

# ASSESSMENT GUIDE FOR ASSESSORS & FACILITATORS

## Food Safety

### Level 4

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|                       |        |                                                                                               |   |                 |   |                        |    |
|-----------------------|--------|-----------------------------------------------------------------------------------------------|---|-----------------|---|------------------------|----|
| <b>Title:</b>         |        | <b>Implement a Food Safety and Quality Management System in the Agricultural Supply Chain</b> |   |                 |   |                        |    |
| <b>Applied Title:</b> |        | <b>Implement a Food Safety and Quality Management System in the Citrus Supply Chain</b>       |   |                 |   |                        |    |
| <b>Field:</b>         |        | Agriculture and Nature Conservation                                                           |   |                 |   |                        |    |
| <b>Sub-Field:</b>     |        | Primary Agriculture                                                                           |   |                 |   |                        |    |
| <b>SETA (SGB):</b>    |        | AgriSETA                                                                                      |   |                 |   |                        |    |
| <b>Skills Area:</b>   |        | Food Safety                                                                                   |   |                 |   |                        |    |
| <b>Context:</b>       |        | Citrus Production                                                                             |   |                 |   |                        |    |
| <b>US No:</b>         | 116278 | <b>Level:</b>                                                                                 | 4 | <b>Credits:</b> | 3 | <b>Notional Hours:</b> | 30 |
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Based on the Production Guidelines of:



Supported by:



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# Table of Contents

Directions ..... 4

Step 1 ..... 5

Step 2 ..... 6

Step 3 ..... 7

Step 4 ..... 8

Step 5 ..... 9

Step 6 ..... 20

Step 7 ..... 21

Step 8 ..... 24

Step 9 ..... 25

Step 10 ..... 33



## Directions

**Please Note:** There is a separate assessment guide for the learner. The learner must use this guide to prepare himself / herself for the assessment.

This assessment guide contains all necessary activities and instructions that will enable the assessor and learner to gather evidence of the learner's competence as required by the unit standard. This guide was designed to be used by a trained and accredited assessor who is registered to assess this specific unit standard as per the requirements of the AgriSETA ETQA.

Prior to the delivery of the program the facilitator and assessor must familiarise themselves with content of this guide, as well as the content of the assessment guide for learners.

The assessor, facilitator and learner must plan the assessment process together, in order to offer the learner the maximum support, and the opportunity to reflect competence.

The policies and procedures that are applicable during the execution of this assessment are available on the website of the Citrus Academy, contained in a document named Policies and Procedures for Assessment, and must be strictly adhered to. The assessor must familiarise himself with this document before proceeding.

This guide provides step-by-step instructions for the assessment process of:

|               |        |               |   |                 |   |
|---------------|--------|---------------|---|-----------------|---|
| <b>US No:</b> | 116278 | <b>Level:</b> | 4 | <b>Credits:</b> | 4 |
|---------------|--------|---------------|---|-----------------|---|

The step-by-step instructions agree and are conducted in concert with the steps described in the learner assessment guide. The steps are as follows:

| <b>Step</b> | <b>Description</b>                                       | <b>Timeframe</b>                                                 |
|-------------|----------------------------------------------------------|------------------------------------------------------------------|
| 1           | Learner Assessment Contract                              | Before delivery of program                                       |
| 2           | Learner Declaration of Authenticity                      | Before delivery of program                                       |
| 3           | Diagnostic Assessment of Learning Assumed to be in Place | Before delivery of program                                       |
| 4           | Assessment Plan for Gathering of Evidence                | Before delivery of program                                       |
| 5           | Learner Formative Assessment Activities                  | During delivery of program, assessment after delivery of program |
| 6           | Portfolio of Evidence                                    | After delivery of program                                        |
| 7           | Integrated Summative Assessment Tool                     | After delivery of program                                        |
| 8           | Re-assessment Procedures                                 | After completion of assessment                                   |
| 9           | Documentation                                            | After completion of assessment                                   |
| 10          | Administration and Completion of Portfolio of Evidence   | After completion of assessment                                   |

