Measuring productivity and plan for improvements
4. Collect, analyse, organise and critically evaluate information by, e.g.,
 - Measuring productivity

5. Communicate effectively by, e.g.,
- Coordination of implementation of action plans.

EMBEDDED KNOWLEDGE:

This includes:

- basic productivity concepts and applications
- benefits of improved productivity
- the quantitative factors that influence productivity.
- cause and effect analysis.
- the influence of the various sections, in terms of single factor productivity and quantitative on organisational unit productivity
- elementary planning techniques

1. TITLE: Co-ordinate the improvement of productivity within a functional unit**2. UNIT STANDARD NUMBER:****3. LEVEL ON NQF: 4****4. CREDITS: 8****5. FIELD:** Business, Commerce and Management Studies
Sub-Field: Generic Management**6. ISSUE DATE:****7. REVIEW DATE:****8. PURPOSE:**

This Unit Standard is intended for all persons who are directly involved in the co-ordination of productivity reports and continuous improvement of productivity.

People credited with this standard are able to:

- Analyse the quantitative and non-quantitative factors influencing productivity to identify the root causes of low productivity in a functional unit.
- Identify the interventions and develop plans to remove the identified root causes.
- Co-ordinate the implementation of interventions of various organisational units within the functional unit.
- Review the implementation of the interventions and set new targets continuously.

9. LEARNING ASSUMED TO BE IN PLACE:

It is assumed that learners are competent in:

- Communication at NQF level 3
- Mathematical skills on NQF 2
- The Unit standard: **"Formulate and implement an action plan to improve productivity within an organisational unit."**

10. SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA

Specific Outcome 1: Analyse the quantitative and non-quantitative factors influencing productivity to identify the root causes of low productivity in a functional unit.

Range: Quantitative factors could include but are not limited to wastage, efficiency, utilisation, absenteeism and labour turnover, and qualitative factors can include, but are not limited to: motivation; communication; competencies; grievances; management and leadership; policies and procedures.

Assessment criteria

1.1 Appropriate methods are selected to analyse the relationship between productivity measurements and factors influencing productivity.

Range: Methods could include but are not limited to trend analysis, value analysis, Pareto analysis, cause and effect analysis.

- 1.2 Selected methods are correctly applied to interpret the relationship between productivity measurements and both quantitative and non-quantitative factors influencing productivity in order to identify the root causes of changes in productivity levels.
- 1.3 Root causes are correctly identified and classified as either controllable or not by the unit.

Range: Root causes could include but are limited to process-related factors, people factors, systems factors, workplace related problems, organisational policy, managerial factors and, external factors. Identify the interventions and develop plans to remove the identified root causes.

Specific outcome 2: Identify the interventions and develop plans to remove the identified root causes

Assessment criteria

- 2.1 Root causes outside the control of the unit but within the control of the organisation are referred to the appropriate unit.
- 2.2 Appropriate interventions to remove identified controllable root causes are identified and plans are developed to remove the root causes in compliance with organisational policies and strategies.
- 2.3 Linkages with plans developed by other organisational units are designed to optimise the impact of actions taken.

Specific outcome 3: Co-ordinate the implementation of interventions of various organisational units within the functional unit.

Assessment criteria

- 3.1 Objectives and standards to improve productivity are communicated to supervisors and team leaders within the functional unit in order to gain support
- 3.2 Specific responsibilities, objectives and milestones to improve productivity are allocated according to the plan.
- 3.3 Achievement of objectives is monitored according to the planned milestones.
- 3.4 Appropriate actions to maintain and motivate improved performance are taken on an on-going basis.

Specific outcome 4: Review the implementation of the interventions and set new targets.

Assessment criteria

- 4.1 Actual performance for each objective is evaluated against the set standards and appropriate changes to interventions are implemented.
- 4.2 Achievements by individuals and teams are acknowledged and appropriate incentives are administered.
- 4.3 Targets set are achievable and represent improved productivity.

11. ACCREDITATION AND MODERATION:

1. Anyone assessing a learner against this Unit Standard must be registered as an assessor with the relevant ETQA or with an ETQA that has a Memorandum of Understanding with the relevant ETQA.

2. Any institution offering learning that will enable achievement of this Unit Standard or assessing this Unit Standard must be accredited as a provider with the relevant ETQA or with an ETQA that has a Memorandum of Understanding with the relevant ETQA
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12. NOTES:

CRITICAL CROSS-FIELD OUTCOMES:

The following examples illustrate some of the ways in which this unit standard supports Critical Cross-Field Outcomes:

1. Identify and solve problems by using critical and creative thinking by, e.g.,
 - identifying and planning necessary interventions to remove identified root causes
2. Work effectively with others as a member of a team by, e.g.,
 - co-ordinating the activities related to the removal of the identified root causes
3. Organise and manage oneself and one's activities responsibly and effectively by, e.g.,
 - planning necessary interventions to remove identified root causes.
4. Collect, analyse, organise and critically evaluate information by, e.g.,
 - analysing the quantitative factors influencing productivity to identify the root causes of low productivity in an organisational unit
5. Communicate effectively by, e.g.,
 - communicating objectives and standards for the specific activities to improve productivity to members of the unit in order to gain support

EMBEDDED KNOWLEDGE:

This includes:

- methods to analyse relationships between productivity measures and the measurement of the factors that influence productivity and their application
- methods to determine root causes of productivity changes and their application
- design of productivity improvement projects
- management of productivity improvement projects, including:
 - setting productivity objectives and milestones
 - productivity communication skills (productivity language)
 - characteristics of a productivity champion
- motivational and reinforcement models and their situational application.

1. TITLE: **Measure and assess the factors that influence capital productivity and establish the relative impact of each factor.**

2. UNIT STANDARD NUMBER:

3. LEVEL ON THE NQF: 5

4. CREDITS: 8

5. FIELD: Business, Commerce and Management
Sub-Field: Generic Management

6. ISSUE DATE:

7. REVIEW DATE:

8. PURPOSE:

This Unit Standard would be of use for persons who have responsibility for measuring, reporting and improving organisational productivity. People credited with this standard are able to:

- Design a framework to collate data in an organisation related to factors influencing capital productivity in an organisation.
- Measure the quantifiable factors that influence capital productivity.
- Assess the identified qualitative factors that influence capital productivity and establish the relative impact of each factor on capital productivity.
- Assess capital effectiveness

9. LEARNING ASSUMED TO BE IN PLACE:

It is assumed that learners are competent in:

- Communication at NQF Level 4
- Mathematical Literacy at NQF level 4.

10. SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA:

Specific outcome 1: **Design a framework to collate data in an organisation related to factors influencing capital productivity**

Assessment criteria

- 1.1 The quantitative factors that influence capital productivity are correctly identified for inclusion in the framework
Range: Quantitative factors include but are not limited to efficiency and utilisation.
- 1.3 Operational/Qualitative factors that influence capital productivity are correctly identified for inclusion in the framework.
Range: Operational/Qualitative factors include but are not limited to purchasing, maintenance, position in depreciation cycle, design quality of capital assets, level of technology of capital assets, capital-related operational policies.
- 1.4 The sources of data related to material productivity within the organisation are correctly identified for listing in the framework.

- 1.5 A framework is designed that facilitates the efficient and effective capture and interpretation of data to enable comparable measurements to be done to improve decision-making.

Specific outcome 2: Measure the quantifiable factors that influence capital productivity.

Assessment criteria

- 2.1 Efficiency of capital is measured using standard formulae
- 2.2 Utilisation of capital is measured using standard formulae
- 2.3. The impact of the quantifiable factors on capital productivity is assessed to determine the role they play

Specific outcome 3: Assess the identified qualitative factors that influence capital productivity and establish the relative impact of each factor on capital productivity.

Assessment criteria

- 3.1 The magnitude of each identified qualitative factor is established for the organisation in question
- 3.2 The relative importance of each factor is determined by comparing them with each other

Specific outcome 4: Assess capital effectiveness

Assessment criteria

- 4.1 Quality and productivity standards of output resulting from the use of capital items are identified and agreed upon by key stakeholders.
- 4.2 The extent of alignment between organisational systems and procedures is established, together with quality and productivity standards for output resulting from the use of capital items.
- 4.3 The extent of the gap between the actual output resulting from the use of capital items and the quality and productivity standards to which such output should conform is established for the organisation .

11. ACCREDITATION AND MODERATION

1. Anyone assessing a learner against this Unit Standard must be registered as an assessor with the relevant ETQA or with an ETQA that has a Memorandum of Understanding with the relevant ETQA.
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12. RANGE STATEMENT:

This Unit Standard pertains to the efficient and effective use and utilisation of tangible assets such as machinery, plant, land, buildings, vehicles in the production and the rendering of services

13. NOTES:**CRITICAL CROSS-FIELD OUTCOMES:**

The following illustrates some of the ways in which this Unit Standard supports Critical Cross-Field Outcomes:

1. Identify and solve problems by using critical and creative thinking by, e.g.,
 - Assess the identified qualitative factors that influence capital productivity and establish the impact.
2. Collect, analyse, organise and critically evaluate information by, e.g.,
 - designing a framework to collate data in an organisation related to factors influencing capital productivity.
3. Use science and technology effectively and critically by, e.g.,
 - measuring efficiency and utilisation of capital according.
4. Demonstrate an understanding of the world as a set of related systems by, e.g.,
 - designing a framework to collate data in an organisation related to factors influencing capital productivity.

EMBEDDED KNOWLEDGE:

This includes:

- Development of a framework to collate quantifiable and qualitative data related to capital productivity
- Methods to measure efficiency, utilisation and effectiveness of capital
- Methods and techniques for identifying and assessing the influence of qualitative factors on capital productivity
- The comparative assessment of the qualitative factors and their relative impact on capital productivity

1. TITLE: Measure and assess the factors that influence material productivity and establish the relative impact of each factor.

2. UNIT STANDARD NUMBER:

3. LEVEL ON NQF: 5

4. CREDIS: 8

5. FIELD: Business, Commerce and Management Studies
Sub-Field: Generic Management

6. ISSUE DATE:

7. REVIEW DATE:

8. PURPOSE:

This Unit Standard would be of use for persons who have responsibility for measuring, reporting and improving organisational productivity

People credited with this Unit Standard are able to:

- Design a framework to collate data on quantifiable and qualitative factors influencing material productivity in an organisation
- Measure the quantifiable factors that influence material productivity.
- Assess the qualitative factors that influence material productivity and establish the relative impact of each of the quantitative and qualitative factor on material productivity
- Assess material effectiveness

9. LEARNING ASSUMED TO BE IN PLACE:

Learners accessing this Unit Standard should be competent in

- Communication at NQF Level 4
- Mathematical Literacy at NQF level 4.

10. SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA

Specific outcome 1: Design a framework to collate data on quantifiable and qualitative factors influencing material productivity in an organisation

Assessment criteria

1.1 The quantifiable factors that influence material productivity are correctly identified for inclusion in the framework.

Range: Quantifiable factors include efficiency, utilisation, on-site storage, materials handling, materials requirements planning, waste and supplier performance.

1.2 The qualitative factors that influence material productivity are correctly identified for inclusion in the framework.

Range: Qualitative factors include but are not limited to design specifications of material in relation to intended purpose, purchasing management (including supplier selection, compliance with material specifications and record keeping) stock control (receiving, warehousing, issuing).

- 1.3 The sources of data related to material productivity within the organisation are correctly identified for listing in the framework.
- 1.4 A framework is designed that facilitates the efficient and effective capture and interpretation of data to enable comparable measurements to be made to improve decision-making.

Specific outcome 2: Measure the quantifiable factors that influence material productivity

Assessment criteria

- 2.1 Efficiency of material is measured using standard formulae.
Range: Material efficiency comprises three aspects: correct material for correct intended use, reduction of scrap, use of correct material for what it was not intended.
- 2.2 Utilisation of material is measured using standard formulae.
- 2.3 The impact of quantifiable factors on material productivity is assessed to determine the role they play

Specific outcome 3: Assess the qualitative factors that influence material productivity and establish the relative impact of each qualitative factor on material productivity.

Assessment criteria

- 3.1 The magnitude of each identified qualitative factor is established for the organisation in question.
- 3.2 The relative importance of each factor is determined by comparing them with each other.

Specific outcome 4: Assess material effectiveness

Assessment criteria

- 4.1 Quality specifications of output resulting from materials usage are identified and agreed upon by key stakeholders.
- 4.2 The extent of alignment of organisational systems and procedures with quality specifications of output resulting from materials usage is determined for the organisation.
- 4.4 All output deviations from quality specifications are recorded as per organisational requirements.

11. ACCREDITATION AND MODERATION:

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12. NOTES:

CRITICAL CROSS-FIELD OUTCOMES:

The following illustrates some of the ways in which this Unit Standard supports Critical Cross-Field Outcomes:

1. Identify and solve problems by using critical and creative thinking by, e.g.,
 - assessing the factors that influence material productivity and establish the impact.
2. Collect, analyse, organise and critically evaluate information by, e.g.,
 - designing a framework to collate data in an organisation related to factors influencing material productivity
3. Use science and technology effectively and critically by, e.g.,
 - measuring efficiency and utilisation of material.
4. Demonstrate an understanding of the world as a set of related systems by, e.g.,
 - designing a framework to collate data in an organisation related to factors influencing material productivity according.

EMBEDDED KNOWLEDGE:

This includes:

- Development of a framework to collate quantifiable and qualitative data related to material productivity
- Methods to measure efficiency, utilisation and effectiveness of materials
- Methods and techniques for identifying and assessing the influence of qualitative factors on material productivity
- The comparative assessment of the qualitative factors and their relative impact on material productivity

- | | | | |
|--------------------------|---------------------------------------------------------------------------------------------------------------------|--|--|
| 1. TITLE: | Measure and assess the factors that influence labour productivity and establish the relative impact of each factor. | | |
| 2. UNIT STANDARD NUMBER: | | | |
| 3. LEVEL ON NQF: | 5 | | |
| 4. CREDIS: | 8 | | |
| 5. FIELD: | Business, Commerce and Management Studies | | |
| Sub-Field: | Generic Management | | |
| 6. ISSUE DATE: | | | |
| 7. REVIEW DATE: | | | |
| 8. PURPOSE: | | | |

This Unit Standard would be of use to persons who have responsibility for measuring, reporting and improving organisational labour productivity

People credited with this standard are able to:

- Design a framework to collate data on the quantifiable and qualitative factors influencing labour productivity in an organisation
- Measure the quantitative factors that influence labour productivity.
- Assess the qualitative factors that influence labour productivity and establish the relative impact of each of the quantitative and qualitative factor on labour productivity
- Assess labour effectiveness.

- 9. LEARNING ASSUMED TO BE IN PLACE:**

Learners accessing this Unit Standard should be competent in:

- Communication at NQF Level 4
- Mathematical Literacy at NQF level 4.

- ## 10. SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA

Specific outcome 1: Design a framework to collate data on identified quantifiable and qualitative factors influencing labour productivity in an organisation

Assessment criteria

- 1.1 The quantifiable factors that influence labour productivity are correctly identified for inclusion in the framework
- Range: Quantifiable factors include but are not limited to efficiency, utilisation, absenteeism, labour turnover.*
- 1.2 Qualitative factors that influence labour productivity are correctly identified for inclusion in the framework.

Range: Qualitative factors include but are not limited to training; staff competencies; communication; motivation; systems and procedures; grievances; work organisation; quality of management; interpersonal relations; provision of data and information.

- 1.3 The sources of data related to labour productivity within the organisation are correctly identified for inclusion in the framework.
- 1.4 A framework is designed to facilitate the efficient and effective capture and interpretation of data and to enable comparable measurements to be made to improve decision making.

Specific outcome 2: Measure the quantifiable factors that influence labour productivity

Assessment criteria

- 2.1 Efficiency of labour is measured using standard formulae
- 2.2 Utilisation of labour is measured using standard formulae
- 2.3 Absenteeism is measured using standard formulae
- 2.4 Labour turnover is measured using standard formulae.

Specific outcome 3: Assess the qualitative factors that influence labour productivity and establish the relative influence of each factor on labour productivity.

Assessment criteria

- 3.1 The magnitude of each identified qualitative factor is correctly identified using generally accepted techniques and methods.
- 3.2 The importance of the qualitative factors is identified relative to each other.
- 3.3 Comparison of the impact of each factor on labour productivity is done based on its individual magnitude and relative impact on labour productivity.

Specific outcome 4: Assess labour effectiveness

Assessment criteria

- 4.1 Quality and productivity standards related to output resulting from the use of labour are identified and agreed upon by key stakeholders.
- 4.2 Labour effectiveness is established through the extent of alignment of organisational systems and procedures with quality and productivity standards related to labour output.
- 4.3 The extent of the gap between actual labour output and the agreed upon quality and productivity standards is established for the organisation.
- 4.4 All deviations from quality and productivity standards are recorded as per organisational requirements.

11. ACCREDITATION AND MODERATION

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2. Any institution offering learning that will enable achievement of this Unit Standard or assessing this Unit Standard must be accredited as a provider with the relevant ETQA or with an ETQA that has a Memorandum of Understanding with the relevant ETQA
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12. NOTES:**CRITICAL CROSS-FIELD OUTCOMES:**

The following illustrates the ways in which this Unit Standard supports Critical Cross-Field Outcomes:

1. Collect, analyse, organise and critically evaluate information by, e.g.,
 - Designing a framework to collate data in an organisation related to factors influencing labour productivity.
2. Use science and technology effectively and critically by, e.g.,
 - Measuring efficiency and utilisation of labour.
3. Demonstrate an understanding of the world as a set of related systems by, e.g.,
 - Designing a framework to collate data in an organisation related to factors influencing labour productivity.

EMBEDDED KNOWLEDGE:

This includes:

- Methods to measure efficiency, utilisation, absenteeism and turnover of labour
- Methods and techniques for identifying and assessing the influence of qualitative factors on labour productivity
- Qualitative factors that influence labour productivity and the comparative assessment of their relative impact on labour productivity

1. TITLE: Measure value-added, multi factor and total factor productivity within an organisation

2. UNIT STANDARD NUMBER:

3. LEVEL ON THE NQF: 5

4. CREDITS: 10

5. FIELD: Business, Commerce and Management Studies
Sub-Field: Generic Management

6. ISSUE DATE:

7. REVIEW DATE:

8. PURPOSE:

This Unit Standard is for persons who have responsibility for measuring, reporting and improving organisational productivity. People credited with this standard will be able to measure value added, multi-factor and total factor productivity in an organisation.

- Measure value-added productivity
- Measure multi-factor productivity
- Measure total factor productivity

9. LEARNING ASSUMED TO BE IN PLACE:

It is assumed that learners are competent in:

- Mathematical Literacy at NQF level 4
- Communication at NQF level 4

10. SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA

Specific outcome 1: Measure value-added productivity

Range: Various types of value added include but are not limited to value added per employee, per Rand of capital, labour cost competitiveness, capital per employee, sales per employee, profitability, profit per Rand of sales and profit to value added ratio.

Assessment criteria

1.1 Different methods of measuring value-added productivity are identified and explained in terms of the various types and their approaches and applications.

Range: Methods include but are not limited to addition and subtraction methods.

1.2 Motivations are provided for the selection of a specific model in terms of the characteristics of the organisation.

1.3 Measurement is carried out through a correct application of the chosen value added models.

1.4 A report of the measurement is drawn up in the appropriate format for the organisation and the information to be conveyed.

Specific outcome 2: Measure multi-factor productivity**Assessment criteria**

- 2.1 Methods of measuring multi-factor productivity are identified and explained in terms of the process and the various factors that influence them.

Range: Various factors include but are not limited to factors such as quality of inputs, technical progress, improvements in the workforce, improvements in management practises, economies of scale, variations in capacity utilisation and short to medium term factors such as weather.

- 2.2 A method of measurement is chosen and a motivation provided for its selection.
- 2.3 Measurement is carried out through the correct application of the chosen multi-factor productivity measurement method.
- 2.4 A report of the measurement is drawn up in the appropriate format for the organisation and the information to be conveyed.

Specific outcome 3: Measure total factor productivity.**Assessment criteria**

- 3.1 Different methods of measuring total-factor productivity are identified and explained in terms of the various types, approaches and applications

Range: Various types and approaches include but are not limited to value added, output – input ratio.

- 3.2 A method of measurement is chosen and a motivation provided for its selection.
- 3.3 Measurement is carried out through a correct application of the chosen total factor productivity measurement method
- 3.4 A report of the measurement is drawn up in the appropriate format for the organisation and the information to be conveyed.

11. ACCREDITATION AND MODERATION:

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2. Any institution offering learning that will enable achievement of this Unit Standard or assessing this Unit Standard must be accredited as a provider with the relevant ETQA or with an ETQA that has a Memorandum of Understanding with the relevant ETQA
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12. NOTES:

CRITICAL CROSS-FIELD OUTCOMES:

The following examples illustrate some of the ways in which this Unit Standard supports Critical Cross-Field Outcomes:

1. Organise and manage oneself and one's activities responsibly and effectively by, e.g.,
 - applying selected models to measure productivity.
2. Collect, analyse, organise and critically evaluate information by, e.g.,
 - identifying and selecting models to measure productivity.
3. Communicate effectively by, e.g.,
 - explaining and motivating my selection of models to measure productivity.
4. Use science and technology effectively and critically by, e.g.,
 - applying selected models to measure productivity.

EMBEDDED KNOWLEDGE:

This includes:

- Theories and methods to measure value added
- Theory and methods to measure multi-factor productivity
- Theories and methods to measure total factor productivity
- Relation between purpose for the measure and the method selected.
- Report writing.

1. TITLE: Prepare and communicate a productivity improvement plan for a functional unit.

2. UNIT STANDARD NUMBER:

3. LEVEL ON THE NQF: 5

4. CREDITS: 6

5. FIELD: Business, Commerce and Management Studies
Sub-Field: Generic Management

6. ISSUE DATE:

7. REVIEW DATE:

8. PURPOSE:

This Unit Standard is intended for managers of functional units.

People credited with this standard are able to:

- Analyse the productivity performance of all resources to identify productivity improvement constraints and opportunities.
- Formulate productivity improvement plans for a functional unit.
- Communicate outcomes of the productivity analysis and identified improvement opportunities to all stakeholders within the functional unit.

9. LEARNING ASSUMED TO BE IN PLACE:

It is assumed that learners accessing this Unit Standard are competent in:

- Mathematical Literacy at NQF Level 4
- Communicate at NQF level 4

10. SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA

Specific outcome 1: Analyse the productivity performance of all resources to identify productivity improvement constraints and opportunities

Assessment criteria

- 1.1 Stakeholders are identified and involved in the analysis and identification of constraints and opportunities for productivity improvement.
- 1.2 Reliable measurements of productivity of all resources are obtained and analysed so that a choice of the most suitable one can be made.
- 1.3 The gap between targeted quantitative factor improvements and the current measures of these factors is defined clearly.
- 1.4 Constraints on the functional unit's current productivity performance are correctly identified and defined clearly.

- 1.5 Productivity improvement opportunities are evaluated in terms of their alignment with the organisational productivity improvement strategy.

Specific outcome 2: Formulate productivity improvement plans for the functional unit.

Assessment criteria

- 2.1 Productivity improvement objectives are clearly articulated in such a way that they are achievable.
- 2.2 The objectives to improve quantitative factors that influence productivity are clearly articulated in such a way that they are achievable.
- 2.3 Tangible indicators relating to achievement of objectives are identified and are quantitative.
- 2.4 Activities are clearly defined within a specified time frame, and responsibilities are assigned in line with key individual competencies.
- 2.5 Required resources and support systems are identified and budgeted for according to organisational procedures.
- 2.6 Review measures are planned for the evaluation of the productivity improvement plan.

Specific outcome 3: Communicate outcomes of the productivity analysis and identified improvement opportunities to all stakeholders within the functional unit.

Assessment criteria

- 3.1 The results of the analysis are communicated to identified stakeholders.
- 3.3 Measures are put in place to analyse the reaction of stakeholders
- 3.4 Selected communication aids are used appropriately to enhance the understanding of identified stakeholders.

11. ACCREDITATION AND MODERATION:

1. Anyone assessing a learner against this Unit Standard must be registered as an assessor with the relevant ETQA or with an ETQA that has a Memorandum of Understanding with the relevant ETQA.
2. Any institution offering learning that will enable achievement of this Unit Standard or assessing this Unit Standard must be accredited as a provider with the relevant ETQA or with an ETQA that has a Memorandum of Understanding with the relevant ETQA
3. Moderation of assessment will be overseen by the relevant ETQA according to the moderation guidelines in the relevant qualification and the agreed ETQA procedures.

Therefore anyone wishing to be assessed against this unit standard may apply to be assessed by any assessment agency, assessor or provider institution, which is accredited by the relevant ETQA

12. RANGE STATEMENT:

Functional unit comprises a 'full function' such as marketing, operations of a small, medium or micro enterprise.

13. NOTES

CRITICAL CROSS-FIELD OUTCOMES:

The following illustrates some of the ways in which this Unit Standard supports Critical Cross-Field Outcomes:

1. Identify and solve problems by using critical and creative thinking by, e.g.,
formulating productivity improvement plan.
2. Work effectively with others as a member of a team by, e.g.,
Communicate outcomes of the productivity analysis.
3. Organise and manage oneself and one's activities responsibly and effectively by, e.g.,
Formulating productivity improvement plan.
4. Collect, analyse, organise and critically evaluate information by, e.g.,
Analysing the productivity performance of all resources.
5. Communicate effectively by, e.g.,
Communicating outcomes of the productivity analysis.
6. Demonstrate an understanding of the world as a set of related systems by, e.g.,
Formulating productivity improvement plan

EMBEDDED KNOWLEDGE:

This includes:

- analysis of current and targeted single factor productivity measurements for identifying constraints and opportunities for productivity advancement within the function.
- analysis of current and targeted measures of quantifiable factors that influence productivity of all resources for the identification constraints and opportunities for productivity advancement within the function.
- Prioritisation of productivity improvement opportunities on the basis of impact and practicability.
- Developing a productivity improvement plan in line the strategic plan of the organisation.
- Identifying functional activities that will result in the achievement of plans
- Resource allocation for productivity improvement.
- Communication aids to enhance understanding of productivity improvement plans and measurement involved.

1. TITLE: Develop holistic productivity improvement strategies and plans

2. UNIT STANDARD NUMBER:**3. LEVEL ON NQF:** 5**4. CREDITS:** 10

5. FIELD: Business, Commerce and Management Studies
Sub-Field: Generic Management

6. ISSUE DATE:**7. REVIEW DATE:****8. PURPOSE:**

People credited with this Standard are able to develop a holistic strategy and plans for improving productivity of the organisation on a sustainable basis in order to enhance the organisation's competitiveness, nationally and globally.

In particular learners will be able to:

- Identify the causes for unacceptable levels of productivity within the organisation
- Identify priority areas for productivity improvement
- Develop a productivity improvement strategy
- Develop plans for implementing the strategy in the identified priority areas

9. LEARNING ASSUMED TO BE PLACE:

It is assumed that people starting to learn towards this standard are competent in communication at NQF level 4.

10. SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA

Specific outcome 1: Identify the root causes for unacceptable levels of productivity within the organisation.

Assessment criteria

- 1.1 Information obtained on all systems, resources, processes and procedures within the organisation is evaluated for accuracy, validity and relevance to productivity factors.
- 1.2 Input is obtained from all stakeholders
- 1.3 Appropriate analysis techniques are applied to the information to identify the root causes for unacceptable productivity levels.
Range: Techniques include, but are not limited to value-added analysis, cost-benefit analysis, Pareto analysis.
- 1.4 Findings are based on the analysis and validated with stakeholders.
- 1.5 Findings are documented clearly.

Specific outcome 2: Identify priority areas for productivity improvement

Assessment criteria

- 2.1 Areas where productivity can be improved are identified so that priorities can be set
- 2.2 Priority areas are determined on the basis of cost-benefit and value-added analyses

Specific outcome 3: Develop a productivity improvement strategy.**Assessment criteria**

- 3.1 Input is obtained from relevant stakeholders.
- 3.2 The identified root causes of unacceptable productivity levels are addressed adequately by the strategy
- 3.3 Specific and achievable objectives are identified and defined in quantitative terms.
- 3.4 The potential impact of the strategy is defined for the organisation
- 3.5 The strategy is clearly documented according to organisational practices.
- 3.6 Approval of the strategy is obtained from appropriate authority.

Specific outcome 4: Develop plans for implementing the strategy in the identified priority areas.**Assessment criteria**

- 4.1 Appropriate input is obtained from relevant stakeholders.
- 4.2 Implementation plans for achieving identified objectives are drawn up according to project management practices
- 4.3 Plans are clearly documented, agreed to and communicated to relevant role-players.

11. ACCREDITATION AND MODERATION:

1. Anyone assessing a learner against this Unit Standard must be registered as an assessor with the relevant ETQA or with an ETQA that has a Memorandum of Understanding with the relevant ETQA.
2. Any institution offering learning that will enable achievement of this Unit Standard or assessing this Unit Standard must be accredited as a provider with the relevant ETQA or with an ETQA that has a Memorandum of Understanding with the relevant ETQA
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12. RANGE STATEMENT:

"Holistic" refers to all resources, processes and systems that affect the performance of the organisation

13. NOTES:**CRITICAL CROSS-FIELD OUTCOMES:**

The following illustrate some of the ways in which this Unit Standard supports Critical Cross-Field Outcomes:

1. Identify and solve problems by using critical and creative thinking by, e.g.,
 - identifying the causes for unacceptable levels of productivity within the organisation.
2. Work effectively with others by e.g.,

- Obtaining input from relevant stakeholders.
- 3. Collect, analyse, organise and critically evaluate information by, e.g.,
 - collecting and analysing information to identify the causes for unacceptable levels of productivity within the organisation.
- 4. Communicate effectively by, e.g.,
 - Develop plans for implementation
- 5. Demonstrate an understanding of the world as a set of related systems by, e.g.
 - Identify priority areas and develop plans accordingly

EMBEDDED KNOWLEDGE:

- the development of strategy for an organisation.
- macro productivity measures.

1. TITLE: Promote a productivity improvement strategy.

2. UNIT STANDARD NUMBER:**3. LEVEL ON THE NQF:** 5**4. CREDITS:** 10**5. FIELD:** Business, Commerce and Management Studies
Sub-Field: Generic Management**6. ISSUE DATE:****7. REVIEW DATE:****8. PURPOSE:**

This Unit Standard is intended for persons who are or seek to be responsible for promoting productivity in an organisation.

People credited with this standard are able to:

- Promote productivity improvement as a competitive strategy of the organisation.
- Nurture pro-active participation in the implementation of the organisational productivity improvement strategy and objectives.
- Monitor, evaluate and improve the impact of the organisational promotion strategy.