## Step 1

### Pre-Assessment Briefing and Checklist

A pre-assessment briefing for learners is held before the delivery of the program. Use the checklist below to ensure that all these points are addressed and discussed with the learners.

| Pre-Assessment Briefing Checklist                                                                    |   |   |
|------------------------------------------------------------------------------------------------------|---|---|
|                                                                                                      | √ | X |
| Organise resources – people, equipment, venue, etc.                                                  |   |   |
| Explain the purpose of the assessment                                                                |   |   |
| Discuss the standards or criteria to be used                                                         |   |   |
| Discuss assessment roles and accountabilities                                                        |   |   |
| Decide on assessment venues                                                                          |   |   |
| Negotiate evidence required, and where or how this evidence may be gathered                          |   |   |
| Explain the methods of assessment that will be used during the gathering and summing up of evidence  |   |   |
| Negotiate the date of submission for the activity workbook and the date for the summative assessment |   |   |
| Discuss resources required for the assessment e.g. equipment, materials, etc.                        |   |   |
| Explain the procedure if the learner is found to be not yet competent                                |   |   |
| Explain the appeal and review procedures                                                             |   |   |
| Identify any potential learning barriers and negotiate strategies to overcome these                  |   |   |
| Complete and sign the assessment plan with the learner                                               |   |   |

The learner and assessors must sign the **Learner Contract** in the learner assessment guide.

## Step 2

### Learner Declaration of Authenticity

The learner is requested to complete and sign the Declaration of Authenticity in the learner assessment guide. This should be checked and co-signed by the assessor.

The format is as reflected in the learner assessment guide.



## Step 3

### Diagnostic Assessment of Learning Assumed to be in Place

In the learner assessment guide, the learner is asked to indicate whether they have completed the learning assumed to be in place as prescribed by the unit standard.

The assessor must guide the learners through this step, explaining in detail the content of the mentioned learning areas, because names of learning programs do not always agree with the names of the unit standards, and learners might indicate the incorrect information.

If learners indicate that they have not yet completed the mentioned unit standards, the assessor should prescribe an action plan to allow the learner to obtain the skills required by recommending additional training, competence portfolios, or the relevant RPL assessment for the given unit standards.

The format is as reflected in the assessment guide for learners. Please read it and familiarise yourself with its content.



## Step 4

### Assessment Plan for Gathering of Evidence

A pro-forma assessment plan for this unit standard has been drafted in the learner assessment guide. Explain the plan to the learner and complete the dates and signatures as indicated.

The format for the assessment plan is as reflected in the assessment guide for learners. Please read it and familiarise yourself with its content. Make a note of the dates agreed upon in the table provided below.

| Learner and Assessor Assessment Plan |                                                                                        |                                     |
|--------------------------------------|----------------------------------------------------------------------------------------|-------------------------------------|
| <b>Unit Standard</b>                 | Implement a food safety and quality management system in the agricultural supply chain |                                     |
| <b>Registration Number</b>           | 116278                                                                                 |                                     |
| <i>Step</i>                          | <i>Description</i>                                                                     | <i>Completion / Submission Date</i> |
| <b>Step 5</b>                        | Learner Formative Assessment Activities                                                |                                     |
| <b>Step 6</b>                        | Portfolio of Evidence                                                                  |                                     |
| <b>Step 7</b>                        | Integrated Summative Assessment                                                        |                                     |
| <b>Step 8</b>                        | Re-Assessment Procedures                                                               |                                     |
| <b>Step 9</b>                        | Documentation                                                                          |                                     |
| <b>Step 10</b>                       | Administration and Completion of Portfolio of Evidence                                 |                                     |



## Step 5

### Learner Formative Assessment Activities

The learner assessment guide contains comprehensive activities and worksheets that the learner must complete during the delivery of the learning program. It is imperative that these activities be completed as part of the learning process in order to give the learner the opportunity to develop the skills, knowledge and attitudes that are required for competence.

Learners must complete all the activities in the workbook.

Learners must be encouraged to take control of their learning by indicating areas in the workbook where they experience difficulty.

The learner hands in the learner assessment guide to the assessor or the facilitator, only if the facilitator is a subject matter expert, for the assessment of the formative assessment activities. The assessment of these activities must be done according to the prescribed benchmarks and according to the following marking matrix.

The learner should not move on to the next step before this step has been completed and learners show sufficient capacity and readiness for summative assessment. If problems areas are identified, the learner should be guided with a developmental action plan, which is documented separately and signed by the learner, the facilitator and the assessor.

**Model answers are provided below.**

#### Activity 1 – Design a Road-show

Design a multimedia road-show that is aimed at low level but literate workers to explain the following:

- What is traceability?
- What is the purpose of traceability for the citrus industry?
- How is traceability implemented by citrus producers?
- How can the operational efficiency of traceability be ensured and supported?
- How does recordkeeping support the efficiency of traceability?
- Which records are kept to enable traceability?
- How can a citrus producer show evidence of compliance with traceability systems?

Attach the documentation that you develop for the road-show to this workbook.

**As per learner context, but incorporating information from Chapter 1 in the learner guide.**

#### Activity 2 – Group Discussion

Discuss the following question in your group and make notes on the conclusions that you reach.

If you were the manager of a citrus farm, how will you prove that you comply with traceability requirements?

- **Through accurate recordkeeping**
- **Training personnel**
- **Staying on top of legislation**
- **Drafting Standard Operating procedures with Critical Control Points**

### Activity 3 – Workplace Research

Conduct research in your workplace to obtain information about implementing a recordkeeping system that will meet all the requirements of traceability. Give a complete list of all the documents and records that you find and attach examples of the records for each step of the following steps:

1. Conduct a food safety hazard analysis.

**As per learner context**

2. Identify your critical control points (CCPs).

**As per learner context**

3. Establish critical limits for each critical control point.

**As per learner context**

4. Develop procedures to monitor critical control points.

**As per learner context**

5. Design corrective actions to handle critical limit violations.

**As per learner context**

6. Create a food safety recordkeeping system.

**As per learner context**

7. Validate and verify your system.

**As per learner context**

Draw up a suggested HACCP plan for your farm according to the criteria listed below, and include a summary of information for the following information flow in your workplace:

**As per learner context, but applied according to standard HACCP formatting requirements.**

|                    |                                                                                                            |  |
|--------------------|------------------------------------------------------------------------------------------------------------|--|
| Risk Assessment    | Identify food safety hazards.                                                                              |  |
|                    | Characterise food safety hazards.                                                                          |  |
|                    | Conduct an exposure assessment.                                                                            |  |
| Risk Management    | Weigh up policy alternatives for the protection of consumer health.                                        |  |
|                    | Weigh up policy alternatives for the promotion of fair trade practices.                                    |  |
|                    | Select the appropriate prevention and control options.                                                     |  |
| Risk Communication | Identify the role-players in risk communication and to whom risk management findings must be communicated. |  |

#### Criteria for HACCP Plan

1. Critical control points (CCPs)

2. Hazards that will be controlled at each CCP

3. Control measures that will be used at each CCP

4. Critical limits that will be applied at each CCP

5. Procedures that will be used to monitor CCPs

6. Actions that will be taken when limits are violated

Give an overview of the prerequisite programmes that are in use?

**As per learner context**

Give an overview of the operational prerequisite programs that are in use?

**As per learner context**

#### Activity 4 – Worksheet

Complete the worksheet below.

Give at least two examples of each of the following concepts, from the perspective of the workplace or organisation where you are currently employed.

**Examples as per learner context**

Good Agricultural Practices (GAP)

Good Manufacturing Practices (GMP)

Good Health Practices (GHP)

Good Social Practices (GSP)

Good Environmental Practices (GEP)

Explain in your own words what the purpose of Good Agricultural Practice is and how it is of value to a commercial citrus grower to adhere to GAP and report on its implementation.