9. LEARNING ASSUMED TO BE IN PLACE:

It is assumed that learners accessing this Unit Standard are competent in Communication at NQF level 4.

10. SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA:

Specific outcome 1: Develop a strategy to promote productivity improvement within an organisation

Assessment criteria

- 1.1 Current levels of productivity performance are identified within the organisation and industry
- 1.2 The different target populations within the organisation are identified so that their communication needs can be accommodated
- 1.3 The range of activities required to promote a productivity strategy effectively are listed with examples of each as they apply to the organisation.
Range: The range of activities include, but are not limited to, addresses by top management, focus groups, surveys, competitions, placards, productivity training sessions and departmental meetings
- 1.4 A strategy is drawn up giving explanations of productivity concepts, general symptoms of low productivity performance, how productivity can be improved in the organisation and the benefits of improved productivity to share-holders, workers, consumers and the economy.

Specific outcome 2: Implement the promotion strategy within the organisation.**Assessment criteria**

- 2.1 The communication of the promotion strategy is allocated to individuals selected according to their ability to address specific target populations
Range: The target populations include, but are not limited to, different language groups, categories of employment or operations, levels of employment and location
- 2.2 The range of activities aimed at promoting productivity improvement within the organisation are planned to give effect to the strategy.
- 2.3 The activities are implemented according to the plan
- 2.4 Follow up meetings and forums are held to gather reaction towards the promotion strategy

Specific Outcome 3 Encourage and nurture participation in the implementation of the strategy and its objectives.**Assessment criteria**

- 3.1 An environment conducive to participating in productivity improvement campaigns is created throughout the organisation
Range: An environment conducive to participating in productivity improvement includes, but is not limited to, a commitment to no loss of jobs due to productivity improvement, sharing of productivity improvement gains, participative management, safe and fair working conditions, little or no absenteeism.
- 3.2 Appropriate steps are taken to clarify group and individual responsibilities for productivity improvement
- 3.3 Regular meetings and forums are held with groups and individuals to provide feedback and encouragement on performance against agreed productivity improvement targets.
- 3.4 Note is taken of aspects of work that hinder productivity improvement, as raised by audiences
Range: Aspects of work that hinder productivity improvement include, but are not limited to, late delivery of materials and equipment to work area, ineffective management, frequent machine and equipment breakage, ineffective communication; grievances and untrained staff.
- 3.5 Appropriate nurturing processes are planned, implemented and evaluated to ensure maximum participation and commitment.
Range: Nurturing processes can include but are not limited to information meetings, electronic communication, newsletters, posters, focus groups, induction, benchmarking, audio-visual presentations, award ceremonies and, suggestion schemes.

Specific outcome 4: Monitor, evaluate and improve the impact of the organisational promotion strategy.**Assessment criteria**

- 3.1 Reactions to the promotion strategy are collected, analysed and evaluated in terms of its intended impact.
- 3.2 Appropriate steps are taken to modify the promotion strategy and its implementation in line with information gathered through the reaction assessment process

11. ACCREDITATION AND MODERATION:

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Therefore anyone wishing to be assessed against this unit standard may apply to be assessed by any assessment agency, assessor or provider institution, which is accredited by the relevant ETQA

12. NOTES:**CRITICAL CROSS-FIELD OUTCOMES:**

The following illustrates some of the ways in which this Unit Standard supports Critical Cross-Field Outcomes:

1. Identify and solve problems by using critical and creative thinking by, e.g.,
 - o taking appropriate steps to address concerns about productivity concepts and responsibilities.
2. Work effectively with others as a member of a team by, e.g.,
 - o developing promotion strategy in consultation with key stakeholders.
3. Organise and manage oneself and one's activities responsibly and effectively by, e.g.,
 - o implementing promotion strategy according to plan
4. Demonstrate an understanding of the world as a set of related systems by, e.g.,
 - o aligning productivity improvement strategy with the organisation's competitive strategy

EMBEDDED KNOWLEDGE:

. This includes:

- principles and processes to promote productivity including the relationship between productivity and other economic indices (e.g. competitiveness, standard of living, CPI, PPI, GDP, etc.)
- the target group segmentation (e.g. demographics, individual and organisational culture, value systems, human behaviour, etc.)
- How to develop and evaluate a promotion strategy
- application of productivity concepts
- quantitative and qualitative factors that influence productivity.
- How productivity is improved within an organisation.



Established in terms of Act 58 of 1995

SOUTH AFRICAN QUALIFICATIONS AUTHORITY (SAQA)

In accordance with regulation 24(c) of the National Standards Bodies Regulations of 28 March 1998, the Standards Generating Body (SGB) for

Public Administration and Management

Registered by NSB 03, Business, Commerce and Management Studies, publishes the following qualification and unit standards for public comment.

This notice contains the titles, fields, sub-fields, NQF levels, credits, and purpose of the qualification and unit standards. The qualification and unit standards can be accessed via the SAQA web-site at www.saqqa.org.za. Copies may also be obtained from the Directorate of Standards Setting and Development at the SAQA offices, Hatfield Forum West, 1069 Arcadia Street, Hatfield, Pretoria.

Comment on the unit standards should reach SAQA at the address ***below and no later than 1 March 2004***. All correspondence should be marked **Standards Setting – SGB for Public Administration and Management** and addressed to

The Director: Standards Setting and Development
SAQA

Attention: Mr. D Mphuthing

Postnet Suite 248

Private Bag X06

Waterkloof

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e-mail: mmphuthing@saqa.co.za

JOE SAMUELS

DIRECTOR: STANDARDS SETTING AND DEVELOPMENT



Established in terms of Act 58 of 1995

**TITLE: National Certificate in Public Finance and Administration
(Municipal): NQF Level 5**

1. **FIELD:** Business, Commerce and Management Studies
Sub-fields: Public Administration
2. **LEVEL:** 5
3. **CREDITS** 132
4. **ISSUE DATE:**
5. **REVIEW DATE:**
6. **RATIONALE FOR THE QUALIFICATION:**

The need for well-qualified efficient, client-orientated government officials to serve the needs of the public has been identified as an urgent priority in South Africa. This need is equally important in semi-government organisations such as municipalities and metropolitan administrative structures. This National Certificate in Public Finance and Administration (Municipal): NQF Level 5 is aimed at financial practitioners working in local government (municipalities and metropolitan councils). It is the first Qualification in a learning pathway in Public Administration with specialisation in Municipal Financial Administration that leads to a Diploma: Level 5 and/or a degree at NQF level 6 and ends in an Honours Degree at Level 7.

The Certificate in Public Finance and Administration (Municipal): NQF Level 5 consists of learning material covering Accounting and Financial Management and Administration. The competencies contained in this learning material encapsulates the competencies required by Municipal Financial Officers working at this level.

The Qualification will therefore advance the ability of the qualifying learner and Municipal Financial Official to perform the necessary financial management tasks expected of him/her, as well as improve his/her general administration abilities so equipping him/her to provide a service that meets the needs of the public.

The Qualification will contribute to the upliftment of the South African economy in line with the aims and objectives of the Skills Levies Act and the

Skills Development Act through raising the skills levels of municipal employees and thereby providing better employment prospects for the learner and even opportunities for self-employment

7. PURPOSE OF THE QUALIFICATION:

The purpose of the Qualification is to enable qualifying learners to apply the relevant financial management functions, skills and techniques to ensure effective and efficient service delivery in the Public Sector environment. As a result society could benefit from improved service delivery and the learner will gain relevant and useful knowledge, skills and attitudes to be a productive Public Sector financial practitioner.

The Qualification will add value to the learner in terms of improved employment possibilities as financial practitioners in the Public Sector. In addition, qualifying learners will:

- Be granted membership of both the professional bodies in the municipal financial management field, namely The Institute for Public Finance and Auditing (IPFA) and the Institute of Municipal Finance Officers (IMFO)
- Receive Status in line with the Code of Remuneration (CORE), and stipulations of the Public Service Commission.

The Qualification serves as a basis for further learning in the field of Public Financial Management and Municipal Finance and could also lead to learning in the related fields of Public Management, Public Policy, Politics and Democratic Citizenship, Sovereignty of the State, Promotive Health and Developmental Services, and Consumer Services.

The Qualification promotes the objectives of the NQF in that it facilitates access to and mobility and progression within education and training for learners who:

- Were previously disadvantaged or who were unable to complete their schooling and were therefore denied access to Further Education and Training.
- Have worked in this field for many years, but have no formal Qualifications and would like to achieve this through the process of RPL (Recognition of Prior Learning) and/or formal study
- Wish to extend their range of skills and knowledge of administration within their respective industries so that they can extend their competency levels.

After successful completion of this Qualification the learner will be able to:

- Execute lower level financial and administrative activities and tasks to contribute to the operational functioning of a public institution

- Maintain internal and external client services according to operational procedures and the Batho Pele principles to ensure community/client satisfaction

The Qualification has building blocks that can be developed further in Qualifications at a higher level

The intention is:

- To promote the development of knowledge, skills and values that are required for service excellence within the field of Public Finance and Administration (Municipal).
- To release the potential of people.
- To provide opportunities for people to move up the value chain.

8. ACCESS TO THE QUALIFICATION:

All learners in possession of an FETC or equivalent qualification may have access to this Qualification, bearing in mind the learning assumed to be in place detailed below.

9. LEARNING ASSUMED TO BE IN PLACE;

It is assumed that Learners accessing this Qualification are competent in:

- Communication at NQF Level 4
- Mathematical Literacy at NQF Level 4
- Computer Literacy at NQF Level 4..

8. CREDITS ASSIGNED TO THE QUALIFICATION:

The Qualification is a planned combination of Learning Outcomes that culminate in the competencies specified in the purpose statement. The Outcomes are grouped into Fundamental, Core and Elective components to allow for ease of articulation with other Qualifications.

Table indicating the Credits allocation and level of competencies in Fundamental, Core and Elective Components

COMPONENT	LEVEL	CREDITS
FUNDAMENTAL	5	52
CORE	5	70
ELECTIVE	5	10
TOTAL		132

9. EXIT LEVEL OUTCOMES AND ASSOCIATED ASSESSMENT CRITERIA**FUNDAMENTALS:****Specific outcome 1**

Perform Mathematical calculations related to the work situation.

Assessment criteria:

- Basic numeric calculations, such as addition, subtraction, division and multiplication are carried out correctly using decimal notation
- Percentage and ratio calculations are carried out correctly
- Unit cost calculations are done for a variety of goods and services
- Value-added tax calculations are performed for a number of goods and services
- Simple and Compound interest is correctly calculated for a number of accounts

Specific outcome 2

Know, understand and implement the legislative framework governing public financial management

Assessment criteria

- The Constitution of South Africa is interpreted so as to know how it applies to the policies governing the Public Sector
- The Public Finance Management Act or Municipal Finance Management Act and related policies governing the Public Sector are applied in real or simulated situations
- The Division of Revenue Act and related policies governing the Public Sector are applied in real or simulated situations
- The Preferential Procurement Policy Framework Act, the Preferential Procurement Regulations and related policies governing the Public Sector are applied in real or simulated situations
- The Public Service Act and related policies governing the Public Sector are applied in real or simulated situations
- The Treasury Regulations and related policies governing the Public Sector are applied in real or simulated situations
- GRAP or GAMAP and related policies governing the Public Sector are applied in real or simulated situations
- The concepts of GAAP are compared with GRAP and GAMAP
- Accountability as a concept applicable to all employees is understood

Specific outcome 3

Know, understand and utilise data processing systems

Assessment criteria

- The components of the Transaction Processing System are understood and applied to routine tasks
- The risks to data held on a computer system are minimised by using controls for active threats
- The risks to data held on a computer system are minimised by using controls for passive threats

Specific outcome 4

Work and develop oneself in the workplace

Assessment criteria

- Self discipline is applied in the workplace
- The learner's own competence and personal growth are planned and developed as required
- The learner's own short and long-term career plans are developed and plans are made to realise them.

Specific outcome 5

Contribute to health, safety and security in the workplace

Assessment criteria

- The relevant regulations and procedures regarding Health and Safety as contained in the Occupational Health and Safety Act are understood and applied in terms of the level of authority of the learner or reported to the person how can deal with them.
- Security in the workplace is monitored and breaches to the provisions reported to the appropriate official

Specific outcome 6

Adhere to professional ethics and conduct in the workplace

Assessment criteria

- Ethical standards and values as applicable to Public Sector administration are applied in the workplace
- The Code of Conduct of the institution, of the profession and those required in terms of legislation are understood and adhered to at all times
- The requirements of the Disciplinary and Grievance Code are understood and adhered to at all times

Specific outcome 7

Communicate effectively in the workplace

Assessment criteria

- Oral communication skills are effectively used when speaking and listening to clients and work colleagues either formally or informally.
- Reading skills are effectively used to understand, interpret and act upon written texts
- Writing skills are effectively used to write reports, memorandums, letters, e-mails, notices, etc, to draw up meeting agenda and to take minutes of meetings.

CORE:**Specific outcome 8**

Apply the basic accounting principles

Assessment criteria

- The basic accounting equation is understood and applied appropriately
- The double entry system is understood and applied
- The account system is understood and applied
- Source documents are identified and used when required
- The recording of entries into books of first entry is understood and done correctly.
- The system of posting of entries to the appropriate general ledger is understood and applied accurately and correctly
- The different types of financial statements are recognised and their use explained by means of examples

Specific outcome 9

Understand and apply the basic processes and procedures of financial accounting

Assessment criteria

- The basic elements of the Accounting Model are understood and applied
- The basic activities in the accounting system related to the various business processes are understood and an explanation given of when and how they are used
- The basic elements of the accounting processes related to the accounting cycle are understood and applied
- The transaction processing cycle is understood and an explanation given of how it is applicable to the learner's work situation
- The elements of the internal control process are understood and applied

- The chart of accounts is understood

Specific outcome 10

Record accounts receivable

Assessment criteria

- The debtors administration system is understood and applied
- Documents relating to goods and services supplied to an institution are processed
- Revenue is received and recorded as per institutional requirements and procedures.

Specific outcome 11

Record accounts payable

Assessment criteria

- The creditors administration system is understood and applied
- Payments are prepared according to statutory requirements
- Documents relating to goods and services received from vendors are prepared and processed for payment
- Payments are made and recorded according to institutional and legislative requirements and procedures.

Specific outcome 12

Record financial transactions including petty cash

Assessment criteria

- The cashbook administration system is understood and applied correctly
- Entries are made in the cash receipt journal and the cash payment journal
- The cash book is reconciled with the bank statement
- The petty cash administration system is understood and correctly used
- petty cash reimbursement and disbursements are recorded correctly

Specific outcome 13

Verify and interpret processed accounting data

Assessment criteria

- The importance of verifying and reconciliation accounting data to ensure the correctness and completeness of transactions is understood and the process and procedures are carried out correctly as per organisational and legislative requirements
- Accounts are reconciled and checked for correctness.

Specific outcome 14

Understand the concept of and draw up a trial balance

Assessment criteria

- The purpose of a trial balance is understood
- The elements of a trial balance are identified from a ready prepared trial balance
- The information required to draft a trial balance is identified and collected to draw up a trial balance
- The errors that could occur in a trial balance are identified and listed in tabular form with examples of each.
- A trial balance is drawn up for an entity.

Specific outcome 15

Understand the basic principles of cost accounting

Assessment criteria

- The basic costing elements are identified and listed
- The costing principles and concepts are identified and listed
- Costing techniques are listed and advantages and uses of each are supplied
- Appropriate cost centres and elements of costs are recognised

Specific outcome 16

Understand the budget cycle

Assessment criteria

- The steps in the budget process are identified and a written explanation given
- The linkages between strategic planning, the Medium Term Expenditure Framework (MTEF), the operational capital budget, reporting, annual financial statements and the annual report are understood with examples of each concept supplied

Specific outcome 17

Understand and apply the supply chain management cycle

Assessment criteria

- The elements of the supply chain management cycle are identified
- The role-players in supply chain management are identified and an indication given of the role of each
- The procurement processes and procedures are known, understood and applied

Specific outcome 18

Understand the fundamental aspects of risk management

Assessment criteria

- The concept of risk management is understood in the context of the workplace
- The process of risk management is understood
- The process of internal auditing is understood as part of risk management

Specific outcome 19

Understand and apply the processing of payroll transactions

Assessment criteria

- The importance of a payroll function is understood in an organisation
- The need for a separation of functions in the payroll administration cycle is understood in terms of risk management
- The transaction cycle in payroll processing is understood and an indication is given of who is involved in the different stages of the cycle
- The control and reconciliation of payroll processing is understood and applied in terms of risk management and accountability

ELECTIVES:**Specific outcome 20**

Understand and apply the South African tax system to an individual and an organisation.

Assessment criteria

- Taxation is defined and the different types of tax payable in South Africa are explained in tabular form indicating which are direct and which indirect taxes and which payable by individuals and which by companies and government departments
- Statutory and other returns are prepared for submission to SARS
- A personal taxation form is completed for a specific tax year.

Specific outcome 21

Understand and apply the public sector provisioning management framework

Assessment criteria

- The place of provisioning management in public management and administration is understood in relation to transparent and fair management.
- The type of stock/stores that must be kept in a warehouse are identified so as to ensure a minimum of wastage and shrinkage.
- A warehouse or storeroom is maintained effectively and efficiently.
- The transit section of a warehouse is maintained effectively and efficiently.
- Internal requisitioning procedures are applied for stores items.
- External requisitioning procedures for consumable items are applied to procure goods/services for the organisation/department.
- Stock levels and delivery periods are determined through accounting for consumable items.

CRITICAL CROSS-FIELD OUTCOMES EMBEDDED IN THE SPECIFIC OUTCOMES

The following Critical Cross-Field Outcomes have been covered by the Specific Outcomes:

- Working effectively with others in a team in collecting and processing data
- Collecting and organising information
- Identifying and solving problems in which responses display responsible conduct
- Communicating effectively using visual and/or language skills in the modes of oral and or written persuasions
- Demonstrating and managing the dynamics between the micro- and intermediate environments as a set of related systems by recognising that basic problem-solving does not exist in isolation
- Organising and managing oneself and subordinates responsibly and effectively as a public official. This Critical Cross-Field outcome is embedded in all the specific Outcomes.

It is only through self-management and organising skills that public officials will be able to optimally utilise human, financial and other resources for effective and efficient service delivery.

10 INTERNATIONAL COMPARABILITY

A search was done on the Scottish Qualifications Authority, the Australian National Training Authority, the New Zealand Qualifications Authority and the City & Guilds websites for Qualifications and/or standards in Financial Management for Municipalities or Local Authorities. Unfortunately, only the Scottish QA had a qualification that contained the competencies identified as required by municipal finance officers for whom this qualification has been designed. The standards contained in the Scottish qualification entitled: "

Providing Financial Services Level 3 no G6HR 23" were compared with the exit level outcomes and associated assessment criteria of this qualification and a favourable match was found in terms of the knowledge and skills contained in both.

11 INTEGRATED ASSESSMENT

Because assessment practices must be open, transparent, fair, valid, and reliable and ensure that no learner is disadvantaged in any way whatsoever, an integrated assessment approach is required for this Qualification.

Learning, teaching and assessment are inextricably linked. Whenever possible, the assessment of knowledge, skills, attitudes and values shown in the Exit Level/ Specific Outcomes assessment should be integrated.

Assessment of Fundamental Outcomes should be conducted in conjunction with other competencies contained in the Core Component and should use authentic Public Finance and Administration contexts wherever possible.

A variety of methods must be used in assessment and assessment tools and activities must be appropriate to the context in which the learner is working/learning. Where it is not possible to assess the learner in the workplace or on-the-job, simulations, case studies, role-plays and other similar techniques should be used to provide a context appropriate to the assessment.

The term 'Integrated Assessment' implies that theoretical and practical components should be assessed together. During integrated assessments, the assessor should make use of a range of formative and summative assessment tools and methods and assess combinations of practical, applied, foundational and reflective competencies.

Assessors must assess and give credit for learning that has already been acquired through formal, informal and non-formal learning and work experience.

The qualification provides for sufficient opportunities for the application of knowledge, skills and attitudes across outcomes to ensure that the learners' competencies can be assessed through the integration of formative and summative assessment methods.

On-going, continuous, formative evaluation should be done through participation in tutorials, assignments, experiential learning, written tests, case studies, and peer evaluation.

Summative evaluation should be done through the completion of a comprehensive assignment/project and written examinations/tests.

The assessment of the Critical Cross-Field Outcomes should be integrated with the assessment of the Specific Outcomes.

11. ARTICULATION POSSIBILITIES

This Qualification articulates vertically with the proposed Diploma in Public Finance and Administration (Municipal Finances) and should also grant the learner access to the second year of study for the Bachelors Degree specialising in Municipal Finance.

It also articulates with the following Qualifications:

- National Certificate in Business Administration: Level 4
- National Certificate in Business Administration: Level 5
- National Certificate in Payroll Administration Services: Level 4
- National Diploma in Payroll Administration Services Level 5
- National Certificate in Public Administration and Management: Level 5
- National Diploma in Public Administration and Management: Level 5.

It also provides horizontal and vertical career mobility in the Public Sector.

12. RECOGNITION OF PRIOR LEARNING

The recognition of prior learning is applicable for this qualification. Assessment of Prior Learning must be done by means of Integrated Assessment as mentioned in the previous paragraph.

Recognition of Prior Learning may allow for:

- accelerated access to further learning at this or higher levels on the NQF
- the obtaining in whole or in part of this Qualification.

13. ASSESSMENT AND MODERATION:

- Anyone assessing a learner or moderating the assessment of a learner against this Qualification must be registered as an assessor with a relevant Education, Training, Quality, Assurance (ETQA) Body or with an ETQA that has a Memorandum of Understanding with the relevant ETQA.
- Any institution offering learning that will enable the achievement of this Qualification must be accredited as a provider with the relevant ETQA or with an ETQA that has a Memorandum of Understanding with the relevant ETQA.
- Moderation of assessment will be overseen by the relevant ETQA or by an ETQA that has a Memorandum of Understanding with the relevant ETQA, according to the ETQA's policies and guidelines for assessment and moderation.
- Moderation must include both internal and external moderation of assessments at exit points of the Qualification, unless ETQA policies specify otherwise. Moderation should also encompass achievement of the competence described both in individual Unit Standards as well as in the exit level outcomes described in the Qualification.

CRITERIA FOR REGISTRATION OF ASSESSORS

For an applicant to register as an assessor for this Qualification, the applicant should:

- Hold an Honours Degree or equivalent in Public Financial Management or in Financial Accounting and Financial Management
- Be registered as an assessor with a relevant ETQA.

**SOUTH AFRICAN QUALIFICATIONS AUTHORITY (SAQA)**

In accordance with regulation 24(c) of the National Standards Bodies Regulations of 28 March 1998, the Standards Generating Body (SGB) for

Financial Services

Registered by NSB 03, Business, Commerce and Management Studies, publishes the following unit standards for public comment.

This notice contains the titles, fields, sub-fields, NQF levels, credits, and purpose of the unit standards. The unit standards can be accessed via the SAQA web-site at www.saga.org.za. Copies may also be obtained from the Directorate of Standards Setting and Development at the SAQA offices, Hatfield Forum West, 1069 Arcadia Street, Hatfield, Pretoria.

Comment on the qualification and unit standards should reach SAQA at the address ***below and no later than 1 March 2004***. All correspondence should be marked **Standards Setting – SGB for Financial Services** and addressed to

The Director: Standards Setting and Development
SAQA

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JOE SAMUELS

DIRECTOR: STANDARDS SETTING AND DEVELOPMENT

UNIT STANDARDS IN BACK OFFICE SUPPORT IN A BANKING ENVIRONMENT

NLRD NUMBER	TITLE	LEVEL	CREDITS
	Administer and maintain a security information library in a banking environment	2	3
	Adhere to legal requirements relating to negotiable instruments in a banking environment	3	6
	Administer instructions to release original securities from custodianship in a banking environment	3	8
	Control the processing of missing and rejected items within a banking environment	3	5
	Ensure and maintain the validity of securities in custodianship in a banking environment	3	5
	Ensure the correctness of internal banking vouchers	3	2
	Handle rejected money transfers in a banking environment	3	3
	Investigate banking-related claims on behalf of the branch	3	8
	Operate sort machinery within the banking environment	3	3
	Process banking transaction record reports	3	6
	Process rejected and missing banking-related items	3	2
	Produce copies of bank statements on the customer's behalf	3	1
	Scrutinise vouchers for banking-related technical irregularities within the banking environment	3	2
	Source and image cheques and vouchers in a banking environment	3	3
	Trace banking related entries on behalf of other parties	3	4
	Transfer and close bank accounts	3	5
	Process unpaid, late unpaid and rejected cheques in a banking environment	3	4
	Conduct an analysis of a personal banking customer's financial position	4	8
	Monitor cash centre reports and accounts in banking environment	4	5
	Process customer requests for cheque books, counter cheques and bank cheques	4	3
	Process electronic banking related reports	4	6

Title: Administer and maintain a security information library in a banking environment

Unit Standard Number:

Level: 2

Credits: 3

Field: Business, Commerce and Management Studies
Sub-field: Finance, Economics and Accounting

Issue Date:

Review Date:

Purpose:

This Unit Standard is intended for people who are responsible for the safekeeping of formal and informal security documents.

People credited with this Unit Standard are able to:

- log records in
- withdraw records from a filing location
- provide copies of documentation in custodianship
- maintain the image and accuracy of the library.

Learning Assumed to be in Place:

Learners accessing this Unit Standard should be competent in:

- Communication at NQF Level 1
- Mathematical Literacy at NQF Level 1
- The use of administration equipment such as photocopy machine, scanning and fax machine.

Specific Outcomes and Assessment Criteria:

Specific Outcome No. 1

Log security records in

Range: New records; Individual documents; Re-entering of existing records.

Assessment Criteria

- 1.1 Approved security records and/or documentation are received for safekeeping according to business specifications.
- 1.2 The content of the record is verified and completeness is confirmed in accordance with business specific requirements.

- 1.3 Records received for safekeeping are recorded according to business specific requirements.
- 1.4 Records are filed in accordance with the specifications of the filing/storage system in use and type of security.

Specific Outcome No. 2**Withdraw security records from filing location****Assessment Criteria**

- 2.1 Request received to withdraw records from library are recorded according to business specifications.
- 2.2 The authenticity of the request is verified according to business specific criteria.
- 2.3 The requested security records are located and removed from location according to business specifications.
- 2.4 Records are prepared and released from library as per request and business specifications.

Specific Outcome No. 3**Provide, on request, copies of security documents in custodianship****Assessment Criteria**

- 3.1 Requests received for copies are recorded according to business specifications.
- 3.2 The authenticity of the request is confirmed in accordance with business specifications.
- 3.3 The filing location of the requested document is determined and records are removed from location according to business specifications.
- 3.4 Documents are reproduced in accordance with request and business specifications.
- 3.5 Proof of provision of copies is obtained and recorded according to business specifications.

Specific Outcome No. 4**Maintain the image and accuracy of the library****Assessment Criteria**

- 4.1 The condition of security records and content thereof are monitored and rectified, when necessary, in accordance with company specifications.
- 4.2 Outstanding records are followed-up, retrieved and re-entered into library according to business specifications.
- 4.3 Misfiled/lost records are reported and actions are taken to retrieve the records according to business specifications.
- 4.4 On receipt of notification, obsolete records are recorded and prepared for archiving in accordance with business specifications.
- 4.5 Security records are compared to ensure that they correspond with security database.

Accreditation Process (Including Moderation):

1. Anyone assessing a learner against this Unit Standard must be registered as an assessor with the relevant ETQA, or with an ETQA that has a Memorandum of Understanding with the relevant ETQA
2. Any institution offering learning that will enable achievement of this Unit Standard or assessing this Unit Standard must be accredited as a provider with the relevant ETQA, or with an ETQA that has a Memorandum of Understanding with the relevant ETQA.
3. Moderation of assessment will be overseen by the relevant ETQA according to the moderation guidelines in the relevant qualification and the agreed ETQA procedures.

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Notes

1. Critical Cross - Field Outcomes

- The learner is able to identify and solve problems when locating records; ensuring records are only reported as lost/misfiled once all possibilities had been considered.
- The learner is able to organise and manage his/her activities responsibly and effectively, ensuring that all security records are filed accurately and timeously.
- The learner is able to use technology effectively, ensuring the effective completion of the task at hand.
- The learner is able to demonstrate an understanding of the relationship between internal departments and the importance of networking to effectively administer and maintain a security information library.

2. Range Statement

- Recordings include, but are not limited to manual recording e.g. registers, use of technology e.g. imaging, storage tracking system and acknowledgment of receipt.
- Negotiable instruments are logged in under dual control and at a separate filing location.
- Requests may initiate from, but are not limited to written requests from branches and internal departments, personal (face-to-face) requests from customers and system generated listings
- Criteria include, but are not limited to duly authorised request form, mandated signatures, reason for withdrawal and document details e.g. customer details, account number and description of security.
- Specifications include, but are not limited to sign-off in register/withdrawal form, the recording of removed records on storage tracking system, the withdraw of negotiable instruments under dual control, the use of a secure dispatching method e.g. registered delivery, hand delivery or collection and acknowledgment of receipt, duly authorised request, mandated signatures and positive identification of customer.
- Proof of provision and recording include, but are not limited to fax transmission sheets, tracking numbers, signature of recipient in registers; filing of request form in security record.
- Reparation of damaged records and the opening of new/additional files.

3. Embedded Knowledge

- types of documents - formal and informal securities.
- the process for registering security records.
- the use, layout and principles of company specific manual and/or electronic filing systems.
- security regulations
- Use of company specific administration equipment e.g. photocopier, fax and scanning machine.

4. Terminology

- Security information refers to all formal and informal security documents held in custodianship.
- Examples of negotiable instruments are share certificates, investments, stocks and unit trusts.

Title: Adhere to the legal requirements relating to negotiable instruments in a banking environment.

Unit Standard Number:

Level: 3

Credits: 6

Field: Business, Commerce and Management Studies
Sub-field: Finance, Economics and Accounting

Issue Date:

Review Date:

Purpose:

This Unit Standard is intended for people who will be responsible to ensure that legal requirements relating to negotiable instruments are adhered to.

Persons credited with this Unit Standard will be able to:

- identify and explain the technical and legal requirements related to negotiable instruments
- analyse negotiable instruments to determine the validity of crossings, markings and amendments
- process negotiable instruments.

Learning Assumed to be in Place:

Persons attempting this Unit Standard should:

- have knowledge of the Code of Banking Practice
- be competent in:
 - Communication at NQF Level 2
 - Mathematical Literacy at NQF Level 2.

Specific Outcomes and Assessment Criteria

Specific Outcome No. 1 Identify and explain the technical and legal requirements related to negotiable instruments.

Assessment Criteria

- 1.1 The legal and technical requirements relating to cheques are explained using specific examples
- 1.2 The legal and technical requirements relating to postal orders are explained using specific examples.
- 1.3 The legal requirements relating to travelers' cheques and Forex are explained using specific examples.

- 1.4 The legal implication relating to bills of exchange and provisional notes are explained using specific examples.

Specific Outcome No. 2

Analyse negotiable instruments to determine validity of crossings, markings and endorsements.

Assessment Criteria

- 2.1 Negotiable instruments are scrutinised for possible fraudulent or other improper amendments.
- 2.2 The legal implications of inaccuracy are explained using specific examples.
- 2.3 Invalid negotiable instruments are recorded and referred in accordance with company specific guidelines.

Specific Outcome No. 3

Process negotiable instruments.

Assessment Criteria

- 3.1 The legal implications relating to the processing of negotiable instruments are explained using specific examples.
- 3.2 The correct payee's account is identified and signature is checked in accordance with company specific requirements.
- 3.3 The transaction is completed and the negotiable instrument is returned and/or filed in accordance with company specific requirements.

Accreditation Process (Including Moderation):

1. Anyone assessing a learner against this Unit Standard must be registered as an assessor with the relevant ETQA, or with an ETQA that has a Memorandum of Understanding with the relevant ETQA
2. Any institution offering learning that will enable achievement of this Unit Standard or assessing this Unit Standard must be accredited as a provider with the relevant ETQA, or with an ETQA that has a Memorandum of Understanding with the relevant ETQA.
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Notes**1. Critical Cross-Field Outcomes:**

- The learner is able to work effectively with others when referring fraudulent or incorrect negotiable instruments to appropriate internal authority, so that possible losses to the bank can be prevented.
- The learner is able to collect, analyse, organise and critically evaluate information when adhering to the legal requirements relating to negotiable instruments, and documentation, ensuring all crossings, markings and amendments are checked and correctly interpreted.

- The learner is able to communicate effectively both verbally and in writing when explaining the legal requirements related to negotiable instruments.
- The learner is able to use science and technology effectively when capturing information electronically, ensuring negotiable instruments are honoured against the correct account.
- The learner is able to understand the relationships between crossings and markings on negotiable instruments, and the legal and financial implications these may have for the bank.

2. Embedded Knowledge:

- statutory and common law relating to negotiable instruments
- company policies and procedures relating to negotiable instruments.

3. Terminology:

- Statutory Law - This is an Act that has been passed by parliament or internal law and must be adhered to by all e.g. Bank Act, Companies Act etc.
- Common Law - This must be adhered to by all parties having entered into a contract.

4. Legal Requirements

- Statutory Law
- Common Law

Title: Administer instructions to release original securities from custodianship in a banking environment.

Unit Standard Number:

Level: 3

Credits: 8

Field: Business, Commerce and Management Studies
Sub-field: Finance, Economics and Accounting

Issue Date:

Review Date:

Purpose:

This Unit Standard is for people who are responsible for releasing security documents from custodianship in such a manner that the custodian's interest remains secure.

People credited with this Unit Standard are able to:

- ascertain the documents to be released
- acquire the documents to be released
- release the documents
- ensure that the released documents or cancellations of interest are received back for safekeeping.

Learning Assumed to be in Place:

It is assumed that learners accessing this Unit Standard are competent in Communications at NQF Level 2

Specific Outcomes and Assessment Criteria

Specific Outcome No. 1 Ascertain the documents to be released

Assessment Criteria

- 1.1 A check is carried out to ensure that the Instruction to release security documents complies with business specifications.
- 1.2 The release instruction is recorded as per business specifications.
- 1.3 The validity of the instruction is verified according to business specifications.
- 1.4 The instruction is interpreted to ensure that a correct identification can be done of the documents to be released.

Specific Outcome No. 2 Acquire original documents to be released.

Assessment Criteria

- 2.1 The security record is retrieved from custodianship according to business specifications.
- 2.2 Original documents to be released are identified and removed from security record as per instruction.
- 2.3 Mislaidd/Lost documents are identified and actions are taken to obtain certified copies and/or consent to serve copies in lieu of originals according to business and legal regulations.

- 2.4 The withdrawal of documents is noted on the security record according to business specific criteria.

Specific Outcome No. 3**Release original documents****Assessment Criteria**

- 3.1 The release of the documents is recorded according to business specifications.
- 3.2 Documents are prepared for dispatching as per instruction and business specifications.
- 3.3 Acknowledgment of receipt of documents is obtained, recorded and filed according to business specifications.
- 3.4 Customer's security profile is updated accordingly as per business specific regulations.

Specific Outcome No. 4**Monitor the status of released securities****Assessment Criteria**

- 4.1 Notification of released documents, not received back, is obtained according to business specifications.
- 4.2 Status of outstanding documents is investigated and findings are recorded as per notifications and business specifications.
- 4.3 Unfinished notifications (relating to incomplete work) are diarised and followed-up according to business specifications.
- 4.4 All queries from interested parties are attended to and the necessary action carried out in accordance with business specifications.
- 4.5 Outstanding documents and/or confirmation of cancellation are received, recorded and logged in as per business specifications.

Accreditation Process (Including Moderation):

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Notes:**1. Critical Cross - Field Outcomes**

- 1. The learner is able to identify and solve problems when records are mislaid/lost, ensuring decisions to obtain certified copies and/or consents are only taken once all possibilities for locating the records had been considered.
- 2. The learner is able to work effectively with others when obtaining and verifying instructions to release documents from custodianship and in acquiring the original documents.
- 3. The learner is able to organise and manage his/her activities responsibly and effectively, ensuring that all original securities from custodianship are released, recovered and/or followed-up timeously, ensuring the accuracy of the security information library.

4. The learner is able to collect, organise and critically evaluate information when verifying documentation and interpreting information and release instructions, ensuring accurate determination of causes of actions.
5. The learner is able to communicate both verbally and in writing when monitoring the status of released securities.
6. The learner is able to use technology effectively when capturing, updating and extracting information, ensuring complete and accurate information is available on systems.
7. The learner is able to demonstrate an understanding of the relationship between internal departments, clients and other parties and the importance of networking to effectively administer instructions to release original securities from custodianship.

2. Range statement

- The whole Unit Standard includes both informal and formal securities released on a temporary and/or permanent basis.
- Instructions may initiate from attorneys, branches, internal departments e.g. legal department, and executors of deceased /insolvent estates and system generated listings.
- Recording includes registers, system notations and acknowledgment of receipt.
- Validity depends on mandated signatures, legitimate attorney, verification of client details and authorised consent for release.
- Mislaid documents include lost policy affidavit signed by Commissioner of Oaths; Indemnity form from transferring secretary (JSE shares); Replacement of documents in terms of the Deeds Registries Act of 47 of 1937.
- Business criteria include the replacement of original documents with copy of the release instruction, dispatch details and approved list of types of documents released.
- Release of documents includes information about date of release, destination, contact person, client details, reason and type of security released.
- Customer's security profile is updated with notations of release details on system and/or registers; cancellation of sessions/bank's interest.
- Security documents released for any of the following reasons; to effect changes/updates; to maintain the validity of the security; and/or to cancel bank's interest.
- Notifications about released documents include system-generated listings, account enquiries, diarised dates and follow-up systems.

3. Embedded knowledge

- The difference between formal and informal securities.
- Instructions and/or notifications for releasing original security documents.
- Corrective actions to be taken regarding mislaid and lost documents.
- The importance of adherence to security and risk aspect regarding the release of original security documents.
- Legal and company specific procedures and regulations relevant to the release of security documents.
- Company specific data systems regarding securities.

4. Legal Requirements

Deeds Registries Act, 47 of 1937.

Title: Control the processing of missing and rejected items within a banking environment.

Unit Standard Number:

Level: 3

Credits: 5

Field: Business, Commerce and Management Studies
Sub-field: Finance, Economics and Accounting

Issue Date:

Review Date:

Purpose:

This Unit Standard is for all people who have the responsibility of controlling the processing of rejected or missing bank items.

Persons credited with this Unit Standard will be able to:

- check and scrutinise reports
- contact agent banks about mismatches and irregularities
- control and monitor incident reports
- handle escalated queries.

Learning Assumed to be in Place:

It is assumed that learners accessing this Unit Standard are competent in Communications at NQF Level 4.

Specific Outcomes and Assessment Criteria:

Specific Outcome No. 1 Check and scrutinise reports

Assessment Criteria

- 1.1 The reports to be scrutinised are obtained as per the bank's procedures
- 1.2 Items are checked for correct action as required by the bank.
- 1.3 Reports are scrutinised for irregularities and mismatches as required by the bank.
- 1.4 Irregularities and mismatches are recorded as required by the bank.

Specific Outcome No. 2 Contact agent banks about mismatches and irregularities

Assessment Criteria

- 2.1 Agent banks are contacted for confirmation that code line clearances have been received and customers debited as required by the bank.
- 2.2 Requests are made for items still not received from agent banks to be sent through according to the bank's procedures.

Specific Outcome No. 3 Control and monitor incident reports**Assessment Criteria**

- 3.1 Incident reports raised by code line clearing clerks are received as per the bank's procedures.
- 3.2 Steps are taken to ensure that an answer or solution is received within a reasonable time as required by the bank's policy.

Specific Outcome No. 4 Attend to escalated queries**Assessment Criteria**

- 4.1 The nature of the escalated query received is identified according to the bank's policy
- 4.2 The escalated query is attended to as required by the nature of the query and the bank's procedures.
- 4.3 All queries are attended to timeously and in a manner that promotes good customer service.
- 4.4 Administrative tasks relating to the query are completed in the manner required by the bank.

Accreditation Process (Including Moderation):

1. Anyone assessing a learner against this Unit Standard must be registered as an assessor with the relevant ETQA, or with an ETQA that has a Memorandum of Understanding with the relevant ETQA
2. Any institution offering learning that will enable achievement of this Unit Standard or assessing this Unit Standard must be accredited as a provider with the relevant ETQA, or with an ETQA that has a Memorandum of Understanding with the relevant ETQA.
3. Moderation of assessment will be overseen by the relevant ETQA according to the moderation guidelines in the relevant qualification and the agreed ETQA procedures.

Therefore anyone wishing to be assessed against this Unit Standard may apply to be assessed by any assessment agency, assessor or provider institution, which is accredited by the relevant ETQA, or by an ETQA that has a Memorandum of Understanding with the relevant ETQA

Notes**Critical Cross-Field Outcomes**

The learner demonstrates the ability to:

- identify and solve problems in which responses display that responsible decisions using critical and creative thinking have been made when steps are taken to ensure that an answer or solution is received within a reasonable time as required by the bank's policy.
- work effectively with others as a member of a team, group, organisation and community when the reports to be scrutinised are obtained as per the bank's procedures.
- organise and manage oneself and one's activities responsibly and effectively when the escalated query is attended to as required by the nature of the query and the bank's procedures.
- collect, organise and critically evaluate information when reports are scrutinised for irregularities and mismatches as required by the bank.

Range Statement

- missing and/or rejected items include: local clearances, codeline clearing rejections of own cheques, unpaid cheques, unpaid ACB debit order documents, carrier envelopes, MICR and non-MICR items
- The reports to be scrutinised include ACB reports, code line clearing summary, mismatch reports, rejects summary.
- Administrative tasks include report, notify, record details of escalated query.

Embedded Knowledge

- all relevant banking policies and procedures.
- workflow.
- operating and computer systems to locate the necessary information and complete the task.
- operational risk.
- ACB procedures, systems and reports
- inter-bank message formats
- procedures for dealing with MICR items lost in transit
- relevant security precautions.

Legal Requirements

All procedures must meet recognised codes of practice as well as obligations required under current legislation within South Africa and within the normal parameters of the defined job/task.

Title: Ensure and maintain the validity of securities in custodianship in a banking environment.

Unit Standard Number:

Level: 3

Credits: 5

Field: Business, Commerce and Management Studies
Sub-field: Finance, Economics and Accounting

Issue Date:

Review Date:

Purpose:

This Unit Standard is intended for people who are responsible for assuring that securities held in custodianship are legitimate at all times.

People credited with this Unit Standard are able to:

- validate the soundness of securities
- realise the securities when cash values are required
- minimize credit risk
- handle the proceeds of securities at maturity.

Learning Assumed to be in Place:

It is assumed that learners accessing this Unit Standard are competent in Communications and Mathematical Literacy at NQF Level 2

Specific Outcomes and Assessment Criteria:

Specific Outcome No. 1 **Validate the soundness of securities submitted for safekeeping.**
Range: All types of securities submitted by branches, internal departments and attorneys (mortgage loans).

Assessment Criteria

- 1.1 Receipt of security records is acknowledged according to business specifications.
- 1.2 Contents of records are scrutinised for completeness to ensure that it corresponds with captured data and conditions of approved liability.
- 1.3 Outstanding documents are investigated and obtained in accordance with business specifications.
- 1.4 The legality of the documents is checked and confirmed in accordance with statutory law and business requirements.
- 1.5 Invalid documents are recorded and rectified in accordance with business specifications.
- 1.6 Approved security records are prepared and submitted for filing in accordance with business and filing/storage system requirements.

Specific Outcome No. 2**Realise securities in custodianship.**

*Range: Securities with a surrender value/cash value
e.g. policies, investments, shares and unit trusts.*

Assessment Criteria

- 2.1 Instruction to realise the security is received and recorded in accordance with business specifications.
- 2.2 The security record is retrieved from custodianship and applicable document is removed from record according to business specifications.
- 2.3 Respective companies are instructed to surrender the security according to business specifications and regulations per type of security.
- 2.4 Customer is informed of realisation in accordance with business specifications.

Specific Outcome No. 3**Minimise credit risk**

- 3.1 Receipt of the surrender value is monitored and processed as per instruction and business specifications.
- 3.2 A cancelled status is imposed on the security record according to business specifications.

Specific Outcome No. 4**Handle the proceeds of securities at maturity**

*Range: All securities with a mature date e.g. policies
and investments.*

Assessment Criteria

- 4.1 Maturity dates of securities in custodianship are monitored according to business specifications.
- 4.2 Notification of maturity is obtained according to business specifications.
- 4.3 The security record is retrieved from custodianship and withdrawal of document is noted on record in accordance with business specifications
- 4.4 Interested parties are notified of maturity and instructions regarding the utilisation of the proceeds are obtained in accordance with business specifications.
- 4.5 Actions to effect the instruction regarding the proceeds are taken and recorded according to business specifications.
- 4.6 Status of security is imposed on the security record and customer's security profile in accordance with business specifications.

Accreditation Process (Including Moderation):

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Notes

1. Critical Cross-Field Outcomes

- The learner is able to identify and solve problems when investigating and obtaining outstanding documentation, ensuring complete and accurate documentation per security record.
- The learner is able to organise and manage his/her activities responsibly and effectively, when attending to the validation of securities and the realisation of securities, ensuring the validity of securities in custodianship.
- The learner is able to collect, organise and critically evaluate information when validating the soundness of securities submitted for safekeeping, ensuring the accuracy of the security information library.
- The learner is able to communicate both verbally and in writing when instructing respective companies to surrender securities.
- The learner is able to use technology effectively when capturing, updating and extracting information, ensuring complete and accurate information is available on systems.
- The learner is able to demonstrate an understanding of the relationship between internal departments, clients and other companies and the importance of networking to effectively ensure and maintain the validity of securities in custodianship.

2. Range Statement

- Securities include formal and Informal securities
- Receipt of security records include, but are not limited to securities regarding new records and existing records where changes were made to documents and/or where additional security was acquired.
- Instructions to realise the security may initiate from, but are not limited to attorneys, branches, internal departments e.g. credit officials and legal.
- Respective companies are instructed to surrender the security according to business specifications and regulations per type of security.
- Regulations include, but are not limited to surrender procedures per Insurance Company; provision of original document and instructions for payment of surrender value.
- Notification of maturities include, but are not limited to system-generated listings, diarised dates and follow-up system.
- Interested parties include, but are not limited to branches, credit officials and clients.
- Status of security includes, but is not limited to cancellation of security or details of new maturity date in respect of re-investment of proceeds.

3. Embedded Knowledge

- Evaluation of the application of company specific criteria for completing and submission of security documents.
- Application of statutory requirements.
- Surrender procedures per Insurance Company.
- The mortgage loan process and legal requirements.
- The importance of ensuring the soundness of securities in custodianship.

- Company credit risk policy
- Collection procedures applicable to the realisation of securities.

4. Legal Requirements

- Credit Agreement Act
- Statutory law pertaining to contractual capacity of individuals and non-individuals e.g. Guardianship Act No. 192 of 1993; Matrimonial Property Act; Close Corporations Act No. 69 of 1984; Companies Act No. 61 of 1973.

Title: Ensure the correctness of internal bank vouchers.

Unit Standard Number:

Level: 3

Credits: 2

Field: Business, Commerce and Management Studies

Sub-field: Finance, Economics and Accounting

Issue Date:

Review Date:

Purpose:

This Unit Standard is for people who have to process internal bank vouchers

Persons credited with this Unit Standard will be able to

- Scrutinize internal transaction vouchers for completeness
- Process internal vouchers and ensure that they have been passed in accordance with banking practice
- ensure that internal vouchers are stored correctly.

Learning Assumed to be in Place:

It is assumed that learners accessing this Unit Standard are competent in communications at NQF Level 2.

Specific Outcomes and Assessment Criteria:

Specific Outcome No. 1 **Scrutinise internal transaction vouchers for completeness.**

Assessment Criteria

- 1.1 Care is taken to ensure that all vouchers are received according to the bank's procedures.
- 1.2 All transaction vouchers are examined for completeness as required by the bank.
- 1.3 Vouchers are scrutinised for compliance with legislation and internal rulings

Specific Outcome No 2 **Process internal vouchers**

Assessment Criteria

- 2.1 All invoices, receipts and supporting documentation are attached to the voucher, as required by the bank.
- 2.2 Invoices are annotated according to the bank's procedures.
- 2.3 All vouchers are initialled in the manner required by the bank as evidence of examination.
- 2.4 Vouchers are checked for authorisation by people of the appropriate seniority according to the bank's procedures.

Specific Outcome No. 2**Ensure that vouchers and reports are stored correctly.****Assessment Criteria**

- 2.1 The necessary steps are taken for the storage of revenue and expenditure vouchers as required by the bank.
- 2.2 The necessary steps are taken for the storage - with easy access - of inspection vouchers as required by the bank.
- 2.3 The necessary steps are taken to ensure that schedules and registers are updated for loss, unclaimed balances and low cost entries as required by the bank.

Accreditation Process (Including Moderation):

1. Anyone assessing a learner against this Unit Standard must be registered as an assessor with the relevant ETQA, or with an ETQA that has a Memorandum of Understanding with the relevant ETQA
2. Any institution offering learning that will enable achievement of this Unit Standard or assessing this Unit Standard must be accredited as a provider with the relevant ETQA, or with an ETQA that has a Memorandum of Understanding with the relevant ETQA.
3. Moderation of assessment will be overseen by the relevant ETQA according to the moderation guidelines in the relevant qualification and the agreed ETQA procedures.

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Notes**1. Critical Cross - Field Outcomes**

The learner demonstrates the ability to:

- organise and manage oneself and one's activities responsibly and effectively when all invoices, receipts and supporting documentation are attached to the voucher, as required by the bank.
- communicate effectively using visual, mathematical and language skills in the modes of oral and written presentations when the necessary steps are taken to ensure that schedules and registers are updated for loss, unclaimed balances and low cost entries as required by the bank.
- demonstrate an understanding of the world as a set of related systems when vouchers are scrutinised for compliance with legislation and internal rulings.

2. Range statement

- Transaction vouchers are examined for completeness includes but is not limited to correct preparation, date stamp, authentication, validity.
- Invoices are annotated according to the bank's procedures, includes but is not limited to paid, dated with date of payment, cheque number of bank cheque.
- Vouchers are scrutinised for compliance with legislation and internal rulings includes but is not limited to VAT, tax, admissible expenses, accounting practices.

3. Embedded Knowledge

- all relevant banking policies and procedures.
- workflow.

- operating and computer systems to locate the necessary information and complete the task.
- operational risk.
- relevant security precautions.

4. Legal Requirements

- All procedures must meet recognised codes of practice as well as obligations required under current legislation within South Africa and within the normal parameters of the defined job/task.

Title: Handle rejected money transfers in a banking environment.

Unit Standard Number:

Level: 3

Credits: 3

Field: Business, Commerce and Management Studies
Sub-field: Finance, Economics and Accounting

Issue Date:

Review Date:

Purpose:

This Unit Standard is intended for people entrusted with the task of handling rejected money transfers.

Persons credited with this Unit Standard will be able to

- establish the nature of the rejected money transfers
- establish the reason for rejected money transfers
- expunge the rejected transfer entries.

Learning Assumed to be in place:

It is assumed that learners accessing this Unit Standard will be competent in Communications at NQF Level 2.

Specific Outcomes and Assessment Criteria:

Specific Outcome No. 1 Establish the nature of the rejected money transfers appearing on the report(s)

Assessment Criteria

- 1.1 The relevant daily report(s) is/are scrutinised to establish the occurrence of any rejected money transfers in the manner required by the bank.
- 1.2 The nature of the rejected money transfer is identified according to the bank's guidelines.

Specific Outcome No. 2 Establish the reason for the rejection

Assessment Criteria

- 2.1 The prime voucher is obtained and matched with the account numbers on the report to identify possible capture errors.
- 2.2 Other reasons for the rejected money transfers are established should the rejection not be due to capture errors.
- 2.3 Fraudulent transactions are referred to the relevant department as required by the bank.

Specific Outcome No. 3 Expunge the rejected transfer entries**Assessment Criteria**

- 3.1 Rejected transfer entries are expunged according to the bank's procedures.
- 3.2 The original documentation is annotated according to the bank's procedures.

Accreditation Process (Including Moderation):

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Notes**Critical Cross-Field Outcomes**

The learner demonstrates the ability to:

- identify and solve problems in which responses display that responsible decisions using critical and creative thinking have been made when the nature of the rejected money transfer is identified according to the bank's guidelines.
- organise and manage oneself and one's activities responsibly and effectively when rejected transfer entries are expunged according to the bank's procedures.
- collect, organise and critically evaluate information when, should there not be capture errors, other reasons for the rejected money transfers are established.

Range statement

- Money transfers may be inbound or outbound
- Other reasons for rejected money transfers are invalid destination identification, invalid, closed or unopened account number, generalised deposit account, domestic account, no account number, out of range account number, pay on application and ID message, urgent agent bank money transfer messages.
- Original documentation is annotated according to reason for rejection, action to rectify the matter.

Embedded Knowledge

- all relevant banking policies and procedures.
- workflow.
- operating and computer systems to locate the necessary information and complete the task.

- operational risk.
- relevant security precautions.

Legal Requirements

All procedures must meet recognised codes of practice as well as obligations required under current legislation within South Africa and within the normal parameters of the defined job/task.

Terminology

I D - legal identity document

Title: Investigate banking-related claims on behalf of the branch.

Unit Standard Number:

Level: 3

Credits: 8

Field: Business, Commerce and Management Studies
Sub-field: Finance, Economics and Accounting

Issue Date:

Review Date:

Purpose:

This Unit Standard is for those people who have the responsibility of investigating branch related claims.

Persons credited with this unit standard will be able to:

- record and investigate potential claims
- report the potential loss to the relevant authorities
- deal with the approval or declining of the claim.

Learning Assumed to be in Place:

It is assumed that learners accessing this Unit Standard are competent in:

- Communications at NQF Level 2
- Mathematical Literacy at NQF Level 2.

Specific Outcomes and Assessment Criteria:

Specific Outcome No. 1 Record and investigate the potential claim

Assessment Criteria

- 1.1 The claim is recorded as required by the bank.
- 1.2 The details of the transactions leading to the claim are investigated as required by the bank.
- 1.3 All necessary information is obtained as required by the bank.
- 1.4 The customer is advised according to the bank's policy to report the incident to the police and to take the necessary steps to minimise the loss.

Specific Outcome No. 2 Report the potential loss to the relevant authorities

Assessment Criteria

- 2.1 A decision is taken according to the bank's policy about the liability for the potential loss.
- 2.2 The appropriate authorities to be notified are identified in line with the bank's guidelines.
- 2.3 A recommendation is made about whether the customer should be refunded, based on the information collected.

- 2.4 The recommendation and documentation are submitted to the relevant authorities as required by the bank.

Specific Outcome No. 3 Process the approval/decline of the claim

Assessment Criteria

- 3.1 The relevant approval/decline documentation is obtained according to the bank's procedures.
- 3.2 The customer is advised of the decision taken according to the Code of Banking Practice.
- 3.3 The customer is refunded according to the bank's procedures.
- 3.4 Entries are prepared and processed according to the bank's procedures.
- 3.5 Details of the claim and investigation are recorded according to bank's procedures.

Accreditation Process (Including Moderation):

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Notes

1. Critical Cross-Field Outcomes

The learner demonstrates the ability to:

- collect, organise and critically evaluate information when a recommendation is made about whether the customer should be refunded, based on the information collected.
- communicate effectively using visual, mathematical and language skills in the modes of oral and written presentations when details of the claim and investigation are recorded according to bank's procedures.
- contribute to the full personal development of each learner and the social and economic development of society at large, by making it the underlying intention of any programme of learning to make an individual aware of the importance of:
 - reflecting on exploring a variety of strategies to learn more effectively;
 - participating as responsible citizens in the life of local, national and global communities;
 - being culturally and aesthetically sensitive across a range of social contexts;
 - exploring education and career opportunities; and
 - developing entrepreneurial opportunities. When the customer is advised according to the bank's policy to report the incident to the police and to take the necessary steps to minimise the loss.

2. Range Statement

- Banking related claims include unauthorised debits, disputes over charges, claims relating to interest or ATMs, instructions not actioned, processing errors.
- Necessary information is copy of original cheques, copy of statement, copy of customer's affidavit, customer account details, ATM reports, ATM videos, retrieval and printing of electronic images, operator detail, tally totals, clearing envelope, amounts and dates of credits or customer detail, EBT and ACB details.

3. Embedded Knowledge

- relevant banking policies and procedures.
- workflow.
- operating and computer systems to locate the necessary information and complete the task.
- operational risk.
- relevant security precautions.
- stationery required by the Code of Banking Practice

4. Legal Requirements

All procedures must meet recognised codes of practice as well as obligations required under current legislation within South Africa and within the normal parameters of the defined job/task.

5. Terminology

- ATM = Automated Teller Machine.

Title: Operate sort machinery within the banking environment.

Unit Standard Number:

Level: 3

Credits: 3

Field: Business, Commerce and Management Studies
Sub-field: Finance, Economics and Accounting

Issue Date:

Review Date:

Purpose:

This Unit Standard is intended for people who have the responsibility of running the sort machinery in a bank.

Persons credited with this Unit Standard will be able to:

- prepare documents prior to the machine sort
- prepare and maintain the machine
- oversee the run
- report procedures effectively.

Learning Assumed to be in Place:

It is assumed that learners accessing this Unit Standard are competent in:

- Communications at NQF Level 2
- Mathematical Literacy at NQF Level 2.

Specific Outcomes and Assessment Criteria:

Specific Outcome No. 1 Prepare documents prior to machine sort

Assessment Criteria

- 1.1 Cheques are assembled and jogged as required by the selected sort applications
- 1.2 Documents are inspected for the acceptable size and condition as required by the bank.
- 1.3 Rubber bands, staples and paper clips are removed from cheques before loading them into the hopper.

Specific Outcome No. 2 Prepare and maintain the machine

Assessment Criteria

- 2.1 The correct numbering of the document trays for processing and storage is ensured as required by the bank.
- 2.2 The print quality is checked according to standard operating procedures
- 2.3 The microfilm cartridges are loaded and unloaded before and after processing according to standard operating procedures.
- 2.4 The equipment is kept clean according to standard operating requirements.

- 2.5 The correct downloader programme is downloaded on the allocated sorter prior to processing according to standard operating procedures.

Specific Outcome No. 3**Oversee the run****Assessment Criteria**

- 3.1 All documents are processed in good time as required by the bank.
- 3.2 Immediate attention is given to machine interventions such as jams, missorts or feeder problems as required by standard operating requirements.
- 3.3 Any error display is recorded before restarting the sort operation according to standard operating procedures.

Specific Outcome No. 4**Report procedures effectively****Assessment Criteria**

- 4.1 Unusual conditions are reported to the appropriate authority as per the bank's procedure
- 4.2 The person in charge is supplied with volume statistics in terms of documents sorted as well as rejected items according to the bank's procedures.

Accreditation Process (Including Moderation):

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Notes:**1. Critical Cross-Field Outcomes**

The learner demonstrates the ability:

- to organise and manage oneself and one's activities responsibly and effectively when the correct numbering of the document trays for processing and storage is ensured as required by the bank.
- to demonstrate an understanding of the world as a set of related systems when all documents are processed in good time as required by the bank.

2. Embedded Knowledge

- all relevant banking policies and procedures.
- workflow.
- operating and computer systems to locate the necessary information and complete the task.
- operational risk.
- relevant security precautions.

3. Legal Requirements

All procedures must meet recognised codes of practice as well as obligations required under current legislation within South Africa and within the normal parameters of the defined job/task.

Title: Process banking transaction record reports.

Unit Standard Number:

Level: 3

Credits: 6

Field: Business, Commerce and Management Studies
Sub-field: Finance, Economics and Accounting

Issue Date:

Review Date:

Purpose:

This Unit Standard is for people who have to process banking transaction record reports.

Persons credited with this Unit Standard will be able to:

- identify the items that need to be checked
- scrutinise the accuracy of capturing
- and resolve any discrepancies.

Learning Assumed to be in place:

It is assumed that learners accessing this Unit Standard are competent in Communications and Mathematical Literacy at NQF Level 2.

Specific Outcomes and Assessment Criteria:

Specific Outcome No. 1 Identify items that need to be checked.

Assessment Criteria

- 1.1 Transactions appearing on the transaction record report and needing to be checked, are identified according to the bank's guidelines.
- 1.2 The presence of all necessary vouchers is checked according to the bank's procedures.
- 1.3 Vouchers are sorted in accordance with the bank's procedures.

Specific Outcome No. 2 Scrutinise the accuracy of capturing.

Assessment Criteria

- 2.1 The selected vouchers are ticked off as required by the bank's procedures.
- 2.2 Discrepancies are identified and the errors are annotated as required by the bank.
- 2.3 System generated entries are validated in accordance with the bank's procedures.

Specific Outcome No. 3**Resolve discrepancies****Assessment Criteria**

- 3.1 Discrepancies are investigated according to the bank's procedures.
- 3.2 Corrective measures are determined according to the discrepancy identified and as required by the bank.
- 3.3 Reports with corrective instructions are annotated as required by the bank.
- 3.4 The transaction record report and vouchers are returned to the relevant department as required by the bank's procedures
- 3.5 The corrective action taken is checked for compliance with the bank's requirements.