**Good Agricultural Practices are a collection of principles and basic environmental and operational conditions that are necessary for the production of safe, wholesome fruit and vegetables. The term includes practices used in growing, harvesting, sorting, packing and storage operations. GAP principles also aim to ensure the sustainability of agricultural production, including the appropriate management of pests and diseases.**

#### Activity 5 – Research Project

Conduct research on the farm where you are completing your practical duties about the following factors that should be considered in the management of Good Agricultural Practices.

**All as per learner context.**

| <i><b>Factor</b></i>                          | <i><b>Findings</b></i> | <i><b>Recommendations for Implementation, Management and Maintenance</b></i> |
|-----------------------------------------------|------------------------|------------------------------------------------------------------------------|
| <b>Land Use and Soil</b>                      |                        |                                                                              |
| • Cultivated land information                 |                        |                                                                              |
| • Current or prior use of adjacent land       |                        |                                                                              |
| <b>Water Sources and Irrigation Practices</b> |                        |                                                                              |

|                                                                                         |  |  |
|-----------------------------------------------------------------------------------------|--|--|
| • Potential contamination associated with water sources                                 |  |  |
| • Hazards introduced by irrigation practices                                            |  |  |
| • Chemigation                                                                           |  |  |
| • Agricultural water microbiological testing procedures                                 |  |  |
| <b>Implementation of Soil and Water Conservation Principles – Organic Fertilisers</b>   |  |  |
| • Management of organic fertilisers                                                     |  |  |
| • Hazards associated with animal manure and treatments to reduce the risks              |  |  |
| • Hazards Associated with manure treatment and storage location                         |  |  |
| • Precautions for the application of organic fertilisers                                |  |  |
| • Keeping complete records of organic fertiliser preparation and use                    |  |  |
| <b>Implementation of Soil and Water Conservation Principles – Inorganic Fertilisers</b> |  |  |
| • Keeping complete records of inorganic fertilisation programs                          |  |  |
| • Appropriate storage for inorganic fertilisers                                         |  |  |
| <b>Animal Exclusion from Production Areas</b>                                           |  |  |
| • Methods for keeping animals out of production areas                                   |  |  |
| • Cleaning surrounding areas                                                            |  |  |
| • Preventing cross-contamination between animals and water                              |  |  |
| <b>Pest Control</b>                                                                     |  |  |
| • Pest Control in fresh produce operations                                              |  |  |
| • Common pest control procedures                                                        |  |  |
| • Pesticides                                                                            |  |  |
| • Pesticide handling                                                                    |  |  |
| • Pesticide application                                                                 |  |  |
| • Pesticide storage                                                                     |  |  |
| • Pesticide residues                                                                    |  |  |
| • Pesticide disposal                                                                    |  |  |

|                                                                           |  |  |
|---------------------------------------------------------------------------|--|--|
| • Training and documentation                                              |  |  |
| <b>Worker Health and Safety</b>                                           |  |  |
| • Relationship between worker health and hygiene                          |  |  |
| • Health programs                                                         |  |  |
| • Worker hygiene training program                                         |  |  |
| • Drinking water                                                          |  |  |
| • Worker hygiene practices and sanitation facilities                      |  |  |
| • Hand washing and hand-washing facilities                                |  |  |
| • Basic requirements for and placement of sanitary field stations         |  |  |
| <b>Safety Hazards Associated with Harvesting</b>                          |  |  |
| • Physical damage caused by mechanical and / or manual harvesting methods |  |  |
| • In-field packing operations                                             |  |  |
| <b>Safety Hazards Associated with Postharvest Treatments and Handling</b> |  |  |
| • Postharvest water quality                                               |  |  |
| • Cooling considerations                                                  |  |  |

**Activity 6 – Practical Exercise**

On the farm where you work or are completing your practical, identify two points at which possible non-conformance or deviation may occur. Complete the tables below.

**As per learner context**

| <i>Stage of Process</i> | <i>Potential Hazard Description</i> | <i>Control Measures</i> | <i>CCP or CP</i> | <i>Critical Limits</i> | <i>Monitoring Process</i> | <i>Corrective Action</i> | <i>Record-keeping</i> |
|-------------------------|-------------------------------------|-------------------------|------------------|------------------------|---------------------------|--------------------------|-----------------------|
|                         |                                     |                         |                  |                        |                           |                          |                       |
|                         |                                     |                         |                  |                        |                           |                          |                       |

  

| <i>Stage of Process</i> | <i>Potential Hazard Description</i> | <i>Control Measures</i> | <i>CCP or CP</i> | <i>Critical Limits</i> | <i>Monitoring Process</i> | <i>Corrective Action</i> | <i>Record-keeping</i> |
|-------------------------|-------------------------------------|-------------------------|------------------|------------------------|---------------------------|--------------------------|-----------------------|
|                         |                                     |                         |                  |                        |                           |                          |                       |
|                         |                                     |                         |                  |                        |                           |                          |                       |

**Activity 7 – Presentation**

Based on your practical experience, design a multimedia presentation in which you identify, discuss and explain the impact of non-conformance to the basic regulatory processes on the trade of the product.

Attach documentation related to the presentation to this workbook.

**As per learner context. Should include the following information:**

**Non-conformance to food safety management systems may lead directly to a compromise in product quality such as blemishing, contamination, accelerated decay or unnecessarily high residues which would render it unsafe for human consumption or unsuitable for meeting specifications by specific export markets.**

| Quality Attributes That May Be Compromised by Non-Conformance |                 |                 |
|---------------------------------------------------------------|-----------------|-----------------|
| <i>External</i>                                               | <i>Internal</i> | <i>Hidden</i>   |
| Appearance (sight)                                            | Odour           | Wholesomeness   |
| Feel (touch)                                                  | Taste           | Nutritive Value |
| Defects                                                       | Texture         | Safety          |

**Many export or local contracts are based on the assurance provided by the implementation of and management according to Food Safety Management Systems and adherence to Good Agricultural Production Principles. It is thus logical to understand that the distributor and / or contract awarder would not be satisfied with a product that does not conform to the standards and specifications. Additionally, it would raise concerns for the distributor and / or contract awarder should they find repeated instances of non-conformance to the plan.**

**Most distributors and / or contract awarders have penalty clauses and may view instances of non-conformance as breach of contract, and may thus quarantine such a grower's produce and refuse to sell it. Such a grower will also find that they will no longer be awarded future contracts and may even be liable in terms of the law.**

### Activity 8 – Report Writing

Investigate the internal and external audits that take place on the farm where you work or where you are completing your practical duties. Write a report on your findings, containing the following information:

- Give details of the role that audits play in ensuring food safety.
- Draft a process flow of how these audits are conducted.
- Explain in your own words how standard operating procedures are integrated into internal audit procedures.
- Give examples of at least five different areas related to the HACCP plan or the food safety management plan upon which internal audits are performed regularly. Include copies of standard internal audit criteria and / or checklists for the areas discussed as annexures to the report. Note on each how frequently the internal audits are conducted.
- Give a brief overview of how internal audits are managed throughout the organisation in order to ensure a systematic recordkeeping system.
- Draw conclusions regarding the effectiveness of the current internal audit system and make recommendations for possible improvements that might benefit the organisation.

Attach the report to this workbook.

**As per learner context**

### Activity 9 – Worksheet

Answer the questions below. Attach examples that support your answers where possible.