Specific Outcome No. 4**Sign off the report****Assessment Criteria**

- 4.1 The presence of the vouchers is recorded as required by the bank.
- 4.2 All necessary documentation is attached as required by the bank.
- 4.3 The report and vouchers are passed on for further scrutiny in accordance with the bank's procedures.

Accreditation Process (Including Moderation):

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Notes:**1. Critical Cross-Field Outcomes**

The learner demonstrates the ability:

- to identify and solve problems in which responses display that responsible decisions using critical and creative thinking have been made when discrepancies are identified and the errors are annotated as required by the bank.
- to work effectively with others as a member of a team, group, organisation and community when the transaction record report and vouchers are returned to the relevant department as required by the bank's procedures.
- to collect, organise and critically evaluate information when corrective measures are determined according to the discrepancy identified and as required by the bank.
- to use science and technology effectively and critically (showing responsibility towards the environment and health of others) when system generated entries are validated in accordance with the bank's procedures.

- to demonstrate an understanding of the world as a set of related systems when the report and vouchers are passed on for further scrutiny in accordance with the bank's procedures

2. Range Statement

- Transactions appearing on the transaction record are amounts of transactions, transactions to certain accounts.
- Vouchers are sorted in accordance with amounts, date, debits and credits.
- The selected vouchers are ticked off by account number, name, account, serial numbers, VAT codes, special capturing references, number of vouchers.

3. Embedded Knowledge

- all relevant banking policies and procedures.
- workflow.
- operating and computer systems to locate the necessary information and complete the task.
- operational risk.
- relevant security precautions.

4. Legal Requirements

All procedures must meet recognised codes of practice as well as obligations required under current legislation within South Africa and within the normal parameters of the defined job/task.

Title: Process rejected and missing banking-related items.

Unit Standard Number:

Level: 3

Credits: 2

Field: Business, Commerce and Management Studies
Sub-field: Finance, Economics and Accounting

Issue Date:

Review Date:

Purpose:

This Unit Standard is for persons who provide back office support for the effective provision of services by a bank.

Persons credited with this unit standard will be able to:

- receive and sort rejected and missing items as per the reports received
- handle queries.

Learning Assumed to be in place:

It is assumed that learners accessing this Unit Standard will be competent in Communication at NQF Level 2.

Specific Outcomes and Assessment Criteria:

Specific Outcome No. 1 Receive and sort rejected and missing items

Assessment Criteria

- 1.1 ACB and the prime run reports and processed items are received and sorted in the manner required by the bank.
- 1.2 The appropriate reports and intercession cheques are executed as required by the bank.
- 1.3 Items are forwarded to the appropriate parties as required by the bank.
- 1.4 Incidents are raised as per the bank's procedures.

Specific Outcome No. 2 Attend to queries

Assessment Criteria

- 2.1 The nature of the query received is identified according to the bank's procedures.

- 2.2 The query is attended to as required by the nature of the query and the bank's procedures.
- 2.3 All queries are handled timeously and in a manner that promotes customer service.
- 2.4 Administrative tasks relating to the query are completed according to the bank's procedures.
- 2.5 Unresolved queries are escalated to the appropriate authority as required by the bank's policy.

Accreditation Process (Including Moderation):

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Notes:

1. Critical Cross-Field Outcomes

The learner demonstrates the ability:

- to organise and manage oneself and one's activities responsibly and effectively when incidents are raised as per the bank's procedures.
- to collect, organise and critically evaluate information when ACB and the prime run reports and processed items are received and sorted in the manner required by the bank.
- to communicate effectively using visual, mathematical and language skills in the modes of oral and written presentations when all queries are handled timeously and in a manner that promotes customer service.

2. Range Statement

- Rejected or missing items include local clearances, codeline clearing rejections of own cheques, unpaid cheques, unpaid ACB debit order documents, carrier envelopes, MICR and non-MICR items.
- Items are forwarded to the appropriate parties: own bank, own branches, agent banks.
- Administrative tasks relating to the query are report, notify, record details of query.

3. Embedded Knowledge

- all relevant banking policies and procedures.

- workflow.
- operating and computer systems to locate the necessary information and complete the task.
- operational risk.
- ACB procedures
- relevant security precautions.

4. Legal Requirements

- All procedures must meet recognised codes of practice as well as obligations required under current legislation within South Africa and within the normal parameters of the defined job/task.

5. Terminology

- ACB - Automated Clearing Bureau Magnetic Tape Service
- MICR - Magnetic Ink Character Recognition

Title: Produce copies of bank statements on the customer's behalf.

Unit Standard Number:

Level: 3

Credits: 1

Field: Business, Commerce and Management Studies

Sub-field: Finance, Economics and Accounting

Issue Date:

Review Date:

Purpose:

This Unit Standard is for people providing back office support in a Banking environment.

Learners credited with this Unit Standard will be able to:

- Verify the details of the request for a bank statement
- Produce the statement
- Record the action taken.

Learning Assumed to be in place:

It is assumed that learners accessing this Unit Standard are competent in Communication at NQF Level 2.

Specific Outcomes and Assessment Criteria:

Specific Outcome No. 1 Verify the details of the request for a bank statement.

Assessment Criteria

- 1.1 The request is recorded as required by the bank.
- 1.2 The details of the statements required are checked according to the bank's guidelines.
- 1.3 Confidentiality is upheld according to the Code of Banking Practice.

Specific Outcome No. 2 Produce the statement.

Assessment Criteria

- 2.1 The relevant system is accessed in the appropriate way.
- 2.2 The customer's data is entered/accessed as required by the system.
- 2.3 The statement data is located and a hard copy is obtained according to the bank's procedures.
- 2.4 The statement and a copy of the request are forwarded to the relevant branch according to the bank's procedures.

Specific Outcome No. 3 Record the action taken.**Assessment Criteria**

- 3.1 The action taken is recorded in the manner required by the bank.
- 3.2 Charges are recovered as per stipulated procedures.

Accreditation Process (Including Moderation):

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Notes:**1. Critical Cross-Field Outcomes**

The learner demonstrates the ability:

- to work effectively with others as a member of a team, group, organisation and community when the statement and a copy of the request are forwarded to the relevant branch according to the bank's procedures.
- to organise and manage oneself and one's activities responsibly and effectively when the details of the statements required are checked according to the bank's guidelines.
- to collect, organise and critically evaluate information when the action taken is recorded in the manner required by the bank.
- to use science and technology effectively and critically (showing responsibility towards the environment and health of others) when the relevant system is accessed in the appropriate way.
- contribute to the full personal development of each learner and the social and economic development of society at large, by making it the underlying intention of any programme of learning to make an individual aware of the importance of:
 - reflecting on exploring a variety of strategies to learn more effectively;
 - participating as responsible citizens in the life of local, national and global communities;
 - being culturally and aesthetically sensitive across a range of social contexts;
 - exploring education and career opportunities; and developing entrepreneurial opportunities.
- when confidentiality is upheld according to the Code of Banking Practice.

2. Range Statement

- Bank statements include daily, weekly and monthly statements, back statements, copy statements.
- The customer's date is entered/accessed by account number,

3. Embedded Knowledge

- all relevant banking policies and procedures.
- workflow.
- operating and computer systems knowledge to locate the necessary information and complete the task.
- operational risk.
- relevant security precautions.

4. Legal Requirements

- All procedures must meet recognised codes of practice as well as obligations required under current legislation within South Africa and within the normal parameters of the defined job/task.

Title: Scrutinise vouchers for banking-related technical irregularities within the banking environment.

Unit Standard Number:

Level: 3

Credits: 2

Field: Business, Commerce and Management Studies

Sub-field: Finance, Economics and Accounting

Issue Date:

Review Date:

Purpose:

This Unit Standard is for persons who work in processing centres in a banking environment.

Persons credited with this Unit Standard will be able to:

- examine vouchers or copies of vouchers
- process vouchers and reports
- check for irregularities
- deal with technical irregularities.

Learning Assumed to be in place:

It is assumed that learners accessing this Unit Standard are competent in Communication at NQF Level 2.

Specific Outcomes and Assessment Criteria:

Specific Outcome No. 1 Examine vouchers or copies of vouchers

Assessment Criteria

- 1.1 The vouchers to be scrutinised are obtained and prepared for scrutiny as required by the bank's procedures.
- 1.2 All vouchers are examined for completeness as required by the bank.
- 1.3 The appropriate procedure is applied in relation to the value of the voucher and as required by the bank.
- 1.4 Appropriate measures are carried out to ensure that the vouchers comply with the terms of the Bills of Exchange Act.
- 1.5 The vouchers are annotated and initialed as per the bank's procedures.

Specific Outcome No. 2 Process the vouchers and reports

Assessment Criteria

- 2.1 Vouchers that require further processing are sent to the relevant departments as required by the bank.
- 2.2 Vouchers are passed on for inclusion in statements or are filed according to the bank's procedures.
- 2.3 Copies of vouchers and reports are passed on to the relevant departments or filed as required by stipulated procedures.
- 2.4 The required procedures are followed to return incorrectly drawn vouchers.

Specific Outcome No. 3 Check for irregularities**Assessment Criteria**

- 3.1 The dates on vouchers are checked for compliance with the bank's requirements.
- 3.2 The amount on the voucher is scrutinised to make sure that it is clearly and correctly stated.
- 3.3 Crossings and endorsements are checked for compliance with the Bills of Exchange Act.
- 3.4 The signature on the voucher is verified according to the bank's guidelines.
- 3.5 Beneficiary details are checked for possible irregularities as stipulated in the bank's guidelines.
- 3.6 Cheques are scrutinised for unauthorised amendments as required by the bank.
- 3.7 Cheques drawn on specific accounts are scrutinised for fraud as required by the bank.
- 3.8 The relevant branches are notified of any irregularities as required by the bank.
- 3.9 Queries are attended to timeously and in a manner that promotes customer service

Specific Outcome No. 4 Deal with irregularities**Assessment Criteria**

- 4.1 Queries are investigated and resolved before the daily cut off time and in the manner required by the bank.
- 4.2 All unresolved queries are referred to the supervisor/manager according to the bank's procedures.
- 4.3. All irregularities are dealt with according to the bank's procedures

Accreditation Process (Including Moderation):

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Special Notes**1. Critical Cross-Field Outcomes**

The learner demonstrates the ability:

- to identify and solve problems in which responses display that responsible decisions using critical and creative thinking have been made when all vouchers are examined for completeness as required by the bank.
- to work effectively with others as a member of a team, group, organisation and community when all unresolved queries are referred to the supervisor/ manager according to the bank's procedures.
- to organise and manage oneself and one's activities responsibly and effectively when the vouchers to be scrutinised are obtained and prepared for scrutiny as required by the bank's procedures.
- to collect, organise and critically evaluate information when the vouchers' compliance with the terms of the Bills of Exchange Act is ensured.

2. Range statement

- Vouchers include cheques, MICR customer vouchers
- Voucher compliance with Bills of Exchange includes correct preparation, date stamp, authentication and validity.
- Voucher annotations include cancel signature, answer appropriately on irregular cheque.
- Vouchers requiring further processing include stop payments, special clearance, Forex requirements.
- Unauthorised amendments include beneficiary details, amounts

3. Embedded Knowledge

- all relevant banking policies and procedures.
- workflow.
- operating and computer systems knowledge to locate the necessary information and complete the task.
- operational risk.
- relevant security precautions.

4. Legal Requirements

All procedures must meet recognised codes of practice as well as obligations required under current legislation within South Africa and within the normal parameters of the defined job/task.

5. Terminology

MICR - Magnetic Ink Character Recognition

Title: Sort and image cheques and vouchers in a banking environment.

Unit Standard Number:

Level: 3

Credits: 3

Field: Business, Commerce and Management Studies
Sub-field: Finance, Economics and Accounting

Issue Date:

Review Date:

Purpose:

This Unit Standard is for persons providing Back office support in a Banking environment.

Persons credited with this Unit Standard will be able to:

- prepare the cheques and vouchers for automatic sorting and imaging
- operate the machine
- dispatch the cheques and vouchers.

Learning Assumed to be in place:

It is assumed that people accessing this Unit Standard are competent in Communication at NQF Level 2.

Specific Outcomes and Assessment Criteria;

Specific Outcome No. 1 Prepare the cheques and vouchers.

Assessment Criteria

- 1.1 The cheques and differential vouchers are placed in the jogger according to standard operating procedures.
- 1.2 The cheques and vouchers are jogged according to the machine operating procedures to ensure that they do not stick together.
- 1.3 The cheques and vouchers are placed in the start section of the machine according to the machine operating procedures.

Specific Outcome No. 2 Operate the machine.

Assessment Criteria

- 2.1 The machine is started according to standard operating procedures.
- 2.2 All rejected cheques are removed from the machine at the end of the run according to standard operating procedures.

Specific Outcome No. 3**Dispatch the cheques and vouchers.****Assessment Criteria**

- 3.1 The rejected cheques are ticked off against the report according to the bank's procedures.
- 3.2 The cheques are sorted into the correct dispatch boxes as required by the bank.
- 3.3 The dispatch boxes are forwarded to the appropriate departments according to the bank's procedures.

Accreditation Process (Including Moderation):

1. Anyone assessing a learner against this Unit Standard must be registered as an assessor with the relevant ETQA, or with an ETQA that has a Memorandum of Understanding with the relevant ETQA
2. Any institution offering learning that will enable achievement of this Unit Standard or assessing this Unit Standard must be accredited as a provider with the relevant ETQA, or with an ETQA that has a Memorandum of Understanding with the relevant ETQA.
3. Moderation of assessment will be overseen by the relevant ETQA according to the moderation guidelines in the relevant qualification and the agreed ETQA procedures.

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Notes:**1. Critical Cross-Field Outcomes**

The learner demonstrates the ability:

- to work effectively with others as a member of a team, group, organisation and community when the dispatch boxes are forwarded to the appropriate departments according to the bank's procedures.
- to organise and manage oneself and one's activities responsibly and effectively when the cheques and vouchers are jogged according to the machine operating procedures to ensure that they do not stick together.
- to communicate effectively using visual, mathematical and language skills in the modes of oral and written presentations when the rejected cheques are ticked off against the report according to the bank's procedures.

2. Embedded Knowledge

- How the machine works
- The implications of crossing hands when taking the cheques out of the machine

3. Legal Requirements

- All procedures must meet recognised codes of practice as well as obligations required under current legislation within South Africa and within the normal parameters of the defined job/task.

Title: Trace banking-related entries on behalf of other parties.

Unit Standard Number:

Level: 3

Credits: 4

Field: Business, Commerce and Management Studies
Sub-field: Finance, Economics and Accounting

Issue Date:

Review Date:

Purpose:

This Unit Standard is for people supplying back office support in a Banking environment.

Persons credited with this Unit Standard will be able to

- verify the details of an entry
- trace the entry
- provide the other party with the relevant details.

Learning Assumed to be in place:

It is assumed that learners accessing this Unit Standard are competent in Communication at NQF Level 2.

Specific Outcomes and assessment Criteria:

Specific Outcome No. 1 **Verify the details of the query**

Assessment Criteria

- 1.1 The query is recorded in line with the bank's procedures.
- 1.2 The full details of the query are obtained as required by the bank.
- 1.3 Confidentiality is ensured according to the Code of Banking Practice.

Specific Outcome No. 2 **Trace the entry.**

Assessment Criteria

- 2.1 The entry processing documentation is obtained as required by the bank.
 - 2.2 The processing details are checked against the documentation or electronic images of the documentation according to the bank's procedures.
 - 2.3 A copy of the documentation that provides the details of the queried transaction is obtained as required by the bank.
- 7

Specific Outcome No. 3

Provide the details of the queried transaction to the other party.

Assessment Criteria

- 3.1 The relevant query reply documentation is completed as required by the bank.
- 3.2 Copies of the transaction documentation are attached to the query documentation.
- 3.3 The relevant information is forwarded to the party initiating the query in line with the bank's procedures.
- 3.4 The query is signed off as required by the bank's procedures.

Accreditation Process (Including Moderation):

1. Anyone assessing a learner against this Unit Standard must be registered as an assessor with the relevant ETQA, or with an ETQA that has a Memorandum of Understanding with the relevant ETQA
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Notes:**1. Critical Cross - Field Outcomes;**

The learner demonstrates the ability:

- to work effectively with others as a member of a team, group, organisation and community when the relevant information is forwarded to the party initiating the query in line with the bank's procedures.
- to organise and manage oneself and one's activities responsibly and effectively when the query is signed off as required by the bank's procedures.
- to collect, organise and critically evaluate information when the full details of the query are obtained as required by the bank.

2. Range Statement

- Other parties include branches, agent banks, other departments.
- The entry processing documentation is obtained from reports, transaction vouchers, original credits or debits, summary vouchers.
- The processing details are checked against operator detail, tally totals, clearing envelope, amounts and dates of credits or debits, customer detail, IBT detail, ACB detail.

2. Embedded Knowledge

- all relevant banking policies and procedures.
- workflow.

- operating and computer systems knowledge to locate the necessary information and complete the task.
- operational risk.
- relevant security precautions.
- knowledge of ACB procedures

4. Legal Requirements

- All procedures must meet recognised codes of practice as well as obligations required under current legislation within South Africa and within the normal parameters of the defined job/task.

5. Terminology

- IBT - Inter-branch Transaction
- ACB - Automated Clearing Bureau Magnetic Tape Service

Title: Transfer and Close Bank Accounts

Unit Standard Number:

Level: 3

Credits: 5

Field: Business, Commerce and Management Studies
Sub-field: Finance, Economics and Accounting

Issue Date:

Review Date:

Purpose:

This Unit Standard is intended for persons who transfer and close accounts.

A person credited with this Unit Standard will be able to:

- receive the instruction
- transfer an account
- close an account.

Learning Assumed to be in place:

It is assumed that learners accessing this Unit standard are competent in Communication at NQF Level 3.

Specific Outcomes and Assessment Criteria:

Specific Outcome No. 1 Receive the instruction

Assessment Criteria

1.1 The instruction to transfer or close the account is authenticated in accordance with business specific requirements.

Range: Identification, signature verification, mail, face-to-face

1.2 The reason why the account is being transferred or closed is established and recorded in accordance with business specific requirements

1.3 All information relating to the customer is collated to establish the full extent of the customers relationship with the Bank.

Range: Other accounts held, relationship with other customers, liabilities with the bank and the account balance.

Specific Outcome No. 2 Transfer the account

Assessment Criteria

2.1 Authorisation to transfer the account is requested in accordance with business specific requirements.

2.2 The customer is advised to inform all debit order companies of the change in account details.

2.3 The account is transferred on receipt of authorisation from the relevant branch

2.4 The records are updated in accordance with business specific requirements

- 2.5 All the customer's document records are sent to the new branch in accordance with business specific requirements Range: Signature cards, mandates, stop order instructions, stop payment details, items lodged in securities and safe custody

Specific Outcome No. 3 Close the account

Assessment Criteria

- 3.1 The necessary entries are prepared or generated in accordance with business specific requirements.
- 3.2 The account is closed in accordance with business specific requirements
- 3.3 The records are updated in accordance with customer instruction and business specific requirements
- 3.4 Documents are destroyed or made obsolete in accordance with business specific requirements
- 3.5 The payout of the credit balance or deposit to the account is effected in terms of the customers instruction and business specific requirements.
- 3.6 All affected departments and divisions are notified of the closure of the account in accordance with business specific requirements.

Accreditation Process (Including Moderation):

1. Anyone assessing a learner against this Unit Standard must be registered as an assessor with the relevant ETQA, or with an ETQA that has a Memorandum of Understanding with the relevant ETQA
2. Any institution offering learning that will enable achievement of this Unit Standard or assessing this Unit Standard must be accredited as a provider with the relevant ETQA, or with an ETQA that has a Memorandum of Understanding with the relevant ETQA.
3. Moderation of assessment will be overseen by the relevant ETQA according to the moderation guidelines in the relevant qualification and the agreed ETQA procedures.

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Notes

1 Critical Cross Field Outcomes

The learner demonstrates the ability

- to collect and evaluate information critically when collating all information relating to the customer to establish the full extent of the customer's relationship with the bank.
- to communicate effectively when advising the customer to inform all the debit order companies of the change in account details.
- to use technology effectively when transferring or closing the account on the computer system

2. Range Statement

- Documents are destroyed or made obsolete in accordance with signature cards, cheque books, mandates files and customer files.

3. Embedded Knowledge

- product knowledge - (particular account type being transferred or closed)
- understand the balancing of debit and credits - mandates

Title: Process unpaid, late unpaid and rejected cheques in a banking environment.

Range: Change/closure of account, stop payments, insufficient funds, technical regulations.

Unit Standard Number:

Level: 3

Credits: 4

Field: Business, Commerce and Management Studies
Sub-field: Finance, Economics and Accounting

Issue Date:

Review Date:

Purpose:

This Unit Standard is for persons supplying back office support services in a Banking environment

Persons credited with this Unit Standard will be able to:

- identify unpaid and rejected cheques on a report
- process late unpaid cheques
- follow-up on unpaid, late unpaid and rejected cheques.

Learning Assumed to be in place:

It is assumed that learners accessing this Unit Standard are competent in Communication at NQF Level 2.

Specific Outcomes and Assessment Criteria:

Specific Outcome No. 1 Identify unpaid and rejected cheques on a report.

Assessment Criteria

- 1.1 The status message on the report is checked, as required by the bank, for the reason for unpaid and reject cheques.
- 1.2 All cheques are sorted according to the status message as required by the bank.

Specific Outcome No. 2 Process late unpaid cheques.

Assessment Criteria

- 2.1 The cheque is collected from the bulk file department according to the bank's procedures.
- 2.2 The cheque is processed as required by the bank's procedures.
- 2.3 Relevant data is captured according to the bank's procedures.
- 2.4 The branch is notified, according to the bank's procedures, of the reason why the cheque was unpaid or rejected.

Specific Outcome No. 3**Follow-up on unpaid, late unpaid and rejected cheques.****Assessment Criteria**

- 3.1 Details of unpaid/reject cheques are confirmed with the relevant branches as required by the bank's procedures.
- 3.2 The daily report is completed as required by the bank.
- 3.3 Unpaid/reject cheques are submitted to the relevant department for processing according to the bank's procedures.

Accreditation Process (Including Moderation):

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Notes:**1. Critical Cross-Field Outcomes**

The learner demonstrates the ability:

- to work effectively with others as a member of a team, group, organisation and community when the cheque is collected from the bulk file department according to the bank's procedures.
- to organise and manage oneself and one's activities responsibly and effectively when the daily report is completed as required by the bank.
- to collect, organise and critically evaluate information when all cheques are sorted according to the status message as required by the bank.
- to communicate effectively using visual, mathematical and language skills in the modes of oral and written presentations when relevant data is captured according to the bank's procedures.

2. Embedded Knowledge

- an understanding of all relevant banking policies and procedures.
- an understanding of the workflow.
- operating and computer systems knowledge sufficient to locate the necessary information and complete the task.
- an understanding of operational risk.
- relevant security precautions.

3. Legal Requirements

- All procedures must meet recognised codes of practice as well as obligations required under current legislation within South Africa and within the normal parameters of the defined job/task.

Title: Conduct an analysis of a personal banking customer's financial position.

Unit Standard Number:

Level: 4

Credits: 8

Field: Business, Commerce and Management Studies
Sub-field: Finance, Economics and Accounting

Issue Date:

Review Date:

Purpose:

This Unit Standard is intended for persons who sell products for which credit decisions need to be made.

Persons credited with this Unit Standard will be able to:

- analyse a customer's financial history and balance sheet
- establish the creditworthiness of the customer
- create an overall financial profile for the customer
- submit a motivation for credit approval.

Learning Assumed to be in Place:

It is assumed that learners accessing this Unit Standard are competent in:

- Communications at NQF Level 3
- Mathematical Literacy at NQF Level 3
- The Unit Standard entitled, "**Establish the financial situation of the customer**"

Specific Outcome Assessment Criteria:

Specific Outcome No. 1 Analyse the customer's financial history

Assessment Criteria

- 1.1 The source(s), amount, regularity and stability of the customer's income is determined according to the bank's guidelines.
- 1.2 The full range of the customer's income is verified in line with banking requirements.
- 1.3 The customer's fixed and variable expenditures are listed, specifying the types, and amounts of expenditure.
- 1.4 The income and expenditure are compared in order to establish the customer's ability to repay.
- 1.5 The income and expenditure are verified against liabilities listed on the balance sheet.

Specific Outcome No. 2**Analyse the balance sheet.****Assessment Criteria**

- 2.1 All the assets owned by the customer are listed as required by the bank's policy.
- 2.2 The ownership of the assets is verified by completing standard checks as per the bank's policy.
- 2.3 The assets are assessed and value attributed as stipulated by the bank's procedures.
- 2.4 The customer's liabilities are determined by means of a credit check and a comparison to the expenditure statement.
- 2.5 Assets and liabilities are compared to calculate current solvency in line with the bank's policy.

Specific Outcome No. 3**Establish the creditworthiness of the customer.****Assessment Criteria**

- 3.1 The contractual capacity of the customer is determined in line with the bank's policy.
- 3.2 The banking history of the customer is determined according to the bank's procedures.
- 3.3 The customer's credit standing is established by ensuring that the required credit checks are available.
- 3.4 The customer's ability to repay is assessed using the information collected according to the bank's procedures.

Specific Outcome No. 4**Create an overall financial profile for the customer.****Assessment Criteria**

- 4.1 Relevant documentation is obtained from the customer according to the bank's requirements.
- 4.2 The available financial information is summarised in the format required by the bank.
- 4.3 The information is reviewed and verified for accuracy in discussion with the customer.

Specific Outcome No. 5**Submit the motivation for credit approval.****Assessment Criteria**

- 5.1 A report is completed motivating the approval/ decline of the required credit as per the bank's requirements
- 5.2 The report is submitted to the relevant credit authority.

Accreditation Process (Including Moderation):

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Notes:**1. Critical Cross - Field Outcomes**

The learner demonstrates the ability to:

- work effectively with others as a member of a team, group, organisation and community when the report is submitted to the relevant credit authority.
- organise and manage oneself and one's activities responsibly and effectively when A report is completed motivating the approval/ decline of the required credit as per the bank's requirements.
- collect, organise and critically evaluate information when the available financial information is summarised in the format required by the bank.
- communicate effectively using visual, mathematical and language skills in the modes of oral and written presentations when in discussion with the customer, the information is reviewed and verified for accuracy.
- use science and technology effectively and critically (showing responsibility towards the environment and health of others) when the customers liabilities are determined by means of a credit check and a comparison to the expenditure statement.
- demonstrate an understanding of the world as a set of related systems when using the information collected, the customer's ability to repay is assessed according to the bank's procedures.

2. Range:

- Customer's income includes salary, allowances, benefits, rental, dividends, investments, other income (specified).
- Ownership of assets is proven by salary slip, auditor's certificate, other income, dividend certificates, bank statements, audited balance sheets, management accounts
- Relevant documentation relating to cash, assurance policies, household goods, residential properties, vehicles, stocks and shares, items of intrinsic value, agricultural property, commercial property, loan accounts, debtors, intangibles.

3. Embedded Knowledge

- all relevant banking policies and procedures
- basic elements of credit risk and basic principles of sound lending
- relevant banking products
- analysis of financial statements
- application of financial analysis skills to evaluate an individual's financial standing
- report writing
- operation of computer systems to obtain the necessary information and complete the task

4. Legal Requirements:

All procedures must meet recognised codes of practice as well as obligations required under current legislation within South Africa and within the normal parameters of the defined job/task.

Title: Monitor cash centre reports and accounts in a banking environment.

Unit Standard Number:

Level: 4

Credits: 5

Field: Business, Commerce and Management Studies

Sub-field: Finance, Economics and Accounting

Issue Date:

Review Date:

Purpose:

This Unit Standard is for people who have to monitor cash center reports and accounts in the banking sector.

Persons credited with this unit standard will be able to:

- scrutinise reports for irregularities, discrepancies and errors
- reconcile and balance accounts
- handle queries.

Learning Assumed to be in Place:

Learners accessing this Unit standard should be competent in Communications and Mathematical Literacy at NQ Level 3.

Specific Outcomes and Assessment Criteria:

Specific Outcome No. 1 Scrutinise reports for irregularities, discrepancies and errors.

Assessment Criteria

- 1.1 The reports to be scrutinised are obtained as per the bank's procedures.
- 1.2 Reports are checked for irregularities, discrepancies and errors as required by the bank.
- 1.3 Irregularities, discrepancies and errors are recorded as required by the bank's procedures.
- 1.4 The accounts affected by irregularities, discrepancies and errors are noted according to the required procedures.
- 1.5 Where necessary, an audit or investigation is initiated according to the bank's procedures.

Specific Outcome No. 2 Reconcile and balance accounts.

Assessment Criteria

- 2.1 Steps are taken as required by the bank to ensure that accounts balance daily.
- 2.2 A check is done for irregularities, discrepancies and errors according to standard procedures.

- 2.3 The accounts affected by such irregularities, discrepancies and errors are noted according to the bank's procedures.
- 2.4 Irregularities and discrepancies are escalated to the relevant authorities in the manner required by the bank.

Specific Outcome No. 3 Attend to queries

Assessment Criteria

- 3.1 The nature of the query received is identified as required by the bank.
- 3.2 The query is attended to as required by the nature of the query and the bank's policy.
- 3.3 The query is handled timeously and in a manner that promotes good customer service.
- 3.4 Administrative tasks relating to the query are completed according to the bank's procedures.

Accreditation Process (Including Moderation):

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Notes:

1. Critical Cross - Field Outcomes

The learner demonstrates the ability to:

- work effectively with others as a member of a team, group, organisation and community when steps are taken as required by the bank to ensure that accounts balance daily.
- organise and manage oneself and one's activities responsibly and effectively when reports are checked for irregularities, discrepancies and errors as required by the bank.
- collect, organise and critically evaluate information when an audit or investigation is initiated according to the bank's procedures where necessary.

2. Range Statement

- Reports to be scrutinised are bills of exchange books, Forex reports, teller reports, treasury register, counterfeit register, insured register, mail register, security register, branch records.
- Steps taken to ensure that accounts balance daily are foreign notes in transit accounts, Forex accounts.

3. Embedded Knowledge

- relevant banking policies and procedures.
- workflow.

- operating and computer system to locate documents
- operational risk.
- relevant security precautions.
- basic knowledge of accounting

4. Legal Requirements

All procedures must meet recognised codes of practice as well as obligations required under current legislation within South Africa and within the normal parameters of the defined job/task.

5. Terminology

- FOREX - foreign exchange

Title: Process customer requests for cheque books, counter cheques and bank cheques

Unit Standard Number:

Level: 4

Credits: 5

Field: Business, Commerce and Management Studies

Sub-field: Finance, Economics and Accounting

Issue Date:

Review Date:

Purpose:

This Unit Standard is intended for persons who process requests for cheque books, counter cheques and bank cheques.

A person credited with this standard should be able to:

- Order and issue customer cheque books
- Issue counter cheques
- Process bank cheque applications.

Learning Assumed to be in Place:

It is assumed that learners accessing this Unit Standard are competent in Communications at NQF Level 4.

Specific Outcomes and Assessment Criteria:

Specific Outcome No. 1 Order and issue customer cheque books

Assessment Criteria

- 1.1 The customer's signature on the requisition for a cheque book is verified against bank records.
- 1.2 The cheque book is ordered in accordance with business specific requirements.
- 1.3 The cheque book is issued in accordance with business specific risk evaluation and procedures.
- 1.4 The cheque books issued are recorded and charges recovered when applicable

Specific Outcome No. 2 Issue counter cheques

Assessment Criteria

- 2.1 The customer's requirements for counter cheques are established and met according to the customer's requirements.
- 2.2 The counter cheques are personalised in accordance with business specific requirements
- 2.3 The counter cheques are issued in accordance with company specific risk evaluation and procedures

Specific Outcome No. 3 Process a request for a bank cheque**Assessment Criteria**

- 3.1 The customer's request for a bank cheque is verified and accepted in accordance with business risk evaluation.
- 3.2 The bank cheque is prepared correctly in accordance with customer and business specific requirements.
- 3.3 The necessary entries are prepared or generated in accordance with business specific requirements.

Accreditation Process (Including Moderation):

1. Anyone assessing a learner against this Unit Standard must be registered as an assessor with the relevant ETQA, or with an ETQA that has a Memorandum of Understanding with the relevant ETQA
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3. Moderation of assessment will be overseen by the relevant ETQA according to the moderation guidelines in the relevant qualification and the agreed ETQA procedures.

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Notes:**1 Critical Cross-Field Outcomes**

The learner demonstrates the ability

- to identify and solve problems when establishing the customer's need for counter cheques and verifying the customer's request for a bank cheque.
- to use technology effectively when using the computer system to personalise counter cheques and when preparing or generating the necessary entries.

2. Range Statement

- The bank cheque is prepared correctly including payee details, amount and account to be debited.
- The necessary entries are prepared or generated in accordance with bank cheque credit, customer debit and commission credit.

3. Embedded Knowledge

- signing arrangements
- company safety and security measures
- balancing of credits and debits.

Title: Process electronic banking-related reports.

Unit Standard Number:

Level: 4

Credits: 6

Field: Business, Commerce and Management Studies
Sub-field: Finance, Economics and Accounting

Issue Date:

Review Date:

Purpose:

This Unit Standard is for people who have to process electronic bank-related reports.

Persons credited with this Unit Standard will be able to:

- prepare reports for reconciliation
- scrutinise the reports
- balance retrospective day entries
- record current day processing amounts
- ensure that suspense accounts have been expunged
- balance suspense accounts for entities passed to other accounting entities.

Learning Assumed to be in Place:

It is assumed that learners accessing this Unit Standard are competent in:

- Communication at NQF Level 3
- Mathematical Literacy at NQF Level 3.

Specific Outcomes and Assessment Criteria:

Specific Outcome No. 1 Prepare reports for reconciliation

Assessment Criteria

- 1.1 The domain of the accounting entity to be reconciled is identified as required by the bank.
- 1.2 Entries are separated as required by the bank's procedures.
- 1.3 The account name for each 'on them' entry is listed in the manner required by the bank.
- 1.4 Reports are obtained from the machines/systems used to capture value entries according to the bank's procedures.

Specific Outcome No. 2 Scrutinise the reports

Assessment Criteria

- 2.1 Reports are checked to ensure that they balance as required by the bank.
- 2.2 Where contra-entries have not been generated, an investigation is initiated according to the bank's procedures.

- 2.3 Batch transmission reports are scrutinised as required by the bank to ensure that all batches were transmitted.
- 2.4 Totals are compared to establish that all entries sorted through another system have been processed.
- 2.5 Exceptions are investigated according to the bank's procedures.

Specific Outcome No. 3 Balance retrospective day entries

Assessment Criteria

- 3.1 System-generated reports are checked to identify whether retro-entries balance.
- 3.2 The size of the discrepancy is ascertained as required by the bank.
- 3.3 For retro-entries with discrepancies, the necessary details are obtained to identify where the discrepancies have occurred.
- 3.4 Discrepancies are corrected as required by the bank's procedures.
- 3.5 Corrected reports and entries are balanced according to the bank's requirements.
- 3.6 The reason for the difference in trail is investigated and the information is forwarded to the relevant department according to the bank's procedures.

Specific Outcome No. 4 Record current day processing amounts

Assessment Criteria

- 4.1 Reports and records showing entries processed under current day are obtained as per the bank's procedures.
- 4.2 The amounts are annotated as per the bank's procedures.
- 4.3 Where processing or batch transmissions were unsuccessful, figures are adjusted in the manner required by the bank.
- 4.4 Uncaptured entries are identified as required by the bank.
- 4.5 Where necessary, arrangements are made for entries to be reprocessed under retro according to the bank's procedures.
- 4.6 Totals for entries to be cleared retrospectively to agent banks are annotated as required by the bank.

Specific Outcome No.5 Ensure that suspense accounts have been expunged

Assessment Criteria

- 5.1 Suspense account reports are scrutinised as required by the bank to ensure that they have nil balances.
- 5.2 Balances, other than nil balances, are investigated as required by the bank's procedures.

Specific Outcome No. 6 Balance suspense accounts for entries passed to other accounting entities

Assessment Criteria

- 6.1 Agent bank entries are scrutinised to ensure that they have been passed according to the bank's procedures.
- 6.2 Entries to other accounting entities within the bank are checked to ensure that suspense entries have been passed.

Accreditation Process (Including Moderation):

1. Anyone assessing a learner against this Unit Standard must be registered as an assessor with the relevant ETQA, or with an ETQA that has a Memorandum of Understanding with the relevant ETQA
2. Any institution offering learning that will enable achievement of this Unit Standard or assessing this Unit Standard must be accredited as a provider with the relevant ETQA, or with an ETQA that has a Memorandum of Understanding with the relevant ETQA.
3. Moderation of assessment will be overseen by the relevant ETQA according to the moderation guidelines in the relevant qualification and the agreed ETQA procedures.

Therefore anyone wishing to be assessed against this Unit Standard may apply to be assessed by any assessment agency, assessor or provider institution, which is accredited by the relevant ETQA, or by an ETQA that has a Memorandum of Understanding with the relevant ETQA.

Notes:**1. Critical Cross - Field Outcomes**

The learner demonstrates the ability:

- to work effectively with others as a member of a team, group, organisation and community when an investigation is initiated according to the bank's procedures where contra-entries have not been generated.
- to organise and manage oneself and one's activities responsibly and effectively when reports and records showing entries processed under current day are obtained as per the bank's procedures.
- to collect, organise and critically evaluate information when agent bank entries are scrutinised to ensure that they have been passed according to the bank's procedures.
- to use science and technology effectively and critically (showing responsibility towards the environment and health of others) when reports are obtained from the machines/ systems used to capture value entries according to the bank's procedures.

2. Range Statement

- The domain of the accounting entity to be reconciled per branch, per cluster of branches, per bank.
- The account name for each 'on them' entry is listed by agent bank settlement accounts, inter-branch accounting, clearance vouchers, electronic settlement accounts where contra-entries are generated to 'on us' accounts depending on the transaction code used, ACB suspense accounts.
- Reports are obtained from the machines/systems by customer-generated entries through home terminals, ATM and Autoplus machines, manual processing machine, staff-captured entries, transmitted batched entries.
- Uncaptured entries are identified by waste reports or manual batch reconciliation sheets.
- Entries to other accounting entities within the bank are checked by IBT's, MTSS auto settlement, bank cheque clearance vouchers.

3. Embedded Knowledge

- all relevant banking policies and procedures.
- workflow.
- operating and computer systems to locate the necessary information and complete the task.
- The difference between 'on us' and 'on them' entries

- basic principles of accounting
- ACB procedures
- operational risk.
- relevant security precautions.

4. Legal Requirements

All procedures must meet recognised codes of practice as well as obligations required under current legislation within South Africa and within the normal parameters of the defined job/task.

UNIT STANDARDS IN ATMs

NLRD NUMBER	TITLE	LEVEL	CREDITS
	Control a suite of ATMs	3	5
	Install an ATM	4	5
	Maintain an ATM	4	4
	Process customer ATM card requests	4	2

Title: Control a suite of ATMs (Automated Teller Machines).

Unit Standard Number:

Level: 3

Credits: 5

Field: Business, Commerce and Management Studies

Sub-field: Finance, Economics and Accounting

Issue Date:

Review Date:

Purpose:

This Unit Standard is intended for all persons who are in control of ATM machines and who are responsible for ensuring that ATM machines are able to perform their function.

The Persons credited with this Unit Standard will be able to:

- draw and keep control of cash prior to loading the ATM
- replenish the cash in the ATM
- attend to the removal and control of depository envelopes
- return the cards, cash and deposits to the treasury
- plan for future needs.
-

Learning Assumed to be in place:

It is assumed that learners accessing this Unit Standard will be competent in:

- Communications at NQF Level 2
- Mathematical Literacy at NQF Level 2.

Specific Outcomes and Assessment Criteria:

Specific Outcome No. 1 Draw and keep control of cash prior to loading ATM machines
Assessment Criteria

- 1.1 The vehicle route is planned based on reports received and according to the bank's procedures.
- 1.2 The identity of the vehicle is verified with the treasury custodian
- 1.3 The cash requirements for the replenishment are collected, physically checked taking residual notes into account and secured according to the bank's procedures.
- 1.4 The cash is checked for ATM quality according to the bank's guidelines.
- 1.5 The necessary precautions for transporting cash are taken as per the bank's guideline procedures.

Specific Outcome No. 2 Replenish the cash in the ATM machines

Assessment Criteria

- 2.1 The necessary security precautions are taken as per the bank's procedures.
- 2.2 The machine is prepared for opening and opened according to the bank's procedures.
- 2.3 The ATM is loaded according to standard operating procedure.
- 2.4 The amount loaded for each denomination is recorded onto the cash loaded sheet as required by the bank.

- 2.5 Mutilated or torn notes are removed from the reject cash bin and disposed of according to the bank's guidelines.
- 2.6 A dispense test is run to ensure that the canisters are in working order according to standard operating procedures.
- 2.7 Fraud checks are carried out as required by organisation policy and procedures

Specific Outcome No. 3 Attend to the removal and control of depository envelopes and tally rolls from the ATM machine

Assessment Criteria

- 3.1 The deposits are removed, counted and recorded according to the bank's guidelines.
- 3.2 The tally roll is removed and a printer test is performed according to the bank's procedures.
- 3.3 The deposit and tally roll are sealed as per the bank's requirements.
- 3.4 The machine number and time are recorded on the loading sheet as required by the bank.
- 3.5 Routine maintenance is carried out as required by the bank.
- 3.6 The machine is placed back in service according to standard operating procedures.
- 3.7 The required security measures for locking the ATM and reloading the cash van are taken as per the bank's guidelines.

Specific Outcome No. 4 Return cash, cards and deposits to the treasury

Assessment Criteria

- 4.1 The cash return is submitted to the treasury department as per the bank's procedures.
- 4.2 All deposits are handed to the processing area as per the bank's procedures.
- 4.3 All retained cards are handed to the appropriate officer as per the bank's procedures.
- 4.4 The mutilated/torn notes are prepared and handed to the teller in the manner required by the bank.
- 4.5 Relevant documents are handed to the applicable controlling officer as per the bank's procedures.

Specific Outcome No. 5 Plan for future needs

Assessment Criteria

- 5.1 Relevant reports are collected as required by the bank to determine cash requirements for the period between cash deliveries.
- 5.2 A bulk order is placed at the treasury as per the bank's procedures.
- 5.3 The cash requirements for the next day are collected, checked and placed in the cash container according to the bank's procedures.
- 5.4 The cash container is transported to the note-counting area and the cash is rechecked as per the bank's procedures.
- 5.5 The cash container is locked and secured in the manner required by the bank.

Accreditation Process (Including Moderation):

- 1. Anyone assessing a learner against this Unit Standard must be registered as an assessor with the relevant ETQA, or with an ETQA that has a Memorandum of Understanding with the relevant ETQA
- 2. Any institution offering learning that will enable achievement of this Unit Standard or assessing this Unit Standard must be accredited as a provider with the relevant ETQA, or with an ETQA that has a Memorandum of Understanding with the relevant ETQA.
- 3. Moderation of assessment will be overseen by the relevant ETQA according to the moderation guidelines in the relevant qualification and the agreed ETQA procedures.

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Notes

CRITICAL CROSS-FIELD OUTCOMES

The learner demonstrates the ability:

- To work effectively with others as a member of a team, group, organisation and community when the cash return is submitted to the treasury department as per the bank's procedures.
- To organise and manage oneself and one's activities responsibly and effectively when the necessary security precautions are taken as per the bank's procedures.
- To collect, organise and critically evaluate information when relevant reports are collected as required by the bank to determine cash requirements for the period between cash deliveries.
- To use science and technology effectively and critically (showing responsibility towards the environment and health of others) when the machine number and time are recorded on the loading sheet as required by the bank.

RANGE STATEMENT

- Loading the ATM includes loading the cash into the correct canisters, placing the canisters correctly in canister slots, replacing the sliding dispensers correctly and making all the connections to restore functionality.
- Routine maintenance includes replenishing stationery, monitoring tidiness, removing retained cards.
- Relevant documents include the run sheet and cash ticket.

EMBEDDED KNOWLEDGE

- relevant banking policies and procedures.
- the workflow related to controlling a suite of ATMs.
- Operating and computer systems knowledge sufficient to locate the necessary information and complete the task.
- ATM operational risk.
- Relevant security precautions relating to ATMs.

LEGAL REQUIREMENTS

All procedures must meet recognised codes of practice as well as obligations required under current legislation within South Africa and within the normal parameters of the defined job/task.

TERMINOLOGY

ATM = Automated Teller Machine.

Title: Install an ATM (Automated Teller Machine).

Unit Standard Number:

Level: 4

Credits: 5

Field: Business, Commerce and Management Studies

Sub-field: Finance, Economics and Accounting

Issue Date:

Review Date:

Purpose:

This Unit Standard is intended for people who are responsible for installing ATMs for Banks.

Persons credited with this Unit Standard will be able to:

- plan for the installation of an ATM
- install an ATM into its physical location
- install and configure the software required for full functionality.

Learning Assumed to be in place:

It is assumed that learners accessing this Unit Standard are competent in:

- Communications at NQF Level 3
- Mathematical Literacy at NQF Level 3.

Specific Outcomes and Assessment Criteria:

Specific Outcome No. 1 Plan for the installation of an ATM

Assessment Criteria

- 1.1 The proposal for the installation of an ATM in a particular location is verified against the specified criteria for validity.
- 1.2 A floor plan for the proposed installation is approved by the authorities specified by the bank.
- 1.3 Access to the ATM by disabled persons is assured through correct installation and siting.
- 1.4 The walling and floor strength requirements for an ATM are validated for sufficiency with the specified engineering authorities.
- 1.5 The contractual arrangements relating to the installation of an ATM are completed and approved by the approved authority within the organisation.

Specific Outcome No. 2 Install the ATM into its physical location

Assessment Criteria

- 2.1 The area in which the ATM is to be sited is prepared in accordance with bank and legislative safety requirements.
- 2.2 The physical installation of the ATM is carried out as per bank and legislated safety and security requirements.
- 2.3 The necessary power connections are made in accordance with organisational safety requirements.
- 2.4 Data lines are installed according to specifications.
- 2.5 All the ATM functions are verified to be working as specified in the operating manual

Specific Outcome No. 3 Install the ATM software**Assessment Criteria**

- 3.1 Organisation approved operating and systems software is installed according to specified procedures.
- 3.2 The ATM software is linked to the internal software as required by company specifications
- 3.3 The ATM is configured with bank specific information as identified in company specifications.
- 3.4 The ATM is set up for full functionality as specified by the organisation.
- 3.5 Full functionality and security is verified before handover, in accordance with organisational requirements and procedures

Accreditation Process (Including Moderation):

1. Anyone assessing a learner against this Unit Standard must be registered as an assessor with the relevant ETQA, or with an ETQA that has a Memorandum of Understanding with the relevant ETQA
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Notes:**CRITICAL CROSS - FIELD OUTCOMES:**

The learner demonstrates the ability:

- To work effectively with others as a member of a team, group, organisation and community whilst planning and installing the ATM and the software.
- To organise and manage oneself and one's activities responsibly and effectively when the necessary safety and security precautions are taken as per the bank's procedures.
- To collect, organise and critically evaluate information when assessing the need for and location of the ATM
- To use science and technology effectively and critically (showing responsibility towards the environment and health of others) when installing and configuring the ATM.

RANGE STATEMENT:

- Data lines include LAN and WAN lines for networking, and other data transfer lines as specified
- ATM functionality includes cash, consumables, performing according to specifications and appropriate error reporting

EMBEDDED KNOWLEDGE:

- Relevant banking policies and procedures.
- Operating and computer systems knowledge sufficient to install the ATM and the necessary software
- Operational risk.
- Relevant safety and security precautions relating to ATMs.

LEGAL REQUIREMENTS:

All procedures must meet recognised codes of practice as well as obligations required under current legislation within South Africa and within the normal parameters of the defined job/task.

Title: Maintain an Automated Teller machine (ATM)

Unit Standard Number:

Level: 4

Credits: 4

Field: Business, Commerce and Management Studies

Sub-field: Finance, Economics and Accounting

Issue Date:

Review Date:

Purpose:

This Unit Standard is intended for people who maintain Automated Teller Machines (ATMs).

A person credited with this Unit Standard will be able to:

- manage and balance ATM cash
- process ATM deposits and captured cards
- perform the general housekeeping and maintenance of the ATM lobby and cubicle.

Learning assumed to be in place:

It is assumed that learners accessing this Unit Standard will be competent in:

- Communication at NQF Level 3
- Mathematical Literacy at NQF Level 3.

Specific Outcomes and Assessment Criteria:

Specific Outcome No. 1 Manage and balance the ATM cash

Assessment Criteria

- 1.1 ATM cash limits are adhered to when ordering cash in order to ensure optimum availability in accordance with company specific requirements.
Range: Cash limits are to cover both peak and slack periods.
- 1.2 ATM cash is balanced according to company specific requirements
- 1.3 ATM cash differences are traced and rectified according to company specific requirements
- 1.4 ATM cash is ordered, checked and loaded in accordance with company specific requirements.
- 1.5 ATM cash movements are carried out according to company specific requirements.

Specific Outcome No. 2 Process ATM deposits and captured ATM cards

Assessment Criteria

- 2.1 ATM deposits are removed, checked and recorded in accordance with company specific requirements.
- 2.2 Irregular deposits are dealt with according to company specific requirements.
- 2.3 Captured or retained ATM cards are removed and disposed of according to company specific requirements.

Specific Outcome No. 3 Maintain the ATM

Assessment Criteria

- 3.1 The ATM cubicle and lobby are maintained in a functional, clean and tidy manner.

- 3.2 ATM consumables are replenished within company specific timeframes to ensure optimum ATM performance.
- 3.3 Error messages and faults are monitored, identified and responded to within company specific time frames and according to specified requirements.
- 3.4 Preventive maintenance of the ATM is scheduled according to agreed terms.

Accreditation Process (Including Moderation):

1. Anyone assessing a learner against this Unit Standard must be registered as an assessor with the relevant ETQA, or with an ETQA that has a Memorandum of Understanding with the relevant ETQA
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3. Moderation of assessment will be overseen by the relevant ETQA according to the moderation guidelines in the relevant qualification and the agreed ETQA procedures.

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Notes:**CRITICAL CROSS - FIELD OUTCOMES**

The learner demonstrates the ability:

- To identify and solve problems by using critical thinking when dealing with irregular deposits and processing them appropriately; and identifying faults and error messages and taking appropriate corrective action.
- To organise and manage one's activities responsibly and effectively by observing safety regulations when handling cash; adhering to set limits and procedures when ordering cash; and being accurate and thorough when checking cash.
- To collect and analyse information by systematically and logically investigating discrepancies in cash.

RANGE STATEMENT

- ATM physical movements include handing over cash and inter-ATM transactions, balancing.
- ATM deposits are cash, cheques, crossed cheques and postal orders.
- ATM consumables include deposit envelopes, journal rolls, ink jets, receipt paper rolls, ribbons
- The ATM cubicle area and lobby include cubicle lights, sunscreen, walls, fascia and bins.
- Irregular deposits include fraudulent notes, fraudulent cheques, foreign currency notes, foreign currency cheques, blank/empty deposits.
- ATM error messages relate to canister faults, low or empty cash, low, empty or mis-feeding journal paper, keypad functionality, vandalism, card reader malfunction, low, empty or mis-feeding receipt paper and low, empty or mis-feeding deposit envelopes.
- Reasons why banks use ATMs include: customer convenience for banking outside of normal working hours, to increase the time spent by tellers registering new clients, to reduce the likelihood of robbery.

EMBEDDED KNOWLEDGE

The learner should know:

- The basic technical features of ATMs
- The reasons why banks use ATMs
- All the organisational policies relating to ATMs

LEGAL REQUIREMENTS

Understand the markings and crossings on cheques as stipulated in the Banks Act.

TERMINOLOGY

Technical terminology relating to ATMs.

Title: Process Customer ATM (Automated Teller Machine) Card requests.

Unit Standard Number:

Level: 4

Credits: 2

Field: Business, Commerce and Management Studies

Sub-field: Finance, Economics and Accounting

Issue Date:

Review Date:

Purpose:

This Unit Standard is intended for people dealing with customer ATM card requests.

A person credited with this Unit Standard will be able to:

- issue new and replacement ATM cards
- cancel ATM cards
- set up additional ATM services (linking, de-linking, account payments).

Learning assumed to be in place:

It is assumed that learners accessing this Unit Standard are competent in:

- Communications at NQF Level 3
- Mathematical Literacy at NQF Level 3.

Specific Outcomes and Assessment Criteria:

Specific Outcome No. 1 **Issue new and replacement ATM cards**

Assessment Criteria

- 1.1 The customer's request and need for either a new or replacement ATM card is identified correctly.
- 1.2 The customer identity is verified and precautionary measures taken in accordance with company specific requirements.
- 1.3 ATM card issuing procedures are carried out in accordance with company specific requirements.
- 1.4 Aspects of personal risk and methods of avoiding or minimizing ATM fraud are explained to the customer in accordance with company specific requirements.
- 1.5 The necessary charges are recovered as per company specific requirements.
- 1.6 The customer is trained on how to use the ATM as per company specific training guidelines.
- 1.7 The implications of the functioning of SASWITCH and/or any other interlinked ATM facilities are explained to the customer.

Specific Outcome No. 2**Cancel ATM Cards****Assessment Criteria**

- 2.1 The customer's request to cancel the card is correctly identified in accordance with company specific requirements.
- 2.2 The reason for the cancellation request is identified and logged in accordance with company specifications
- 2.3 The cancellation procedures are carried out in accordance with company specific requirements.
- 2.4 The implications of not canceling the card immediately are explained using examples appropriate to the reason for the cancellation request.

Specific Outcome No. 3**Set up additional ATM Services****Assessment Criteria**

- 3.1 The customer's request for additional services is correctly identified in terms of the range of services available.
- 3.2 Forms are completed according to the transaction type and company specific requirements.
- 3.3 The features and benefits of additional ATM services are explained to the customer in accordance with company specific requirements.
- 3.4 The additional ATM Services are set up as per the customer's request and system requirements.

Accreditation Process (Including Moderation):

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Notes:**CRITICAL CROSS - FIELD OUTCOMES**

The learner demonstrates the ability to:

- collect and evaluate information critically by scrutinising the customer's identity document, verifying the specimen customer signature against bank records and assessing a customer's query and judging whether the cancellation of the card is an appropriate solution or not.
- communicate effectively when explaining to the customer the risks involved when using an ATM card and demonstrating how to use an ATM card
- use technology effectively when using the computer system to issue an ATM card, canceling the ATM card, or setting up additional services on the company computer system

RANGE STATEMENT

- Issuing of ATM cards includes input and verification of the PIN number, and processing of necessary paperwork.
- Precautionary measures related to identification and authorisation.
- Aspects of personal risk include card swapping, PIN changes, limit adjustments.
- Reasons for card cancellation requests include: card damaged, lost, stolen, destroyed, expired, ATM is off-line due to power failure or the card is retained by the ATM.
- Additional ATM services include linking, de-linking and account payments options

EMBEDDED KNOWLEDGE

- the company's products relating to ATM;
- applications related to the computer system used by the company to the task at hand;
- the most common methods used by criminals to commit ATM fraud;
- the accepted means of combating ATM fraud;
- security features built into Identity Documents;
- the company's identification policy;
- the company's policy relating to the issue and cancellation of ATM cards;
- the consequences of not canceling cards immediately.

TERMINOLOGY

ATM = Automated Teller Machine

UNIT STANDARDS FOR TELLERS

NLRD NUMBER	TITLE	LEVEL	CREDIT
	Control branch movements within a banking environment	3	2
	Control bulk teller operations in a banking environment	3	3
	Process banking transactions	4	5
	Manage cash in till under counter safe in a banking environment	4	5

1. TITLE: Control branch cash movements within a banking environment.**2. UNIT STANDARD NUMBER:****3. LEVEL:** 3**4. CREDITS:** 2

5. FIELD: Business, Commerce and Management Studies
Sub-field: Finance Economics and Accounting

6. ISSUE DATE:**7. REVIEW DATE:****8. PURPOSE:**

This Unit Standard is for people responsible for controlling the movement of money to and from the branch of a Bank.

Persons credited with this Unit Standard will be able to:

- order and clear cash to/from SBV services
- process and reconcile orders of cash received
- dispatched and handle queries.

9. LEARNING ASSUMED TO BE IN PLACE:

It is assumed that learners are competent in Communication and Mathematical Literacy at NQF Level 2.

Specific Outcome No. 1 **Order and clear cash to/from SBV services.**

Assessment Criteria

- 1.1 Note orders to the SBV are placed as required by the bank.
- 1.2 Surplus notes are dispatched on a daily basis according to the bank's procedures.
- 1.3 Transportation is validated according to the bank's procedures.
- 1.4 Security precautions are taken as required by the bank.

Specific Outcome No. 2 **Process and reconcile records of cash received and dispatched.**

Assessment Criteria

- 2.1 Entries on cash received and/or dispatched by branches are processed as per the bank's procedures.
- 2.3 Any irregularities are recorded according to the bank's procedures.
- 2.4 Any irregularities are communicated to the officer in charge as required by the bank.

10 ACCREDITATION PROCESS (INCLUDING MODERATION):

1. Anyone assessing a learner against this Unit Standard must be registered as an assessor with the relevant ETQA, or with an ETQA that has a Memorandum of Understanding with the relevant ETQA

2. Any institution offering learning that will enable achievement of this Unit Standard or assessing this Unit Standard must be accredited as a provider with the relevant ETQA, or with an ETQA that has a Memorandum of Understanding with the relevant ETQA.
3. Moderation of assessment will be overseen by the relevant ETQA according to the moderation guidelines in the relevant qualification and the agreed ETQA procedures.

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11 NOTES

CRITICAL CROSS - FIELD OUTCOMES

The learner demonstrates the ability:

- to identify and solve problems in which responses display that responsible decisions using critical and creative thinking have been made when the query is attended to as required by the nature of the query and the bank's procedures.
- to work effectively with others as a member of a team, group, organisation and community when any irregularities are communicated to the officer in charge as required by the bank.

EMBEDDED KNOWLEDGE:

- all relevant banking policies and procedures.
- workflow.
- operating and computer system knowledge to locate the necessary information and complete the task.
- operational risk
- relevant security precautions.

LEGAL REQUIREMENTS

All procedures must meet recognised codes of practice as well as obligations required under current legislation within South Africa and within the normal parameters of the defined job/task.

TERMINOLOGY

SBV - Standard, Barclays, Volkskas cash clearance services

1. TITLE: Control bulk cash teller operations in a banking environment.**2. UNIT STANDARD NUMBER:****3. LEVEL:** 3**4. CREDITS:** 3

5. FIELD: Business, Commerce and Management Studies
Sub-field: Financial Services: Banking Operations

6. ISSUE DATE:**7. REVIEW DATE:****8. PURPOSE:**

Persons credited with this unit standard will be able to:

- oversee teller operations
- control cash holdings
- run security checks
- handle requisitions for salaries and wages

9. LEARNING ASSUMED TO BE IN PLACE:

It is recommended that this unit standard be completed in conjunction with the unit standards to process cash requisitions for salaries and wages, control note and special orders and clearances and transfer monies to and from the treasury.

Specific Outcome No. 1 Oversee teller operations**Assessment Criteria**

- 1.1 End of day balances are checked as required by the bank.
- 1.2 When differences are reflected in the balances, teller cash is checked according to the bank's procedures.
- 1.3 Cash is escorted to and from tellers according to the bank's procedures.
- 1.4 The teller area is secured as required by the bank.
- 1.5 A register is kept according to the bank's policy as to the movement of cash between tellers and the treasury.

Specific Outcome No. 2 Control cash holdings**Assessment Criteria**

- 2.1 Estimate requirements of notes are received from tellers according to the bank's procedures.
- 2.2 Care is taken to ensure that cash holdings meet the estimate requirements from tellers as required by the bank.
- 2.3 Any additional steps are taken, where necessary and as required by the bank, to address the demand for or surplus of cash
- 2.4 Security procedures are adhered to as required by the bank.

Specific Outcome No. 3**Run security checks****Assessment Criteria**

- 3.1 Teller bundles are checked on a daily basis according to the bank's policy.
- 3.2 All bundles are checked in the manner required by the bank if any suspicions are aroused.
- 3.3 The total cash holding is checked against the balance sheets as required by the bank.

Specific Outcome No. 4**Handle requisitions for salaries and wages****Assessment Criteria**

- 4.1 Cheque requisitions for salaries and wages are received according to the bank's procedures.
- 4.2 Client cheques are scrutinised against letters of authority to ensure that there are no discrepancies.
- 4.3 Cash requisitions for salaries and wages are prepared according to the bank's procedures.
- 4.4 Cash requisitions are passed on to payroll tellers as required by the bank.

10 ACCREDITATION PROCESS (INCLUDING MODERATION):

- 1. Anyone assessing a learner against this Unit Standard must be registered as an assessor with the relevant ETQA, or with an ETQA that has a Memorandum of Understanding with the relevant ETQA
- 2. Any institution offering learning that will enable achievement of this Unit Standard or assessing this Unit Standard must be accredited as a provider with the relevant ETQA, or with an ETQA that has a Memorandum of Understanding with the relevant ETQA.
- 3. Moderation of assessment will be overseen by the relevant ETQA according to the moderation guidelines in the relevant qualification and the agreed ETQA procedures.

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11. NOTES**CRITICAL CROSS - FIELD OUTCOMES:**

The learner demonstrates the ability:

- to work effectively with others as a member of a team, group, organisation and community when teller enquiries are attended to promptly and in the manner required by the bank.
- to organise and manage oneself and one's activities responsibly and effectively when cash is escorted to and from tellers according to the bank's procedures.
- to collect, organise and critically evaluate information when any additional steps are taken, where necessary and as required by the bank, to address the demand for or surplus of cash.
- to demonstrate an understanding of the world as a set of related systems when care is taken to ensure that cash holdings meet the estimate requirements from tellers as required by the bank.

EMBEDDED KNOWLEDGE:

- all relevant banking policies and procedures.
- workflow.
- operating and computer systems to locate the necessary information and complete the task.
- operational risk.
- relevant security precautions.

LEGAL REQUIREMENTS:

- All procedures must meet recognised codes of practice as well as obligations required under current legislation within South Africa and within the normal parameters of the defined job/task.

1. TITLE: Process Banking Transactions

2. UNIT STANDARD NUMBER:

3. LEVEL: 4

4. CREDITS: 5

5. FIELD: Business, Commerce and Management Studies
 Sub-field: Finance, Economics and Accounting

6. ISSUE DATE:**7. REVIEW DATE:****8. PURPOSE:**

This Unit Standard is intended for people who process banking transactions.

A person credited with this Unit Standard will be able to:

- identify the customer's requirements
- check and process the transactions
- finalise the transaction.

9. LEARNING ASSUMED TO BE IN PLACE:

It is assumed that learners are competent in Communication and Mathematical Literacy at NQF Level 3.

10. SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA:**Specific Outcome No. 1****Identify Customer Requirements****Assessment Criteria**

- 1.1 The customer is greeted and his/her requirements are established in accordance with business specific requirements
- 1.2 The customer's request is accepted and confirmed.
- 1.3 Information and or appropriate solutions are provided to meet specific customer requirements

Specific Outcome No. 2**Check and Process Transactions****Assessment Criteria**

- 2.1 The ability to identify and differentiate between all financial transactions is demonstrated for the complete range.
- 2.2 All financial transaction details and supporting documentation is verified in accordance with legal and business specific requirements (evidence is required for the complete range)
- 2.3 All financial transactions are processed accurately and efficiently in accordance with legal and business specific requirements. (evidence is required for the complete range).

- 2.4 All laid down company specific procedures are followed to prevent fraudulent transactions relating to notes, cheques and deposits.

Specific Outcome No. 3 Finalise the transaction

Assessment Criteria

- 3.1 The customer is provided with authentic evidence of the completed transactions in accordance with business specific requirements
- 3.2 The transaction is concluded in accordance with business specific requirements.
- 3.3 Processed financial entries are stored or forwarded in accordance with business specific requirements.

11 ACCREDITATION PROCESS (INCLUDING MODERATION):

1. Anyone assessing a learner against this Unit Standard must be registered as an assessor with the relevant ETQA, or with an ETQA that has a Memorandum of Understanding with the relevant ETQA
2. Any institution offering learning that will enable achievement of this Unit Standard or assessing this Unit Standard must be accredited as a provider with the relevant ETQA, or with an ETQA that has a Memorandum of Understanding with the relevant ETQA.
3. Moderation of assessment will be overseen by the relevant ETQA according to the moderation guidelines in the relevant qualification and the agreed ETQA procedures.

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12 SPECIAL NOTES

CRITICAL CROSS - FIELD OUTCOMES

The learner demonstrates the ability:

- to identify and solve problems when providing the customer with appropriate information based on their judgment of what the needs are, differentiating between the different transaction types and deciding on the appropriate procedure of processing the transactions
- to communicate effectively when giving the customer feedback and advice on their requests.
- to use technology effectively when processing transactions in the computer system.

EMBEDDED KNOWLEDGE

- the balancing of debits and credits.
- Foreign Currencies and Foreign Travelers Cheques
- signing arrangements

RANGE STATEMENT

Banking transactions include withdrawals: Cash cheques, Cheques requiring BoP stamp, Order cheques, Traveler's cheques, Credits outstanding cheques, Bank cheques, Special Clearance, Credit card withdrawals, Cash requisitions - Deposits: Cash deposits, Cheque

deposits, Cash and cheque deposits, Travelers cheques - Statements: Mini Statements, Balances, Money Orders and Transfers.

LEGAL REQUIREMENTS

- Know Crossings and Markings on cheques as stipulated in the Banks Act.
- Know and understand Money Laundering Act
- Code of Banking Practice

1. TITLE: Manage cash in till or under counter safe in a banking environment

2. UNIT STANDARD NUMBER:**3. LEVEL:** 4**4. CREDITS:** 5**5. FIELD:** Business, Commerce and Management Studies
Sub-field: Finance, Economics and Accounting**6. ISSUE DATE:****7. REVIEW DATE:****8. PURPOSE:**

This Unit Standard is intended for persons who manage cash in their till or under counter safe.

Persons credited with this Standard will be able to:

- maintain the cash
- balance and trace differences in cash
- manage the cash.

9. LEARNING ASSUMED TO BE IN PLACE::

It is assumed that learners are competent in Communication and Mathematical Literacy at NQF Level 3.

10. SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA:**Specific Outcome No. 1 Maintain the cash****Assessment Criteria**

- 1.1 The cash is packaged according to standard operating practices
- 1.2 The cash is tagged according to standard operating practices
- 1.3 Mutilated and soiled notes are taken out of circulation and dealt with in accordance with company specific requirements.

Specific Outcome No. 2 Balance and trace differences in cash**Assessment Criteria**

- 2.1 The cash is balanced daily in accordance with business specific requirements
- 2.2 Cash differences are traced and rectified according to business specific requirements

- 2.3 Proof of balance is verified and signed off in accordance with business specific requirements

Specific Outcome No. 3 Manage the cash

Assessment Criteria

- 3.1 Cash movements are carried out according to business specific requirements.
- 3.2 Cash limits are adhered to in accordance with business specific overnight limits
- 3.3 Cash is secured according to business specific procedures.

12 ACCREDITATION PROCESS (INCLUDING MODERATION):

1. Anyone assessing a learner against this Unit Standard must be registered as an assessor with the relevant ETQA, or with an ETQA that has a Memorandum of Understanding with the relevant ETQA
2. Any institution offering learning that will enable achievement of this Unit Standard or assessing this Unit Standard must be accredited as a provider with the relevant ETQA, or with an ETQA that has a Memorandum of Understanding with the relevant ETQA.
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13. NOTES

CRITICAL CROSS - FIELD OUTCOMES

The learner demonstrates the ability:

- to use critical and creative thinking to identify and solve problems when tracing and correcting cash differences
- to organise and manage one's activities when packing and tagging cash
- to collect and evaluate information critically when balancing cash.

RANGE STATEMENT

- cash movements include Treasury, inter-teller transactions.

EMBEDDED KNOWLEDGE:

- how cash is balanced
- the importance of secure cash handling practices.

LEGAL REQUIREMENTS

- Code of Banking Practice

UNIT STANDARDS IN CREDIT AND DEBIT CARDS

NLRD NUMBER	TITLE	LEVEL	CREDITS
	Demonstrate and apply an understanding of credit and debit card administration, production and distribution	2	5
	Administer requests to re-issue credit and debit cards in a banking environment	3	8
	Effect and monitor the release of debit and credit cards to cardholders in a banking environment	3	6
	Emboss and release credit and debit cards in a banking environment	3	5
	Administer applications for new credit and debit card products	3	6
	Manage contractors in credit and debit card distribution	4	6

1. **TITLE:** Demonstrate and apply an understanding of credit and debit card administration, production and distribution
2. **UNIT STANDARD NUMBER:**
3. **LEVEL ON NQF:** 2
4. **CREDITS:** 5
5. **FIELD:** Business, Commerce and Management Studies
SUB-FIELD: Financial Services: Banking
6. **ISSUE DATE:**
7. **REVIEW DATE:**
8. **PURPOSE:**

This Unit Standard is intended for people who need a broad overview of the process of credit and debit card administration, production and distribution.

Learners credited with this Unit Standard will be able to:

- Demonstrate and apply an understanding of the credit and debit card application process
- Demonstrate and apply an understanding of the security issues surrounding credit and debit card administration, production and distribution
- Demonstrate and apply an understanding of the production of credit and debit cards
- Demonstrate and apply an understanding of the process of distributing cards

9. **LEARNING ASSUMED TO BE IN PLACE:**

It is assumed that learners are competent in Communication at NQF Level 1.

10. **SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA**

Specific Outcome No. 1 Demonstrate and apply an understanding of the credit and debit card application process.

Assessment Criteria

- 1.1 Documentation required in a credit or debit card application is described in line with company policies and requirements
- 1.2 The process of screening applications is described and applied in terms of company policies and systems
- 1.3 Criteria and processes for approving or declining credit card applications are described and applied to applications in terms of company policies
- 1.4 Procedures for processing approved and declined applications are described and applied in line with company policies and procedures

Specific Outcome No. 2 Demonstrate and apply an understanding of the security issues surrounding credit and debit card administration, production and distribution.

Assessment Criteria

- 2.1 The security risks and consequences surrounding credit and debit card administration, production and distribution are explained for each step of the process
- 2.2 The organisational mechanisms for the prevention of security breaches concerning credit cards and debit cards are explained and applied for each step of the process
- 2.3 Proposals describing one way to further improve security surrounding debit and credit cards are submitted for one aspect of security risk.

Specific Outcome No. 3 Demonstrate and apply an understanding of the production of credit and debit cards

Assessment Criteria

- 3.1 The process of preparing cards for embossment is described and applied as per with company processes
- 3.2 The process of embossing blank cards is described and applied as per with company processes
- 3.3 The process of preparing cards for delivery is described and applied as per company processes and procedures

Specific Outcome No. 4 Demonstrate and apply an understanding of the process of distributing cards

Assessment Criteria

- 4.1 The process of administering the collection of cards by cardholders is explained in line with company policies and procedures
- 4.2 The process for managing undelivered cards is explained and applied in line with company policy
- 4.3 The process for resolving queries regarding uncollected cards is described and applied in line with company policy

11. ACCREDITATION AND MODERATION:

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12. RANGE STATEMENT

- Application for debit and credit cards includes, identity documents, bank statements, salary slip and company specific requirements
- Administration of the collection of cards includes the receipt and safekeeping of the cards

13. NOTES:

Embedded knowledge

- The overall workings of the bank with regard to the processing of credit and debit cards
- Visa and Master card regulations
- Inter-bank local rules

Critical Cross-Field Outcomes

The learner is able to:

- identify and solve problems when explaining the process for managing undelivered cards
- communicate effectively using visual, mathematical and language skills in the modes of oral and written presentations when describing the application, production and distribution of credit and debit cards.

Legal Requirements:

- Inter Bank Local Rules
- Visa and Master Card Rules and Regulations

1. **TITLE:** **Administer requests to re-issue credit and debit cards in a Banking environment**

2. **UNIT STANDARD NUMBER:**

3. **LEVEL ON NQF:** 3

4. **CREDITS:** 8

5. **FIELD:** Business, Commerce and Management Studies
SUB-FIELD: Finance, Economics and Accounting

6. **ISSUE DATE:**

7. **REVIEW DATE:**

8. **PURPOSE:**

This Unit Standard is intended for people who are responsible for administering requests to re-issue credit and debit cards.

People credited with this Unit Standard are able to:

- validate the request to reissue credit cards
- handle notifications of lost/stolen cards
- process requests for duplicate cards.

9. **LEARNING ASSUMED TO BE IN PLACE:**

It is assumed that learners are competent in:

- Communication at NQF Level 2
- the Unit Standard entitled, "**Demonstrate an understanding of credit and debit card administration, production and distribution**".

10. **SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA**

Specific Outcome No. 1 **Validate requests to re-issue credit cards**

Assessment Criteria

- 1.1 Requests to re-issue credit cards are obtained and recorded as per company specification
- 1.2 The viability to re-issue the card is verified and confirmed in accordance with company and visa and master card regulations
- 1.3 Required actions to effect the request are determined and actioned as per company specifications

Specific Outcome No. 2 **Process notification of lost and/or stolen cards**

Assessment Criteria

- 2.1 Notifications of lost/ stolen cards are recorded as per company specifications.
- 2.2 A lost /stolen status is imposed on card record and information regarding the incident is recorded as per credit company or other rules
- 2.3 Requests for emergency card replacements are recorded and actioned according to credit company local and international rules
- 2.4 Delivery instructions are recorded as per customer instructions

- 2.5 A New card account is generated and instruction to issue and emboss plastic is given in accordance with company specifications
- 2.6 The Cost incurred in re-issuing the card is recovered as per company specifications

Specific Outcome No. 3 Process requests for duplicate cards

Assessment Criteria

- 3.1 The Request is recorded as per company specifications
- 3.2 The Card record is verified and updated according to changed details
- 3.3 Requests for emergency card replacements are recorded and actioned according to credit company rules
- 3.4 Delivery instructions are recorded as per customer instructions
- 3.5 Instructions to issue and emboss plastic is given in accordance with company specifications
- 3.6 The cost incurred in replacing the card is recovered as company specifications

11. ACCREDITATION AND MODERATION:

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12. RANGE STATEMENT:

- Requests to re-issue credit cards or for duplicate cards include requests from branches, other departments or directly from customers via fax, telephone and mail, and system generated requests
- Notification of lost / stolen cards includes those from clients, branches, internal departments eg call centres and system generated reports/ lists
- Information regarding lost / stolen cards includes time, place, last valid transaction and reason code
- Delivery instructions include registered mail, for collection at issuing point or a specified outlet or branch
- Requests for duplicate cards may be because of damaged cards, change of expiry date, name change, incorrect embossing. Expired cards are not automatically re-issued

13. NOTES:**Embedded knowledge**

- Company specific card system to capture, locate and extract information and to complete the task at hand
- Credit card company (Visa and MasterCard) rules and regulations regarding the re-issuing of cards
- Fraud possibilities related to credit card requests
- Inter Bank Local rules relate to credit cards
- The importance of adhering to the rules and regulations
- Effective flow of information

Critical Cross-Field Outcomes

- The learner is able to identify and solve problems when verifying the viability to re-issue a card, ensuring decisions regarding re-issuing are based on valid and complete information
- The learner is able to work effectively with others when handling requests for emergency card replacements, ensuring the timeous and accurate re-issuing of cards
- The learner is able to organise and manage his/her activities responsibly and effectively, when administering requests to re-issue credit cards, ensuring the timeous processing of requests and delivery of cards to clients
- The learner is able to collect, organise and critically evaluate information when handling notifications of lost and /or stolen cards, ensuring the prevention of fraudulent transactions
- The learner is able to use technology effectively when capturing, updating and extracting information, ensuring complete and accurate information is available on systems
- The learner is able to demonstrate an understanding of the relationship between internal departments, clients and other companies and the importance of networking to effectively administer requests to re-issue credit cards.

Legal Requirements:

- Inter Bank Local Rules
- Visa and Master Card Rules and Regulations

1. **TITLE:** **Effect and Monitor the release of debit and credit cards to cardholders in a banking environment.**
2. **UNIT STANDARD NUMBER:**
3. **LEVEL ON NQF:** 3
4. **CREDITS:** 6
5. **FIELD:** Business, Commerce and Management Studies
SUB-FIELD: Finance, Economics and accounting
6. **ISSUE DATE:**
7. **REVIEW DATE:**
8. **PURPOSE:**

This Unit Standard is intended for people who are responsible for ensuring that all cards issued, reach their intended destination.

People credited with this Unit Standard are able to:

- administer the collection of cards by cardholders or authorised representative
- handle undelivered card items
- resolve queries regarding credit cards not received.

9. LEARNING ASSUMED TO BE IN PLACE:

It is assumed that learners are competent in:

- Communication at NQF Level 2
- The Unit Standard entitled, **"Demonstrate an understanding of credit and debit card administration, production and distribution"**.

10. SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA

Specific Outcome No. 1 **Administer the collection of cards by cardholders at point of representation.**

Assessment Criteria

- 1.1 Card items for collection are received and recorded as per company specifications.
- 1.2 Cards are prepared for safekeeping as per company specifications.
- 1.3 Cardholders are positively identified on release of cards.
- 1.4 The collection of cards is monitored and outstanding items are investigated as per company specifications.
- 1.5 Unsuccessful location of cardholders are recorded and card items are returned as undelivered as per company specifications.

Specific Outcome No. 2 **Process undelivered card items.**

Assessment Criteria

- 2.1 Undelivered items are received and verified against dispatching list according to company specific regulations.

- 2.2 Returned cards are recorded and destroyed according to company specifications..
- 2.3 The Reason for Cards not being delivered is investigated in accordance with company specifications.
- 2.4 The Card record is rectified as per findings.
- 2.5 Where applicable, instructions to re-issue cards are given as per company specifications.
- 2.6 Card items are re-dispatched in accordance with updated card record details and company specifications.

Specific Outcome No. 3 Resolve queries regarding cards not received.

Assessment Criteria

- 3.1 Information regarding the query is received and logged as per company specifications.
- 3.2 The Delivery method used is determined based on company policies and practices.
- 3.3 Proof of delivery is requested and obtained according to company policies and practices.
- 3.4 The Findings of investigation are recorded as per company specifications.
- 3.5 Relevant parties are advised on location of cards as per query received.
- 3.6 Cards that could not be traced, are cancelled and instructions to re-issue cards are given as per company specifications.

11. ACCREDITATION AND MODERATION:

1. Anyone assessing a learner against this Unit Standard must be registered as an assessor with the relevant ETQA, or with an ETQA that has a Memorandum of Understanding with the relevant ETQA
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12. RANGE STATEMENT

- Card safeguarding includes vault, dual control and filing method.
- Positive identification includes recognized identification documents and letters of authorization in terms of collection by third party.
- Undelivered card items may be returned by branches, couriers and post office.
- Recording of returned cards includes imposing a return status on the card record, statistical records and register on returned items
- Proof of delivery includes courier tracking number and signature of recipient and unique number of item in terms of post office delivery.

13. NOTES:**Embedded knowledge**

- the Visa and MasterCard rules and regulations per type of "situation".
- Effective interaction and communication.
- Tracking and tracing procedures for items per delivery method used e.g. post office, couriers and "for collection".
- Solving queries in an effective, efficient and value-added manner.
- The security requirements regarding safekeeping of cards.
- Company specific card system to capture, locate and extract information.

Critical Cross-Field Outcomes

- The learner is able to identify and solve problems when resolving queries regarding cards not received, ensuring complete and accurate documentation for decision making and determination of cause of action.
- The learner is able to work effectively with others when effecting and monitoring the release of credit cards to cardholders, ensuring the timeous and correct releasing of credit cards.
- The learner is able to organise and manage his/her activities responsibly and effectively, when effecting and monitoring the release of credit cards to cardholders, ensuring that cards reach their intended destination timeously.
- The learner is able to collect, organise and critically evaluate information when administering the collection of cards by cardholders, ensuring the positive identification of cardholders. The learner is able to use technology effectively when capturing, updating and extracting information, ensuring complete and accurate information is available on systems.
- The learner is able to demonstrate an understanding of the relationship between internal departments, clients and other companies and the importance of networking to effectively effect and monitor the release of credit cards to cardholders.

1. **TITLE:** **Emboss and release credit and debit cards in a banking environment**
2. **UNIT STANDARD NUMBER:**
3. **LEVEL ON NQF:** 3
4. **CREDITS:** 5
5. **FIELD:** Business, Commerce and Management Studies
SUB-FIELD: Finance, Economics and Accounting
6. **ISSUE DATE:**
7. **REVIEW DATE:**
8. **PURPOSE:**

This Unit Standard is intended for people who are responsible for embossing blank cards with customer details, often in outsourced companies, for banking clients.

People credited with this Unit Standard are able to:

- prepare for embossment of blank cards
- oversee the embossing process
- prepare card items for delivery, paying particular attention to the security of such products.

9. **LEARNING ASSUMED TO BE IN PLACE:**

It is assumed that learners are competent in Communication at NQF Level 2.

10. **SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA**

Specific Outcome No. 1 Prepare for embossment of cards

Assessment Criteria

- 1.1 Instructions to emboss cards are obtained in embossing file as per company specifications.
- 1.2 Blank cards are retrieved from safekeeping in accordance with company specifications and security requirements.
- 1.3 Instructions are reconciled and allocated to embossing machines as per card product and machine requirements.
- 1.4 Machines are prepared for embossing in accordance with product and machine requirements.

Specific Outcome No. 2 Emboss blank cards

Assessment Criteria

- 2.1 Production of cards from the embossing machines is monitored as per company specifications and security requirements.
- 2.2 Defective cards are removed, recorded and stored for destruction as per company specifications

- 2.3 The production run is interrupted to correct any production failures should they occur
- 2.4 Embossed cards are verified to ensure that they correspond with instructions.

Specific Outcome No. 3**Prepare card items for delivery****Assessment Criteria**

- 3.1 Card carriers are printed and matched with embossed cards as per instructions.
- 3.2 Cards are physically counted and checked against order
- 3.3 Machines are prepared for enveloping and sealing of card items according to product and machine requirements.
- 3.4 Enveloping and sealing of card items are monitored and concluded in accordance with instructions and machine requirements.
- 3.5 The delivery method is determined and card items are prepared accordingly.

11. ACCREDITATION AND MODERATION:

1. Anyone assessing a learner against this Unit Standard must be registered as an assessor with the relevant ETQA, or with an ETQA that has a Memorandum of Understanding with the relevant ETQA
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12. RANGE STATEMENT

- Machine preparation depends on the specific card product to be issued.
- Card verification includes matching of cards to listing in terms of client name, account number and card product.
- Machine preparation for enveloping and sealing cards includes loading of cards, addresses and additional documentation e.g. flyers.
- Delivery methods may be: post office delivery, collection by customer at specified branch/outlet or at point of issuing.

13. NOTES:**Embedded knowledge**

- Operation of embossing and sealing machines in accordance with manufacturers' specifications.
- Approved delivery methods.
- The procedures and requirements per delivery method used e.g. post office, courier services and "for collection".

- Troubleshooting and basic operating problems/faults solutions e.g. removing defective cards.
- The implications of incorrectly embossed and delivered cards.
- Security issues surrounding credit cards and their production.

Critical Cross-Field Outcomes

- The learner is able to identify and solve problems when monitoring production of embossing machines, ensuring that problems are identified and rectified timeous to ensure full production capacity at all times.
- The learner is able to organise and manage his/her activities responsibly and effectively, when preparing for embossment of cards and during embossing of cards, ensuring quality embossment and productivity and adherence to security requirements.
- The learner is able to use technology effectively when embossing blank cards, ensuring minimising of defected cards and accurate information embossed on cards.

1. **TITLE:** Administer applications for new credit and debit card products
2. **UNIT STANDARD NUMBER:**
3. **LEVEL ON NQF:** 3
4. **CREDITS:** 6
5. **FIELD:** Business, Commerce and Management Studies
SUB-FIELD: Finance, Economics and Accounting
6. **ISSUE DATE:**
7. **REVIEW DATE:**
8. **PURPOSE:**

This Unit Standard is intended for people who are required to screen and process new credit and debit card applications.

People credited with this Unit Standard are able to:

- Receive and validate the application
- Prepare and capture applications
- Process approved credit card applications
- Process declined credit card applications

9. **LEARNING ASSUMED TO BE IN PLACE:**

It is assumed that learners are competent in:

- Communication at NQF Level 2
- Mathematical Literacy at NQF Level 2.

10. **SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA**

Specific Outcome 1: Receive and validate the application

Assessment Criteria:

- 1.1 Application and supporting documentation are received as per company specifications.
- 1.2 Application is recorded as per company specifications.
- 1.2 Application is scrutinised for completeness and prepared for validation in accordance with company specifications
- 1.3 Identity documents, bank statements and salary slips are checked for as part of validation of application.
- 1.4 Incomplete applications are completed by ensuring the collection of missing documentation or information as per company specifications
- 1.5 Screened application is submitted for validation as per company specifications.

Specific Outcome 2: Prepare and capture the application

Assesment Criteria:

- 2.1 Credit bureau checks are conducted in line with company requirements if

- 1.2 Contracts and service level agreements are delivered to contractors once approved by department head
- 1.3 The signing of contracts and service level agreements by contractor and department head is co-ordinated in line with company procedures

Specific Outcome No. 2**Manage distribution of cards via a distributor****Assessment Criteria**

- 2.1 Ordering of cards and stationery is managed in line with company requirements
- 2.2 Reports are received and checked as received from contractors responsible for distribution in line with company policy and procedures
- 2.3 Complaints from branches, clients or other internal departments are managed and resolved through liaison with the contractors
- 2.4 Costs are managed and reconciled in line with company policy

Specific Outcome No. 3**Manage quality assurance of distribution****Assessment Criteria**

- 3.1 The overall quality of the distribution service is managed in line with company procedures
- 3.2 Compliance with visa and master cards specifications is checked and validated in line with company policies
- 3.3 Lack of delivery on the contract or service level agreement is reported and recommendations are made to department head in line with company policies and practices

11. ACCREDITATION AND MODERATION:

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12. NOTES:**Embedded knowledge**

- basic legal requirements as well as company procedures for contracts and service levels agreements
- Visa and Mastercard rules and regulations
- basic management skills

Critical Cross-Field Outcomes

- The learner is able to identify and solve problems when managing the distribution of cards and the quality assurance of the service provided
- The learner is able to work effectively with others when developing and managing contracts, managing distribution and managing quality assurance
- The learner is able to organise and manage his/her activities responsibly and effectively, when developing and managing contracts, managing distribution and managing quality assurance
- The learner is able to collect, organise and critically evaluate information when handling complaints from clients, branches or internal departments

Legal Requirements:

- Visa and Master Card Rules and Regulations
- Basic contract law

1. **TITLE:** **Manage contractors in credit and debit card distribution**
2. **UNIT STANDARD NUMBER:**
3. **LEVEL ON NQF:** 4
4. **CREDITS:** 6
5. **FIELD:** Business, Commerce and Management Studies
SUB-FIELD: Finance, Economics and Accounting
6. **ISSUE DATE:**
7. **REVIEW DATE:**
8. **PURPOSE:**

This Unit Standard is intended for people who are responsible for managing the outsourced functions associated with credit and debit cards in a banking environment.

People credited with this Unit Standard are able to:

- Develop and manage contracts
- Manage distribution of cards via a distributor
- Manage quality assurance of distribution.

9. **LEARNING ASSUMED TO BE IN PLACE:**

It is assumed that learners are competent in:

- Communication at NQF Level 2
- The Unit Standard entitled, "**Demonstrate an understanding of credit and debit card administration, production and distribution**".

10. **SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA**

Specific Outcome No. 1 **Develop and manage contracts.**

Assessment Criteria

- 1.1 Develop contract and service level agreements with contractors which meet legal obligations as well as company specifications and in consultation with product, retail banking and distribution departments

- 1.2 Contracts and service level agreements are delivered to contractors once approved by department head
- 1.3 The signing of contracts and service level agreements by contractor and department head is co-ordinated in line with company procedures

Specific Outcome No. 2**Manage distribution of cards via a distributor****Assessment Criteria**

- 2.1 Ordering of cards and stationery is managed in line with company requirements
- 2.2 Reports are received and checked as received from contractors responsible for distribution in line with company policy and procedures
- 2.3 Complaints from branches, clients or other internal departments are managed and resolved through liaison with the contractors
- 2.4 Costs are managed and reconciled in line with company policy

Specific Outcome No. 3**Manage quality assurance of distribution****Assessment Criteria**

- 3.1 The overall quality of the distribution service is managed in line with company procedures
- 3.2 Compliance with visa and master cards specifications is checked and validated in line with company policies
- 3.3 Lack of delivery on the contract or service level agreement is reported and recommendations are made to department head in line with company policies and practices

11. ACCREDITATION AND MODERATION:

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12. NOTES:**Embedded knowledge**

- basic legal requirements as well as company procedures for contracts and service levels agreements
- Visa and Mastercard rules and regulations
- basic management skills

Critical Cross-Field Outcomes

- The learner is able to identify and solve problems when managing the distribution of cards and the quality assurance of the service provided
- The learner is able to work effectively with others when developing and managing contracts, managing distribution and managing quality assurance
- The learner is able to organise and manage his/her activities responsibly and effectively, when developing and managing contracts, managing distribution and managing quality assurance
- The learner is able to collect, organise and critically evaluate information when handling complaints from clients, branches or internal departments

Legal Requirements:

- Visa and Master Card Rules and Regulations
- Basic contract law



Established in terms of Act 58 of 1995

SOUTH AFRICAN QUALIFICATIONS AUTHORITY (SAQA)

In accordance with regulation 24(c) of the National Standards Bodies Regulations of 28 March 1998, the Standards Generating Body (SGB) for

Assessors

Registered by NSB 05, Education, Training and Development, publishes the following unit standards for public comment.

This notice contains the titles, fields, sub-fields, NQF levels, credits, and purpose of the unit standards. The full unit standards can be accessed via the SAQA web-site at www.saga.org.za. Copies may also be obtained from the Directorate of Standards Setting and Development at the SAQA offices, 1067 Arcadia Street, Hatfield Forum West, Hatfield, Pretoria

Comment on the unit standards should reach SAQA at the address ***below and no later than 1 MARCH 2004***. All correspondence should be marked **Standards Setting – SGB for Assessors**, and addressed to

The Director: Standards Setting and Development
SAQA

Attention: Mr. D Mphuthing
Postnet Suite 248
Private Bag X06
Waterkloof
0145
or faxed to 012 – 431-5032
dmphuthing@saga.co.za



JOE SAMUELS
DIRECTOR: STANDARDS SETTING AND DEVELOPMENT

UNIT STANDARD IN ASSESSMENT- NQF LEVEL 5**1. Title: Conduct standards-based assessment**

Specific Outcome 1. Demonstrate understanding of standards-based assessment.

Specific Outcome 2. Prepare for assessments.

Specific Outcome 3. Conduct assessments.

Specific Outcome 4. Provide feedback on assessments.

Specific Outcome 5. Review assessments.

UNIT STANDARDS IN ASSESSMENT- NQF LEVEL 6**1. Title: Conduct moderation of assessments**

Specific Outcome 1. Demonstrate understanding of moderation within the context of a standards-based assessment system.

Specific Outcome 2. Plan and prepare for moderation

Specific Outcome 3. Conduct moderation.

Specific Outcome 4. Advise and support assessors.

Specific Outcome 5. Report, record and administer moderation.

Specific Outcome 6. Review moderation systems and processes.

2. Title: Design and develop standards-based assessments

Specific Outcome 1. Demonstrate understanding of design principles of standards-based assessment.

Specific Outcome 2. Design assessments based on an analysis of standards and assessment contexts

Specific Outcome 3. Develop assessment activities.

Specific Outcome 4. Develop assessment guides.

Specific Outcome 5. Evaluate assessment designs and guides.

Title:	Conduct standards-based assessment
Level:	5
Credit:	15
Field:	Education, Training and Development
Sub-field:	All ETD sub-fields
Issue date:	14 February 2001
Revised:	14 January 2004

Review date:**Purpose:**

This generic assessor unit standard is for those who assess people for their achievement of learning outcomes in terms of defined standards, including national curriculum statements, unit standards, exit level outcomes and qualifications, whether in learning institutions, the workplace or other environments.

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 assess performance against standards and qualifications registered on the NQF, using pre-designed assessment instruments. Such people will 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 standards-based assessment;
- prepare for assessments;
- conduct assessments;
- provide feedback on assessments; and
- review assessments.

Learning assumed to be in place:

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").

Revised: 14 January 2004

NLRD Number: 7978

Range statement:

1. This is a generic assessment unit standard, and applies to assessment in any field of learning. However, the assessment of candidate-assessors *will only be valid for award of this unit standard* if the following requirements are met:
 - The candidate-assessor carries 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 on the same standard.
 - The assessments carried out by the candidate-assessor 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. Small, single-task assessments will not be valid for awarding this unit standard. Standards 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 a standard that enables them to meet the requirement laid out here.
 - 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.
2. For the purposes of assessment against this unit standard, candidate-assessors should have access to pre-designed Assessment Guides and will not be expected to design assessments. (See Definition of Terms for a definition of Assessment Guides). Candidate assessors will still need to interpret the standards at hand in order to ensure their assessment judgements are in accordance with the requirements of the standard. Furthermore, 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.

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

SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA**Specific outcome 1:****Demonstrate understanding of standards-based assessment****Assessment criteria:**

- 1.1 Comparisons between standards-based and other forms of assessment highlight key differences in terms of the underlying philosophies and approaches to assessment, including an outline of advantages and disadvantages.
- 1.2 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.
- 1.3 A variety of assessment methods are described and compared in terms of how they could be used when conducting assessments in different situations.
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.
- 1.4 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.
- 1.5 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.***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 policies and procedures (including moderation),
- pre-designed assessment instruments for the assessment at hand, including the relevant standard/s and Assessment Guides (see "definition of terms" for a definition of Assessment Guide).

Assessment criteria:

- 2.1 Preparation of assessment resources, logistics, documentation and environment meets the requirements of the assessment at hand and ensures fairness and safety of assessment.
- 2.2 Parties involved in the assessment are notified in good time and are ensured to be ready and available to meet required schedules.

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Range:

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

- 2.3 All pre-assessment moderation requirements are carried out in accordance with relevant assessment policies, moderation plans and ETQA requirements.
- 2.4 Assessment details are explained to candidates clearly and in a manner that sets them at ease. Opportunities for clarification are provided and responses promote understanding of the requirements.

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.

- 2.5 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.
- 2.6 - Candidate readiness for assessment is confirmed. In cases where candidates are not yet ready, actions taken are in line with assessment policies.

Specific outcome 3:**Conduct assessments.**Range:

The ability to make assessment judgements must be demonstrated using diverse sources of evidence. Assessments must include cases where candidates have special needs and where evidence arises through RPL situations. Candidate-assessors must show they can make judgements in situations where:

- *candidates meet all criteria for a particular outcome,*
- *candidates clearly do not meet the criteria for a particular outcome,*
- *candidates meet some, but not all criteria, and*
- *more evidence is required in order to make a judgement of competence.*

Assessment criteria:

- 3.1 Assessment practices promote effective, manageable, fair and safe assessment. Assessment practices are in line with quality assurance requirements and recognised codes of practice and learning-site or work-site standard operating procedures where applicable.

Range:

codes of practice could include professional, industry or legislated.

- 3.2 The assessment is carried out according to the assessment design. Adjustments are justified by the situation, and unforeseen events and special needs of candidates are addressed without compromising the validity or fairness of the assessment.
- 3.3 Communication avoids leading candidates and is appropriate to the assessment at hand and the language ability of the candidate.

Range: *"leading" refers to the practice of inadvertently or deliberately influencing the evidence candidates produce through the style of questioning, instructions or responses to candidates.*

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- 3.4 Sufficient evidence is gathered, including evidence generated over time, to enable valid, consistent, reliable and fair assessment judgements to be made.
- 3.5 Assessment judgements are consistent with judgements made on similar evidence and are justified by the authenticity, validity, sufficiency and currency of the evidence.
- 3.6 Records of the assessment are in line with the requirements of the organisation's quality assurance system. Records meet requirements for *making assessment judgements, giving meaningful feedback, supporting internal and external moderation, and addressing possible appeals.*

Specific outcome 4:**Provide feedback on assessments.****Range:**

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

Assessment criteria:

- 4.1 Feedback is timely, clear and confined to strengths and weaknesses in performance and/or requirements for further evidence in relation to the standard at hand.
- 4.2 The type and manner of feedback is constructive, culturally sensitive and related to the relevant party's needs. Sufficient information is provided to enable the purpose of the assessment to be met, and to enable parties to make further decisions.

Range:

Further decisions include awarding of credit and redirecting candidates to learning, further application or re-assessment.

- 4.3 Feedback on the assessment process is obtained from the candidate and opportunities are provided for clarification and explanations concerning the entire assessment.
- 4.4 Disputes and/or appeals that arise are dealt with according to the assessment policy.
- 4.5 Agreements reached and key elements of the feedback are recorded in line with the requirements of the organisation's quality assurance system.

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Specific outcome 5:**Review assessments.****Range:**

The review should address at least the following aspects:

- the quality of the assessment instruments, including the standards against which assessment takes place and Assessment Guides used,
- the assessment process, and
- candidate readiness for assessment.

Assessment criteria:

- 5.1 The review identifies strengths and weaknesses in the instruments and process, and notes these for incorporation in assessment redesign.
- 5.2 Feedback from relevant parties is analysed and used to influence future assessments positively.
- 5.3 Weaknesses in the assessment design and process that could have compromised the fairness of assessment are identified and dealt with according to the organisation's assessment policy.
- 5.4 Weaknesses in the assessment arising from poor quality of national standards or qualifications are identified, and effective steps are taken to inform relevant bodies.

Accreditation and moderation:

- A candidate-assessor wishing to be assessed, (including through RPL) against this unit standard may apply to an assessment agency, assessor or provider institution accredited by the relevant ETQA.
- Anyone assessing a candidate-assessor against this unit standard must be registered as an *assessor of assessors* with the relevant ETQA. In particular, such assessors of candidate-assessors must demonstrate that they assess in terms of the scope and context defined in all the range statements.
- Any institution offering learning towards this unit standard must be accredited as a provider with the relevant ETQA.
- Moderation of assessment will be conducted by the relevant ETQA at its discretion.

NOTES**Critical cross-field outcomes:**

This unit standard addresses the following critical cross-field outcomes:

- Identify and solve problems using critical and creative thinking: *preparing for contingencies, candidates with special needs, problems that arise during assessment, suggesting changes to assessment.*
- Work effectively in a team using critical and creative thinking: *working with candidates and other relevant parties during assessment, as well as post-assessment.*
- Organize and manage oneself and one's activities: *preparing, conducting and recording the assessment.*
- Collect, analyse, organize and critically evaluate information: *gather, evaluate and judge evidence and the assessment process.*

- Communicate effectively: *prepare candidates for assessment, communicate during assessment, and provide feedback.*
- Demonstrate the world as a set of related systems: *understanding the impact of assessment on individuals and organisations.*
- Be culturally and aesthetically sensitive across a range of social contexts: *give feedback on assessments in a culturally sensitive manner.*

Essential embedded knowledge:

The following knowledge is embedded within the unit standard, and will be assessed directly or indirectly through assessment of the specific outcomes in terms of the assessment criteria:

- Principles of assessment – *directly assessed through assessment criterion 1.4, and indirectly assessed via a requirement to apply the principles throughout the standard.*
- Principles and practices of RPL – *directly assessed through assessment criteria 1.2, 2.5 and specific outcome 3, as well as through application in the rest of the standard.*
- Methods of assessment – *directly assessed through assessment criterion 1.3, and indirectly assessed through application of the methods*
- Potential barriers to assessment – *assessed when dealing with special needs.*
- The principles and mechanisms of the NQF – *this knowledge underpins the standard*
- Assessment policies and ETQA requirements
- Moderation requirements

Supplementary information:

Definition of Terms:

The following terms are defined as used within this and related unit standards:

- *assessment:* - a process in which evidence is gathered and evaluated against agreed criteria in order to make a judgement of competence.
- *assessment activities:* - what a candidate does or is involved in as a means of producing evidence e.g. designing things, making things, repairing things, reporting on something, answering questions, solving problems, demonstrating techniques.
- *assessment criteria:* - descriptions of the required type and quality of evidence against which candidates are to be assessed.
- *assessment design:* - the analysis of defined outcomes and standards to produce a detailed description of how an assessment should take place, including all instructions and information regarding the assessment activities and assessment methods. The product of assessment design could be termed an Assessment Guide (see definition below).
- *assessment facilitator (or evidence facilitator):* - a person who works within particular contexts, under the supervision of registered assessors, to help candidates/learners gather, produce and organise evidence for presentation for assessment.
- *Assessment Guide:* - this is a complete package based on a thorough analysis of specified standards, assessment requirements and a particular assessment context. Assessment Guides are designed primarily for use by assessors to conduct an assessment (or possibly a series of related assessments) in terms of a significant and coherent outcome of learning e.g. a unit standard. Assessment Guides address the following key aspects in detail:
 - how will the assessment take place?
 - what is needed to make the assessment happen?
 - how will evidence be gathered, recorded and judged?

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In general, Assessment Guides include descriptions of the approach to the assessment, assessment conditions, assessment activities, instructions to assessors and candidates/learners, assessment methods, assessment instruments (e.g. scenarios, role-plays, questions, tasks), resource requirements, guidance for contextualising assessments, relevant standard operating procedures, administrative procedures, moderation requirements, assessment outcomes and criteria, observations sheets, checklists, possible or required sources of evidence and guidance on expected quality of evidence including exemplars, memoranda or rubrics.

- *assessment method*: - for the most part, assessment methods relate to what an assessor does to gather and evaluate evidence. Assessment methods include observing candidates, questioning candidates, interviewing supervisors/colleagues/managers of candidates, listening to candidates, reviewing written material, testing products.
- *assessment principles*: - see more detailed definitions in next section.
- *candidate/learner*: - person whose performance is being assessed by an assessor. Such people include those who may already be competent, but who seek assessment for formal recognition (candidates), as well as those who may have completed or are in the process of completing learning programmes (learners).
- *candidate-assessor*: - the person who is being assessed against this particular unit standard.
- *evaluative expertise*: - the ability to judge the quality of a performance in relation to specified criteria consistently, reliably and with insight. Evaluative expertise implies deep subject matter understanding and knowledge about the outcomes being assessed at a theoretical and practical level, but does not necessarily include practical competence in the outcome.
- *evidence*: - tangible proof produced by or about individuals, that can be perceived with the senses, bearing a direct relationship to defined outcomes and criteria, based on which judgements are made concerning the competence of individuals. Evidence includes plans, products, reports, answers to questions, testimonials, certificates, descriptions of observed performances, peer review reports.
- *evidence facilitator*: - see assessment facilitator
- *performance*: - includes demonstration of skills, knowledge, understanding and attitudes, and the ability to transfer these to new situations.
- *portfolio of evidence*: - a carefully organised and complete collection of evidence compiled by candidates/learners to prove competence in relation to defined outcomes.
- *RPL* – Recognition of Prior Learning means the comparison of the previous learning and experience of a learner against specified learning outcomes required for:
 - The award of credits for a specified unit standard or qualification,
 - access to further learning,
 - recognition in terms of meeting minimum requirements for a specific job,
 - placement at a particular level in an organisation or institution, or
 - advanced standing or status.

This means that regardless of where, when or how a person obtained the required skills and knowledge, it could be recognised for credits. In this sense, RPL is an important principle of the NQF. RPL involves an assessment process of preparing for RPL, engaging with RPL candidates, gathering evidence, evaluating and judging evidence in relation to defined criteria, giving feedback and reporting results. Given that the all candidates are assessed against the same criteria, credits awarded through RPL are therefore just as valid as credits awarded through any other assessment process.

- *standards-based assessment*: - a planned process for gathering and judging evidence of competence in relation to pre-determined criteria within an outcomes-based paradigm.

Principles of assessment:**METHODS/ACTIVITIES OF ASSESSMENT**

- *Appropriate:* The method of assessment is suited to the outcome being assessed i.e. is capable of gathering evidence in relation to the intended outcome, and not something else.
- *Fair:* The method of assessment does not present any barriers to achievements, which are not related to the achievement of the outcome at hand.
- *Manageable:* The methods used make for easily arranged, cost-effective assessments that do not unduly interfere with learning.
- *Integrated into work or learning:* Evidence collection is integrated into the work or learning process where this is appropriate and feasible. (Often referred to as *naturally occurring evidence*).

EVIDENCE

- *Valid:* The evidence focuses on the requirements laid down in the relevant standard and matches the evidence requirements of the outcome/s at hand under conditions that mirror the conditions of actual performance as closely as possible
- *Current:* The evidence is sufficient proof that the candidate is able to perform the assessment outcomes at the time the assessor declares the candidate competent.
- *Authentic:* The assessor is satisfied that the evidence is attributable to the person being assessed.
- *Sufficient:* The evidence collected establishes that all criteria have been met and that performance to the required standard can be repeated consistently in the future i.e. the performance to standard is not a "once-off".

OVERALL ASSESSMENT PROCESS

- *Systematic:* The overall process ensures assessment is fair, effective, repeatable and manageable.
- *Open:* The process is transparent i.e. assessment candidates understand the assessment process and the criteria that apply and can contribute to the planning and accumulation of evidence.
- *Consistent:* The same assessor would make the same judgement again in similar circumstances and judgements match judgements made on similar evidence.

Notes to assessors:

- Focus the assessment activities on gathering evidence in terms of the main outcome expressed in the title to ensure assessment is integrated rather than fragmented. Where assessment at title level is unmanageable, then focus assessment around each specific outcome, or groups of specific outcomes.
- Make sure evidence is gathered across *the entire range*, wherever it applies. Assessment activities should be as close to the real performance as possible, and where simulations or role-plays are used, there should be supporting evidence to show the candidate is able to perform in the real situation.
- Although evidence must be obtained in terms of all the assessment criteria, do not focus the assessment activities on each assessment criterion. Rather make sure the assessment activities focus on outcomes and are sufficient to enable evidence to be gathered around all the assessment criteria.
- The assessment criteria provide the specifications against which assessment judgements should be made. In most cases, knowledge can be inferred from the quality of the performances, but in other cases, knowledge and understanding will have to be assessed through questioning techniques. Where this is required, there will be assessment criteria to specify the standard required.
- The task of the assessor is to gather sufficient evidence, of the prescribed type and quality, as specified in this unit standard, that the candidate can achieve the outcomes again and again and again. This means assessors will have to judge how many repeat performances are required before they believe the performance is reproducible. This standard has specified the minimum requirement, but assessors may require more within various assessment contexts.
- All assessments should be conducted in line with the assessment principles defined above.

NLRD Number. 7977

Title:	Conduct moderation of assessments
Level:	6
Credit:	10
Field:	Education, Training and Development
Sub-field:	All ETD sub-fields
Issue date:	14 February 2001
Revised:	14 January 2004

Review date:

Purpose:

This unit standard is for people who conduct **internal or external** moderation of assessments against standards, including national curriculum statements, unit standards, exit level outcomes or 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 moderate assessment activities in terms of the relevant standards 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 a standards-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:

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 7978: Conduct standards-based assessments. It is recommended that candidates should achieve NLRD 7976: Design and develop standards-based assessments before attempting this unit standard:

It is further assumed that the person has evaluative expertise within the field in which they are moderating assessments.

Revised: 14 January 2004

Range statements:

1. This is a generic unit standard, and applies to moderation within any field of learning. However, the 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 real 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. It should be noted that although there are standards registered on the NQF that are highly task-orientated and do not demand much, if any, in the way of reflexive competence, these will not be sufficient for measuring competence as a moderator in terms of this unit standard.
2. 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.
3. 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.

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SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA**Specific outcome 1:**

Demonstrate understanding of moderation within the context of a standards-based assessment system.

Assessment criteria:

- 1.1 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.
- 1.2 A variety of moderation systems and 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.
- 1.3 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.

Range:

See "Definition of Terms" for a definition of assessment principles.

- 1.4 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.

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

Range:

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

Assessment criteria:

- 2.1 Planning and preparation activities are aligned with moderation system requirements.
- 2.2 The scope of the moderation is confirmed with relevant parties.
Range:
Parties include the assessors and moderating bodies where these exist.
- 2.3 Planning of the extent and method of the moderation activities ensures manageable moderation. Planning makes provision for sufficient moderation evidence to enable a reliable judgement to be passed on the assessments under review.
- 2.4 The contexts of the assessments under review are clarified with the assessors or assessment agency, and special needs are taken into consideration in the moderation planning.

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- 2.5 Moderation methods and processes are sufficient to deal with all common forms of evidence for the assessments to be moderated, including evidence gathered for recognition of prior learning.
- 2.6 The documentation is prepared in line with the moderation system requirements and in such a way as to ensure moderation decisions are clearly documented.
- 2.7 Required physical and human resources are ensured to be ready and available for use. Logistical arrangements are confirmed with relevant role-players prior to the moderation.

Specific outcome 3:**Conduct moderation.****Range:**

- Moderation to address the design of the assessment, activities before, during and after assessment, and assessment documentation.
- Moderation to include assessments of candidates with special needs and for RPL cases.
- Evidence must be gathered for on-site and off-site moderation.
- Evidence must be shown that candidate-moderators are able to moderate in situations where:
 - the moderation process confirms the assessment results, and where
 - the moderation process finds it cannot uphold the assessment results.

Assessment criteria:

- 3.1 The moderation is conducted in accordance with the moderation plan. Unforeseen events are handled without compromising the validity of the moderation.
- 3.2 The assessment instruments and process are checked and judged in terms of the extent to which the principles of good assessment are upheld.

Range:

See "Definitions of Terms" for definitions of assessment principles.

- 3.3 Moderation confirms that special needs of candidates have been provided for but without compromising the required standards.
- 3.4 The proportion of assessments selected for checking meets the quality assurance body's requirements for consistency and reliability. The use of time and resources is justified by the assessment history or record of the assessors and/or assessment agency under consideration.
- 3.5 Appeals against assessment decisions are handled in accordance with organisational appeal procedures.
- 3.6 The moderation decision is consistent with the quality assurance body's requirements for fairness, validity and reliability of assessments to be achieved.

Range:

requirements include the interpretation of assessment criteria and correct application of assessment procedures.

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Specific outcome 4:**Advise and support assessors.****Assessment criteria:**

- 4.1 The nature and quality of advice facilitates a common understanding of the relevant standards and issues related to their assessment by assessors.
- 4.2 The nature and quality of advice promotes assessment in accordance with good assessment principles and enhances the development and maintenance of quality management systems in line with ETQA requirements.

Range:*See definition of assessment principles under "Supplementary information".**Advice on quality management systems includes planning, staffing, resourcing, training and recording systems.*

- 4.3 All communications are conducted in accordance with relevant confidentiality requirements.

Specific outcome 5:**Report, record and administer moderation.****Assessment criteria:**

- 5.1 Moderation findings are reported to designated role-players within agreed time frames and according to the quality assurance body's requirements for format and content.

Range:*Role-players could include ETQA or Moderating Body personnel, internal or external moderators and assessors.*

- 5.2 Records are maintained in accordance with organisational quality assurance and ETQA requirements.
- 5.3 Confidentiality of information relating to candidates and assessors is preserved in accordance with organisational quality assurance and ETQA requirements.

Specific outcome 6:**Review moderation systems and processes.****Assessment criteria:**

- 6.1 Strengths and weaknesses of moderation systems and processes are identified in terms of their manageability and effectiveness in facilitating judgements on the quality and validity of assessment decisions.
- 6.2 Recommendations contribute towards the improvement of moderation systems and processes in line with ETQA requirements and overall manageability.
- 6.3 The review enhances the credibility and integrity of the recognition system.

Revised: 14 January 2004

Accreditation and moderation:

- A candidate-moderator wishing to be assessed, (including through RPL) against this unit standard may apply to an assessment agency, assessor or provider institution accredited by the relevant ETQA.
- Anyone assessing a candidate-moderator against this unit standard must be registered as an assessor of moderators with the relevant ETQA. In particular, such assessors of candidate-moderators must demonstrate that they assess in terms of the scope and context defined in all the range statements.
- Any institution offering learning towards this unit standard must be accredited as a provider with the relevant ETQA.
- Moderation of assessment will be conducted by the relevant ETQA at its discretion.

NOTES**Critical cross-field outcomes:**

This unit standard addresses the following critical cross-field outcomes:

- Identify and solve problems using critical and creative thinking: *planning for contingencies, candidates with special needs, problems that arise during moderation, suggesting changes to moderation following review.*
- Work effectively in a team using critical and creative thinking: *working with assessors and other relevant parties during moderation, as well as post-moderation.*
- Organize and manage oneself and one's activities: *planning, preparing, conducting and recording the moderation.*
- Collect, analyse, organize and critically evaluate information: *gather, evaluate and judge evidence and the assessment process.*
- Communicate effectively: *communicate with assessors and other relevant parties during moderation, and provide feedback.*
- Demonstrate the world as a set of related systems: *understanding the impact of moderation assessment on individuals, organisations and the credibility of recognition through NQF systems.*
- Be culturally and aesthetically sensitive across a range of social contexts: *plan, conduct and give feedback on moderation in a culturally sensitive manner.*

Essential embedded knowledge:

The following knowledge is embedded within the unit standard, and will be assessed directly or indirectly through assessment of the specific outcomes in terms of the assessment criteria:

- The role and function of moderation – *directly assessed through assessment criterion 1.1 and indirectly assessed throughout the unit standard.*
- Moderation methods – *directly assessed through assessment criterion 1.2 and 2.5, and indirectly assessed through application throughout the standard.*
- Principles of assessment – *directly assessed through assessment criterion 1.3, and indirectly assessed via a requirement to judge whether the principles are applied by assessors.*
- Principles and practices of RPL – *assessed in terms of the requirement for candidate moderators to moderate RPL-related assessments.*
- Methods of assessment – *directly assessed through assessment criterion 1.4, and indirectly when checking the appropriateness and fairness of assessment methods used by assessors*
- Potential barriers to assessment – *assessed when dealing with special needs.*
- The principles and mechanisms of the NQF – *this knowledge underpins the standard*

Revised: 14 January 2004

- Assessment policies and ETQA requirements
- Knowledge of quality assurance policy and procedures
- Understanding of organisational or institutional contexts

Supplementary information:

Definition of Terms:

The following terms are defined as used within this and related unit standards:

- *assessment*: - a process in which evidence is gathered and evaluated against agreed criteria in order to make a judgement of competence.
- *assessment activities*: - what a candidate does or is involved in as a means of producing evidence e.g. designing things, making things, repairing things, reporting on something, answering questions, solving problems, demonstrating techniques.
- *assessment criteria*: - descriptions of the required type and quality of evidence against which candidates are to be assessed.
- *assessment design*: - the analysis of defined outcomes and standards to produce a detailed description of how an assessment should take place, including all instructions and information regarding the assessment activities and assessment methods. The product of assessment design could be termed an Assessment Guide (see definition below).
- *assessment facilitator (or evidence facilitator)*: - a person who works within particular contexts, under the supervision of registered assessors, to help candidates/learners gather, produce and organise evidence for presentation for assessment.
- *Assessment Guide*: - this is a complete package based on a thorough analysis of specified standards, assessment requirements and a particular assessment context. Assessment Guides are designed primarily for use by assessors to conduct an assessment (or possibly a series of related assessments) in terms of a significant and coherent outcome of learning e.g. a unit standard. Assessment Guides address the following key aspects in detail:
 - how will the assessment take place?
 - what is needed to make the assessment happen?
 - how will evidence be gathered, recorded and judged?

In general, Assessment Guides include descriptions of the approach to the assessment, assessment conditions, assessment activities, instructions to assessors and candidates/learners, assessment methods, assessment instruments (e.g. scenarios, role-plays, questions, tasks), resource requirements, guidance for contextualising assessments, relevant standard operating procedures, administrative procedures, moderation requirements, assessment outcomes and criteria, observations sheets, checklists, possible or required sources of evidence and guidance on expected quality of evidence including exemplars, memoranda or rubrics.

- *assessment method*: - for the most part, assessment methods relate to what an assessor does to gather and evaluate evidence. Assessment methods include observing candidates, questioning candidates, interviewing supervisors/colleagues/managers of candidates, listening to candidates, reviewing written material, testing products.
- *assessment principles*: - see more detailed definitions in next section.
- *candidate/learner*: - person whose performance is being assessed by an assessor. Such people include those who may already be competent, but who seek assessment for formal recognition (candidates), as well as those who may have completed or are in the process of completing learning programmes (learners).
- *candidate-assessor*: - the person who is being assessed against this particular unit standard.
- *evaluative expertise*: - the ability to judge the quality of a performance in relation to specified criteria consistently, reliably and with insight. Evaluative expertise implies deep subject matter

understanding and knowledge about the outcomes being assessed at a theoretical and practical level, but does not necessarily include practical competence in the outcome.

- *evidence*: - tangible proof produced by or about individuals, that can be perceived with the senses, bearing a direct relationship to defined outcomes and criteria, based on which judgements are made concerning the competence of individuals. Evidence includes plans, products, reports, answers to questions, testimonials, certificates, descriptions of observed performances, peer review reports.
- *evidence facilitator*: - see assessment facilitator
- *performance*: - includes demonstration of skills, knowledge, understanding and attitudes, and the ability to transfer these to new situations.
- *portfolio of evidence*: - a carefully organised and complete collection of evidence compiled by candidates/learners to prove competence in relation to defined outcomes.
- *RPL* – Recognition of Prior Learning means the comparison of the previous learning and experience of a learner against specified learning outcomes required for:
 - The award of credits for a specified unit standard or qualification,
 - access to further learning,
 - recognition in terms of meeting minimum requirements for a specific job,
 - placement at a particular level in an organisation or institution, or
 - advanced standing or status.

This means that regardless of where, when or how a person obtained the required skills and knowledge, it could be recognised for credits. In this sense, RPL is an important principle of the NQF. RPL involves an assessment process of preparing for RPL, engaging with RPL candidates, gathering evidence, evaluating and judging evidence in relation to defined criteria, giving feedback and reporting results. Given that the all candidates are assessed against the same criteria, credits awarded through RPL are therefore just as valid as credits awarded through any other assessment process.

- *standards-based assessment*: - a planned process for gathering and judging evidence of competence in relation to pre-determined criteria within an outcomes-based paradigm.

Principles of assessment:

METHODS/ACTIVITIES OF ASSESSMENT

- *Appropriate*: The method of assessment is suited to the outcome being assessed i.e. is capable of gathering evidence in relation to the intended outcome, and not something else.
- *Fair*: The method of assessment does not present any barriers to achievements, which are not related to the achievement of the outcome at hand.
- *Manageable*: The methods used make for easily arranged, cost-effective assessments that do not unduly interfere with learning.
- *Integrated into work or learning*: Evidence collection is integrated into the work or learning process where this is appropriate and feasible. (Often referred to as *naturally occurring evidence*).

EVIDENCE

- *Valid*: The evidence focuses on the requirements laid down in the relevant standard and matches the evidence requirements of the outcome/s at hand under conditions that mirror the conditions of actual performance as closely as possible
- *Current*: The evidence is sufficient proof that the candidate is able to perform the assessment outcomes at the time the assessor declares the candidate competent.
- *Authentic*: The assessor is satisfied that the evidence is attributable to the person being assessed.

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- *Sufficient*: The evidence collected establishes that all criteria have been met and that performance to the required standard can be repeated consistently in the future i.e. the performance to standard is not a "once-off".

OVERALL ASSESSMENT PROCESS

- *Systematic*: The overall process ensures assessment is fair, effective, repeatable and manageable.
- *Open*: The process is transparent i.e. assessment candidates understand the assessment process and the criteria that apply and can contribute to the planning and accumulation of evidence.
- *Consistent*: The same assessor would make the same judgement again in similar circumstances and judgements match judgements made on similar evidence.

Notes to assessors:

- Focus the assessment activities on gathering evidence in terms of the main outcome expressed in the title to ensure assessment is integrated rather than fragmented. Where assessment at title level is unmanageable, then focus assessment around each specific outcome, or groups of specific outcomes.
- Make sure evidence is gathered across *the entire range*, wherever it applies. Assessment activities should be as close to the real performance as possible, and where simulations or role-plays are used, there should be supporting evidence to show the candidate is able to perform in the real situation.
- Although evidence must be obtained in terms of all the assessment criteria, do not focus the assessment activities on each assessment criterion. Rather make sure the assessment activities focus on outcomes and are sufficient to enable evidence to be gathered around all the assessment criteria.
- The assessment criteria provide the specifications against which assessment judgements should be made. In most cases, knowledge can be inferred from the quality of the performances, but in other cases, knowledge and understanding will have to be assessed through questioning techniques. Where this is required, there will be assessment criteria to specify the standard required.
- The task of the assessor is to gather sufficient evidence, of the prescribed type and quality, as specified in this unit standard, that the candidate can achieve the outcomes again and again and again. This means assessors will have to judge how many repeat performances are required before they believe the performance is reproducible. This standard has specified the minimum requirement, but assessors may require more within various assessment contexts.
- All assessments should be conducted in line with the assessment principles defined above.

Title:	Design and develop standards-based assessments
Level:	6
Credit:	10
Field:	Education, Training and Development
Sub-field:	All ETD sub-fields
Issue date:	14 February 2001
Revised:	14 January 2004

Review date:**Purpose:**

This unit standard is for people who design and develop assessments to facilitate consistent, credible, reliable, fair, and unbiased assessments against given standards, including national curriculum statements, unit standards, exit level outcomes or 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 standards-based assessment,
- design assessments based on an analysis of standards and assessment contexts,
- develop assessment activities,
- develop assessment guides, and
- evaluate assessment designs and guides.

Learning assumed to be in place:

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

- have already achieved unit standard NLRD 7978: Conduct standards-based assessment, or equivalent,
- are competent in the relevant field in which they are designing assessments, or have access to subject matter experts, and
- are able to analyse and interpret the relevant standards.

Range statement:

This is a generic assessment unit standard, and candidates can be assessed within any field of learning in line with their subject matter expertise.

1. This is a generic assessment unit standard, and candidates can design and develop assessments within any field of learning in line with their subject matter expertise. For the purposes of assessment of this unit standard, candidates should have access to the relevant standards 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 10 credits (or the equivalent of 10 credits). This means the candidate can design an assessment for a single standard worth 12 credits or more, or for a number of smaller standards collectively worth 10 credits.
 - The standard/s selected for design of assessments require assessment in relation to significant, meaningful and coherent outcome statements 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. As a general guide, the standards selected should carry at least 4 credits each or the equivalent. Single-task assessments will not be valid for awarding this unit standard. Standards 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-assessors should select a standard that enables them to meet the requirement laid out here.
 - At least three assessment activities are designed in detail illustrating three different assessment methods.
 - Candidates produce evidence that they can design 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.

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

SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA

Specific outcome 1:

Demonstrate understanding of design principles of standards-based assessment.

Assessment criteria:

- 1.1 Standards-based and traditional approaches to assessment design are contrasted in terms of key similarities, differences, advantages and disadvantages.
Range:
Similarities and differences include assessment methodology, advantages to learners, employers and institutions, impact on learners and assessors, and means of reporting results.
- 1.2 Key differences are identified in the approach to designing assessments for RPL-candidates and for programme-based assessments.
- 1.3 Different assessment methods are described and justified in relation to particular contexts, and their advantage over other possible options.
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.
- 1.4 Key principles of assessment are described and illustrated in terms of their impact on assessment design, and ultimately assessment practice and results.
Range:
See "Definition of Terms" for a definition of principles of good assessment principles.
- 1.5 Scenarios are provided to illustrate the manner in which questioning approaches impact on the validity of assessments.
Range:
Open versus closed questions, leading questions, probing questions

Specific outcome 2:

Design assessments based on an analysis of standards and assessment contexts

Range:

"Standards" could include national curriculum statements, assessment standards, unit standards, exit level outcomes, qualifications, or any other documents which define outcomes to be assessed and the criteria based on which judgements of competence are to be made.

Assessment criteria:

- 2.1 The design addresses the need for cost-effectiveness and takes into account the results of previous assessments, special needs of candidates, assessment contexts, the accessibility and safety of the environment and contingencies.
- 2.2 Assessment activities, instruments and resources selected are appropriate to the outcomes to be assessed and the assessment candidates, and have the potential to enable valid and sufficient evidence collection. The design accommodates the possibility of RPL.

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- 2.3 Potential unfair barriers to achievement by candidates are identified and the design addresses such barriers without compromising the validity of the assessment.
Range:
Unfair barriers could relate to issues such as language or disabilities.
- 2.4 The design ensures holistic, integrated and comprehensive assessment using a range of potential sources and types of evidence.
- 2.5 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.
Range:
Naturally occurring evidence refers to evidence gathered during the normal course of actual work or performance.

Specific outcome 3:**Develop assessment activities.***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: fixed and open response, written and oral items.*
- *Value and attitudinal orientation*

Assessment criteria:

- 3.1. The activities facilitate the production of valid, sufficient, authentic and current evidence, matching the requirements of the given standard.
- 3.2 Activities promote integrated assessment as far as possible and enable combinations of outcomes to be assessed simultaneously where possible.
- 3.3 The activities are appropriate, fair and manageable, and are consistent with the defined purpose of the assessment, including the possibility of RPL.
Range:
See "Definition of Terms" for a definition of appropriate, fair and manageable.
- 3.4 Communication intended for candidates is appropriate to the candidates and assessment context, and provides clear direction without influencing candidates towards particular responses.
- 3.5 The activities are described in sufficient detail to facilitate effective and efficient assessments, but with sufficient opportunities for assessors to adapt and contextualise the activities as required within the assessment context. Where appropriate, guidance is provided for contextualising the activities.
- 3.6 Activities meet cost and time requirements and any other constraints within the assessment context.
- 3.7 Time allocated for the activities is realistic, can be justified in terms of the requirements of the standards and is sufficient for the nature of the performances being assessed.

Specific outcome 4:**Develop assessment guides.****Assessment criteria:**

- 4.1. The guide contains all the details needed by assessors to conduct assessments in line with defined assessment principles.

Range:

Details concerning at least: the approach to assessment, outcomes to be assessed; types and quality of evidence to be collected (including cognitive, affective and psychomotor); assessment methods to be used; resources required; conditions of assessment; timing of assessment; time-limits where applicable, sequence and schedules of activities; accountabilities; deadlines; relevant standard operating procedures, administrative procedures, moderation arrangements, and instructions to assessors, candidates, and support personnel.

- 4.2. The guide provides clear details of the assessment activities in line with the assessment design, so as to facilitate fair, reliable and consistent assessments by assessors. The activities are presented in a form that allows for efficient communication of requirements.
- 4.3. The structure of the guide promotes efficient and effective assessment. It further facilitates the recording of data before, during and after the assessment for purposes of record keeping, assessment judgements and moderation of assessment.
- 4.4. The guide includes all support material and/or references to support material, including observations sheets, checklists, possible or required sources of evidence and guidance on expected quality of evidence including exemplars, memoranda or rubrics as applicable.
- 4.5. The guide makes provision for review of the assessment design, and is presented in a format consistent with organisational quality assurance requirements.

Specific outcome 5:**Evaluate assessment designs and guides.****Range:**

Candidates to provide evidence of the ability to identify and make recommendations on strengths and weaknesses of assessment guides

Assessment criteria:

- 5.1. Methods are appropriate and sufficient to evaluate the quality of the assessment design and guides in relation to good assessment principles and the intention of the assessment reflected in the standards.
- 5.2. The evaluation results are described and justified in terms of the principles of good assessment and based on evidence from a variety of sources, including empirical data, moderation findings and stakeholder feedback.
- 5.3. Recommendations contribute towards the improvement of assessment design and guides to facilitate assessments in line with the requirements of the given standards and the purposes of the assessment.

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- 5.4 The evaluation is carried out in line with quality assurance requirements, including moderation requirements, and contributes towards enhancing the credibility and integrity of the recognition system.

Accreditation and moderation:

- A candidate-assessor wishing to be assessed, (including through RPL) against this unit standard may apply to an assessment agency, assessor or provider institution accredited by the relevant ETQA.
- Anyone assessing a candidate-designer against this unit standard must be registered as an *assessor of assessment design* with the relevant ETQA. In particular, such assessors must demonstrate that they assess in terms of the scope and context defined in all the range statements.
- Any institution offering learning towards this unit standard must be accredited as a provider with the relevant ETQA.
- Moderation of assessment will be conducted by the relevant ETQA at its discretion.

NOTES**Critical cross-field outcomes:**

This unit standard addresses the following critical cross-field outcomes:

- Identify and solve problems using critical and creative thinking: *planning for contingencies, candidates with special needs, problems that could arise during assessment, suggesting changes to assessment following evaluation of the design.*
- Organize and manage oneself and one's activities: *planning the assessment, assessment activities and assessment guide.*
- Collect, analyse, organize and critically evaluate information: *determine evidence requirements and sources, evaluate the quality of assessment guides.*
- Communicate effectively: *communicate all assessment requirements and processes in writing.*
- Demonstrate the world as a set of related systems: *understanding the impact of assessment on individuals and organisations.*
- Be culturally and aesthetically sensitive across a range of social contexts: *plan and design assessments in a culturally sensitive manner.*

Essential embedded knowledge:

The following knowledge is embedded within the unit standard, and will be assessed directly or indirectly through assessment of the specific outcomes in terms of the assessment criteria:

- Principles of assessment – *directly assessed through assessment criterion 1.4, and indirectly assessed via a requirement to apply the principles throughout the standard.*
- Principles and practices of RPL – *directly assessed through assessment criteria 1.2, 2.2 and 3.3, as well as through application in the rest of the standard.*
- Methods of assessment – *directly assessed through assessment criterion 1.3, and indirectly assessed through application of the methods when designing activities, Specific outcome 3.*
- Potential barriers to assessment – *assessed when dealing with special needs.*
- The principles and mechanisms of the NQF – *this knowledge underpins the standard*
- Assessment policies and ETQA requirements
- Moderation requirements

Supplementary information:Definition of Terms:

The following terms are defined as used within this and related unit standards:

- *assessment*: - a process in which evidence is gathered and evaluated against agreed criteria in order to make a judgement of competence.
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This means that regardless of where, when or how a person obtained the required skills and knowledge, it could be recognised for credits. In this sense, RPL is an important principle of the NQF. RPL involves an assessment process of preparing for RPL, engaging with RPL candidates, gathering evidence, evaluating and judging evidence in relation to defined criteria, giving feedback and reporting results. Given that the all candidates are assessed against the same criteria, credits awarded through RPL are therefore just as valid as credits awarded through any other assessment process.

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- *Appropriate*: The method of assessment is suited to the outcome being assessed i.e. is capable of gathering evidence in relation to the intended outcome, and not something else.
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EVIDENCE

- *Valid*: The evidence focuses on the requirements laid down in the relevant standard and matches the evidence requirements of the outcome/s at hand under conditions that mirror the conditions of actual performance as closely as possible
- *Current*: The evidence is sufficient proof that the candidate is able to perform the assessment outcomes at the time the assessor declares the candidate competent.
- *Authentic*: The assessor is satisfied that the evidence is attributable to the person being assessed.
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OVERALL ASSESSMENT PROCESS

- *Systematic*: The overall process ensures assessment is fair, effective, repeatable and manageable.
- *Open*: The process is transparent i.e. assessment candidates understand the assessment process and the criteria that apply and can contribute to the planning and accumulation of evidence.

NLRD Number: 7976

- *Consistent*: The same assessor would make the same judgement again in similar circumstances and judgements match judgements made on similar evidence.

Notes to assessors:

- Focus the assessment activities on gathering evidence in terms of the main outcome expressed in the title to ensure assessment is integrated rather than fragmented. Where assessment at title level is unmanageable, then focus assessment around each specific outcome, or groups of specific outcomes.
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- Although evidence must be obtained in terms of all the assessment criteria, do not focus the assessment activities on each assessment criterion. Rather make sure the assessment activities focus on outcomes and are sufficient to enable evidence to be gathered around all the assessment criteria.
- The assessment criteria provide the specifications against which assessment judgements should be made. In most cases, knowledge can be inferred from the quality of the performances, but in other cases, knowledge and understanding will have to be assessed through questioning techniques. Where this is required, there will be assessment criteria to specify the standard required.
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Established in terms of Act 58 of 1995

SOUTH AFRICAN QUALIFICATIONS AUTHORITY (SAQA)

In accordance with regulation 24(c) of the National Standards Bodies Regulations of 28 March 1998, the Standards Generating Body (SGB) for

Measurement, Control and Instrumentation

Registered by NSB 06, Manufacturing, Engineering and Technology, publishes the following unit standard for public comment.

This notice contains the titles, fields, sub-fields, NQF levels, credits, and purpose of the unit standard. The unit standards can be accessed via the SAQA web-site at www.saga.org.za. Copies may also be obtained from the Directorate of Standards Setting and Development at the SAQA offices, 1067 Arcadia Street, Hatfield Forum West, Hatfield

Comment on the unit standards should reach SAQA at the address *below and no later than 1 March 2004*. All correspondence should be marked **Standards Setting – SGB for Measurement, Control and Instrumentation** and addressed to

The Director: Standards Setting and Development
SAQA

Attention: Mr. D Mphuthing

Postnet Suite 248

Private Bag X06

Waterkloof

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or faxed to 012 – 431-5144

e-mail: dmphuthing@saga.co.za

JOE SAMUELS

DIRECTOR: STANDARDS SETTING AND DEVELOPMENT

SOUTH AFRICAN QUALIFICATIONS AUTHORITYEstablished in terms of Act 38 of 1995**National Certificate in Measurement, Control and Instrumentation: Level 3****Field: Manufacturing, Engineering and Technology****Sub-field: Engineering and Related Design****Level: 3****Credits: 175****Issue date****Review date****Rationale**

The need for this qualification has been established by this economic sector. This qualification is aimed at learners who wish to enter this field of economic activity as well as learners who are already in this field and have gained experience in this sub field and wish to receive formal recognition of their experience. This qualification serves as an entry level for learners who wish to follow this career path and forms the basis for further development.

Purpose

Qualifying learners will gain competencies that will promote professionalism in this sub field by being able to:

- Maintain field instrumentation by using test equipment
- Apply electronic principles in the Measurement, Control and Instrumentation environment
- Read, record, analyse and report readings/measurements
- Calibrate, isolate, de-isolate, install and maintain field instruments.

Access to the qualification

This qualification series recognizes skills knowledge and values relevant to a workplace. It is designed for learners who;

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- have acquired the skills and knowledge without attending formal courses or training.
- are part of a learnership / skills programme which integrates structured learning and work experience.
- have attended courses or training sessions and then apply the knowledge and skills gained to activities in the workplace initiatives.
- have full physical mobility as the Measurement, Control and Instrumentation environment is physically demanding.
- do not suffer from colour blindness which will require testing for, in order to safeguard industry and the learner.

Learning assumed to be in place

- This qualification assumes that the candidate has a NQF Level 2 Certificate in Measurement Control and Instrumentation.

or

The candidate must prove competence in terms of the NQF Level 2 qualification and learning in preparation for this qualification should include the aspects of:

- Language and mathematical literacy and numeracy.
- Science and Measurement Control and Instrumentation technology.
- Teamwork.
- Dexterity and technical aptitude.

Qualifying candidates will have the ability to:

- Articulate to the level 4 qualification.
- Perform maintenance tasks.

Preamble

Measurement, Control and Instrumentation equipment will refer to flow, temperature, level and pressure field instrumentation. In order to demonstrate an understanding, the learner is given an application, which, if successfully carried out will demonstrate the knowledge component. This application must include the safe handling of the above-mentioned equipment.

Exit Level Outcomes and Assessment Criteria**Exit Level Outcome 1**

The ability to plan for and maintain field instruments by using test equipment.

Associated Assessment Criteria

- ❑ Demonstrate an understanding of the planning for maintaining field instruments and test equipment
- ❑ Demonstrate an understanding of safe working conditions when maintaining field instruments and test equipment.
- ❑ Demonstrate an understanding of how to remove and install field instruments.

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- ❑ Demonstrate an understanding of how to calibrate field instruments by using test equipment.

Exit Level Outcome 2

The ability to apply electronic principles during the development/design of electronic circuits.

Associated Assessment Criteria

- ❑ Plan to construct basic electronic circuit in terms of equipment & components required.
- ❑ Construct basic electronic circuits as per electronic schematic diagrams.
- ❑ Test and commission the electronic circuits as per design specifications.
- ❑ Ensure work place is cleaned and design equipment appropriately stored.

Exit Level Outcome 3

Work effectively with others as a member of a team.

Associated Assessment Criteria

- ❑ Demonstrate the ability to communicate with peers and members of supervisory/management levels in spoken or written form.
- ❑ Adapt speech to accommodate socio-cultural sensitivities without losing own meaning.
- ❑ Organise and present Measurement, Control and Instrumentation information in a focused and coherent manner.
- ❑ Relationships with peers and supervisory/management levels are established and functioning.

Exit Level Outcome 4

Basic operation of Programmable Logic Controllers

Associated Assessment Criteria

- ❑ Demonstrate an understanding of the input/output peripherals of a programmable logic controller.
- ❑ Demonstrate an understanding of field devices interfaced to programmable logic controllers.
- ❑ Demonstrate an understanding of the processor in a programmable logic controller.
Demonstrate an understanding of the back plane and power supply of a programmable logic controller.
- ❑ Demonstrate an understanding of the programming terminal.

Associated assessment criteria

The assessment criteria of the qualification are embodied in the Unit Standards. The depths of technical expertise that will be assessed across the various specialist contexts

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are clearly articulated in the relevant specific outcomes, assessment criteria and range statements within these unit standards.

International Comparability

This qualification was compared with the New Zealand Qualifications Authority National Certificate in Industrial Measurement and Control and the Certificate III in Electro-technology – Instrumentation registered on the Australian NQF. In terms of specific outcomes, assessment criteria, notional hours and degree of difficulty and the qualifications compare favorably.

Integrated assessment

Integrated assessment at the level of the qualification provides an opportunity for learners to show they are able to integrate concepts, actions and ideas achieved across a range of unit standards and contexts. Integrated assessment must evaluate the quality of observable performance as well as the thinking behind the performance.

Some assessment aspects will demand practical demonstration while others may not. In some cases inference will be necessary to determine competence depending on the nature and context within which performance takes place.

Since this is a foundational qualification, it is necessary to ensure that the fundamental part of the qualification is also targeted to ensure that while the competence may have been achieved in a particular context, learners are able to apply it in a range of other contexts and for further learning. The assessment should also ensure that all the critical cross-field outcomes have been achieved.

Recognition of Prior Learning:

This qualification may be obtained through RPL. The learner should be thoroughly briefed on the mechanism to be used and support and guidance should be provided. Care should be taken that the mechanism used provides the learner with an opportunity to demonstrate competence and is not so onerous as to prevent learners from taking up the RPL option towards gaining a qualification.

Articulation Possibilities

This is the second qualification in a series from NQF level 2 through NQF level 3, 4 and 5. This series of qualifications can articulate directly to learning programmes and qualifications in the Measurement, Control and Instrumentation field. It also opens the possibility for further learning in the sub-field of Engineering and related design.

Accreditation and moderation

- A person assessing a learner or moderating the assessment of a learner against this Qualification must be registered as an assessor with the relevant ETQA
- Any institution offering learning that will enable the achievement of this Qualification must be accredited as a provider with the relevant ETQA
- Assessment and moderation of assessment will be overseen by the relevant ETQA according to the ETQAs policies and guidelines for assessment and

SOUTH AFRICAN QUALIFICATIONS AUTHORITY

moderation; in terms of agreements reached around assessment and moderation between ETQAs (including professional bodies); and in terms of the moderation guideline.

- Moderation must include both internal and external moderation of assessments at exit points of the qualification, unless ETQA policies specify otherwise. Moderation should also encompass achievement of the competence described both in individual unit standards, exit level outcomes as well as the integrated competence described in the qualification

Criteria for the registration of Assessors

All assessors need to be Subject Matter Experts, qualified one level higher than the level of this qualification and registered with the relevant ETQA

SOUTH AFRICAN QUALIFICATIONS AUTHORITY

National Certificate in Measurement, Control and Instrumentation (NQF level 3)

Classification	Unit Standard Titles	NLRD	Level	Credits	Total
Fundamental	Communication and Language Studies				36
	Accommodate audience and context needs in oral communication	8968	3	5	
	Interpret and use information from text	8969	3	5	
	Write text for a range of communicative context	8970	3	5	
	Use the writing process to compose texts required in the business environment	12153	4	5	
	Mathematics and Science				
	Use mathematics to investigate and monitor financial aspects of personal and business issues	9011	3	5	
	Investigate life and work related problems using data and probability	9012	3	5	
	Describe, apply and calculate shape and motion in two and three-dimensional space in different contexts.	9013	3	4	
	Demonstrate understanding of different number bases and measurement units and an awareness of error in the context of relevant calculations	9010	3	2	
	Sub-total				36
Core	Use personal computer operating system.	7548	2	3	103
	Maintain pressure equipment		3	7	
	Maintain temperature equipment		3	7	
	Maintain equipment associated with Final Control Elements		3	7	
	Maintain level equipment		3	7	
	Maintain flow equipment		3	7	
	Demonstrate Fault finding techniques on Field Instrumentation.		3	8	
	Read and interpret instrumentation drawings		3	4	
Core contd.	Select, inspect, use and maintain Measurement, Test and Calibration equipment		3	8	
	Construct & test basic electronic circuits	10270	2	16	
	Construct and test advanced electronic circuits (Digital Electronics)		4	16	
	Demonstrate an understanding of basic programmable logic controllers		3	6	

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Elective	Install, test and maintain a basic hydraulic system		3	10	36
	Install, test and maintain a basic pneumatic system		3	10	
	Maintain recorders		3	7	
	Maintain analytical equipment		3	7	
	Maintain intrinsically safe apparatus	10630	2	2	
	Total				175
Total Credits					Min. of 149 Credits

TITLE: Maintain pressure equipment

FIELD: Manufacturing Engineering and Technology

SUBFIELD: Engineering and related design

UNIT STANDARD ID:

NQF LEVEL: 3

CREDITS: 7

PURPOSE OF THE UNIT STANDARD

This unit standard is for persons in the Manufacturing Engineering and Technology field.

A person credited with this unit standard will be able to:

Remove, calibrate and install Pressure equipment

This unit standard will contribute to the full development of the learner within the Measurement Control and Instrumentation environment by providing recognition, further mobility and transportability within the field of Manufacturing Engineering and Technology. The skills, knowledge and understanding demonstrated within this unit standard are essential for social and economic transformation and upliftment within the Measurement Control and Instrumentation environment.

LEARNING ASSUMED TO BE IN PLACE

The following knowledge, skills attitude and / or equivalent:

Safety procedures according to statutory and manufacturer requirements

Principles of Pressure measurement

Types of Pressure measurement

Calculations and units of measurement used in Pressure measurement

Physical properties of the product being measured

UNIT STANDARD RANGE

Pressure measurement principles includes but is not limited to strain gauges and capacitance sensors.

The range of pressure equipment includes but is not limited to pressure gauges, pressure switches and pressure indicators.

Maintaining pressure equipment includes isolation, removal, calibration, installation and commissioning.

Safety precautions include the use of all personal protective equipment, electrical and fire protection

Statutory requirements include but are not limited to SANS and OSH Act and manufacturers specifications.

Specific Outcomes and Assessment Criteria:

SPECIFIC OUTCOME 1

Plan and prepare to isolate and de-isolate pressure equipment.

ASSESSMENT CRITERIA

1. Job requirements are correctly interpreted according to instructions and/or instrumentation diagrams
2. Tools and equipment are correctly selected according to job requirement
3. The location for the isolation of pressure equipment is correctly identified
4. Authorization for access to restricted areas is obtained from the relevant personnel
5. The correct safety equipment and material required is obtained from the appropriate sources
6. The working schedule is effectively communicated to all affected parties

SPECIFIC OUTCOME 2

Isolate and remove pressure equipment

ASSESSMENT CRITERIA

1. The area where isolation is to be carried out is correctly prepared for the isolation procedure
2. The correct tools are selected and used according to the job requirements
3. The process associated with Measurement, Control and Instrumentation and electrical equipment is correctly identified and isolated according to the isolation procedure

4. All safety precautions are adhered to before, during and after the isolation and removal procedure
5. The pressure equipment is correctly removed in accordance with manufacturers procedures

SPECIFIC OUTCOME 3

Calibrate pressure equipment.

ASSESSMENT CRITERIA

1. The correct calibration, test equipment and relevant manuals/data sheets are selected for the calibration procedure
2. The correct tools are selected and used according to the job requirements
3. The calibration, test and pressure equipment is correctly prepared for the calibration process
4. The pressure equipment is calibrated within the tolerances specified by the manufactures calibration manuals
5. The calibration sheets and associated documentation is accurately completed

SPECIFIC OUTCOME 4

Install, de-isolate and commission the pressure equipment.

ASSESSMENT CRITERIA

- 1 The pressure equipment is installed in the correct location as per Measurement, Control and Instrumentation drawing
- 2 The process associated with Measurement, Control and Instrumentation and electrical equipment is correctly de-isolated according to the de-isolation procedures
3. All safety precautions are adhered to before, during and after the installation, de-isolation and commissioning process
4. The correct operation of the pressure equipment is verified according to the workplace operating instructions and Measurement, Control and Instrumentation drawing

SPECIFIC OUTCOME 5

Establish normal conditions after maintenance of pressure equipment

ASSESSMENT CRITERIA

- 1 The waste is disposed of correctly according to workplace and manufacturers instructions taking environmental awareness into account.
- 2 All tools and equipment are checked, cleaned and correctly stored as per workplace and manufacturers procedures
- 3 The workplace is restored to original state as per housekeeping standards and work site procedures
- 4 All documentation is accurately completed and filed or submitted to the relevant personnel

UNIT STANDARD ACCREDITATION AND MODERATION OPTIONS

Anyone assessing a learner against this unit standard must be registered as an assessor with the relevant ETQA.

Any institution offering learning that will enable achievement of this unit standard must be accredited as a provider through the relevant ETQA by SAQA.

Moderation of assessment will be overseen by the relevant ETQA according to the moderation guidelines in the relevant qualification and the agreed ETQA procedures.

UNIT STANDARD ESSENTIAL EMBEDDED KNOWLEDGE

Workshop procedures including house keeping practices according to statutory requirements.

Specific work site safety practices relating to the use of pressure equipment including the use of personal protective equipment, electrical and fire protection.

Names, locations and functions of Pressure equipment and their accessories.

Hazards and preventive precautions associated with Pressure equipment.

Company quality standards.

CRITICAL CROSS-FIELD OUTCOMES (CCFO):**UNIT STANDARD CCFO IDENTIFYING**

Identification and problem solving skills - faulty equipment identified and reported.

UNIT STANDARD CCFO WORKING

Work effectively with others - working under supervision.

UNIT STANDARD CCFO COMMUNICATING

Communication skills - reporting faulty pressure equipment and interpreting job requirements.

TITLE: Maintain temperature equipment

FIELD: Manufacturing Engineering and Technology

SUBFIELD: Engineering and related design

UNIT STANDARD ID:

Level: 3

CREDITS: 7

PURPOSE OF THE UNIT STANDARD

This unit standard is for persons in the Manufacturing Engineering and Technology field.

A person credited with this unit standard will be able to:

Maintain Temperature equipment

This unit standard will contribute to the full development of the learner within the Measurement Control and Instrumentation environment by providing recognition, further mobility and transportability within the field of Manufacturing Engineering and Technology. The skills, knowledge and understanding demonstrated within this unit standard are essential for social and economic transformation and upliftment within the Measurement Control and Instrumentation environment.

LEARNING ASSUMED TO BE IN PLACE

The following knowledge, skills attitude and / or equivalent:

Safety procedures according to statutory and manufacturer requirements

Principles of temperature measurement

Types of temperature measurement

Calculations and units of measurement used in temperature measurement

Physical properties of the product being measured

UNIT STANDARD RANGE

Temperature measurement principles includes but is not limited to resistive, radiation, electrical and expansion of liquids.

The range of temperature equipment includes but is not limited to temperature switches, temperature transmitters, temperature gauges, temperature probes.

Maintaining temperature equipment includes isolation, removal, calibration, installation and commissioning.

Safety precautions include the use of all personal protective equipment, electrical and fire protection

Statutory requirements include but are not limited to SANS and OSH Act and manufacturers specifications.

SPECIFIC OUTCOMES AND ASSESSMENT CRITERIA:

SPECIFIC OUTCOME 1

Plan and prepare to isolate and de-isolate temperature equipment.

ASSESSMENT CRITERIA

1. Job requirements are correctly interpreted according to instructions and/or instrumentation diagrams
2. Tools and equipment are correctly selected according to job requirement
3. The location for the isolation of temperature equipment is correctly identified
4. Authorisation for access to restricted areas is obtained from the relevant personnel
5. The correct safety equipment and material required is obtained from the appropriate sources
6. The working schedule is effectively communicated to all affected parties

SPECIFIC OUTCOME 2

Isolate and remove temperature equipment

ASSESSMENT CRITERIA

1. The area where isolation is to be carried out is correctly prepared for the isolation procedure
2. The correct tools are selected and used according to the job requirements
3. The process associated with Measurement, Control and Instrumentation and electrical equipment is correctly identified and isolated according to the isolation procedure

4. All safety precautions are adhered to before, during and after the isolation and removal procedure
5. The temperature equipment is correctly removed in accordance with manufacturers procedures

SPECIFIC OUTCOME 3

Calibrate temperature equipment.

ASSESSMENT CRITERIA

1. The correct calibration, test equipment and relevant manuals/data sheets are selected for the calibration procedure
2. The correct tools are selected and used according to the job requirements
3. The calibration, test and temperature equipment is correctly prepared for the calibration process
4. The temperature equipment is calibrated within the tolerances specified by the manufactures calibration manuals
5. The calibration sheets and associated documentation is accurately completed

SPECIFIC OUTCOME 4

Install, de-isolate and commission the temperature equipment.

ASSESSMENT CRITERIA

- 1 The temperature equipment is installed in the correct location as per Measurement, Control and Instrumentation drawing
- 2 The process associated with Measurement, Control and Instrumentation and electrical equipment is correctly de-isolated according to the de-isolation procedures
3. All safety precautions are adhered to before, during and after the installation, de-isolation and commissioning process
4. The correct operation of the temperature equipment is verified according to the workplace operating instructions and Measurement, Control and Instrumentation drawing

SPECIFIC OUTCOME 5

Establish normal conditions after maintenance of temperature equipment

ASSESSMENT CRITERIA

- 1 The waste is disposed of correctly according to workplace and manufacturers instructions taking environmental awareness into account.
- 2 All tools and equipment are checked, cleaned and correctly stored as per workplace and manufacturers procedures
- 3 The workplace is restored to original state as per housekeeping standards and work site procedures
- 4 All documentation is accurately completed and filed or submitted to the relevant personnel

UNIT STANDARD ACCREDITATION AND MODERATION OPTIONS

Anyone assessing a learner against this unit standard must be registered as an assessor with the relevant ETQA.

Any institution offering learning that will enable achievement of this unit standard must be accredited as a provider through the relevant ETQA by SAQA.

Moderation of assessment will be overseen by the relevant ETQA according to the moderation guidelines in the relevant qualification and the agreed ETQA procedures.

UNIT STANDARD ESSENTIAL EMBEDDED KNOWLEDGE

Workshop procedures including house keeping practices according to statutory requirements.

Specific work site safety practices relating to the use of temperature equipment including the use of personal protective equipment, electrical and fire protection.

Names, locations and functions of temperature equipment and their accessories.

Hazards and preventive precautions associated with temperature equipment.

Company quality standards.

CRITICAL CROSS-FIELD OUTCOMES (CCFO):

UNIT STANDARD CCFO IDENTIFYING

Identification and problem solving skills - faulty equipment identified and reported.

UNIT STANDARD CCFO WORKING

Work effectively with others - working under supervision.

UNIT STANDARD CCFO COMMUNICATING

Communication skills - reporting faulty temperature equipment and interpreting job requirements.

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