1. What do standard operating procedures mean in terms of your workplace?

**Standard operating procedures are written documents that describe in detail, step-by-step, how a procedure should be done.**

2. How do standard operating procedures contribute to food safety?

**Giving exact methods to complete a task will decrease errors and minimise food safety risks.**

3. Describe at least one Standard Operating Procedure that directly affects food safety.

**As per learner context, e.g. Harvesting**

4. What is the link between quality and food safety?

**Contaminants that compromise food safety also impact on external and internal quality.**

5. How do production practices influence food safety?

**Production practices such as pest and disease control, fertilisation, irrigation and harvesting present opportunity for contamination.**

6. How does adherence to Good Environmental Practices contribute to food safety?

**Agricultural land and land that has been used for activities other than agriculture can be contaminated with pathogenic organisms or toxic chemical substances. Obtaining a history of the prior use of the land is important because it helps identify these potential hazards. In addition, the failure of prior users to follow Good Agricultural Practices can present risks of contamination to produce grown on the soil. The land owner or operator should research both the present and prior use of adjacent lands to identify potential produce contamination and precautions that need to be taken to prevent contamination of fresh produce in the field. Contamination from areas away from the actual growing area can reach produce. Good agricultural practices also include the use of soil and water conservation practices, such as channel construction, drain control structures, diversion tanks, vegetation barriers, etc., which act as physical barriers in the event of a contaminated water runoff.**

7. How can social awareness contribute to food safety?

**Assuring worker health both increases worker productivity and aids in preventing potential microbial contamination of crops. Ideally, agricultural workers should have access to a health care system. Employers should provide fruit and vegetable handlers with a training program on good food handling and hygiene practices. Proper hygiene procedures should be established and included in hygiene and health training programs. Training should be in the language/dialect of the employees to ensure comprehension and trainers should consider cultural aversions and ingrained practices when planning training. The level of knowledge an employee should achieve will vary according to the type of operation and the responsibilities and type of activities in which the employee participates. In order to ensure employees comprehend and implement the training, it should be in the language / dialect of the employees and trainers should consider cultural aversions and ingrained practices of the trainees when planning training.**

**Marking Matrix and Assessor Report for Formative Assessment Activities**  
**Formative Evidence Collection Summary for Unit Standard 116278 – Level 4**

|                                                                                                                                                                                                                                                                                                                                                                                                                | <i><b>Action Required from Learner to Develop Competence</b></i> | <i><b>Competence Assessments</b></i>                         | <i><b>Standard for Activity</b></i>                                                                                                                          | <i><b>Allocation of Marks</b></i> | <i><b>Feedback to Learner and Comments on Evidence</b></i> |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|--------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------|------------------------------------------------------------|
| <p><b><i>Specific Outcome 1: Manage a traceability system demonstrating operational efficiency in the agricultural supply chain.</i></b></p> <p><i>Range:</i> Traceability system includes but is not limited to a system that allows for problems to be traced back to the points of origin, both pre-harvest and post-harvest</p>                                                                            | Attend classroom lesson, participate and ask questions           | Activities in learner activity book were completed correctly | <p>Activity answers must be at least 85% correct</p> <p>A signature + commentary from the supervisor / coach / mentor or facilitator in learner Workbook</p> | As per model answer sheet         |                                                            |
| <p><b><i>Specific Outcome 2: Implement a record system on the farm.</i></b></p> <p><i>Range:</i> A record system includes but is not limited to manual and electronic system that allows for paper or electronic trail of activities and management systems on the farm</p>                                                                                                                                    | Attend classroom lesson, participate and ask questions           | Activities in learner activity book were completed correctly | <p>Activity answers must be at least 85% correct</p> <p>A signature + commentary from the supervisor / coach / mentor or facilitator in learner Workbook</p> | As per model answer sheet         |                                                            |
| <p><b><i>Specific Outcome 3: Manage and maintain good agricultural practices (GAP) associated with good manufacturing practices (GMP), good health practices (GHP), good social practices (GSP) and good environmental practices (GEP).</i></b></p> <p><i>Range:</i> Management and maintenance includes but is not limited to ensuring that the activities of one regulatory process compliment the other</p> | Attend classroom lesson, participate and ask questions           | Activities in learner activity book were completed correctly | <p>Activity answers must be at least 85% correct</p> <p>A signature + commentary from the supervisor / coach / mentor or facilitator in learner Workbook</p> | As per model answer sheet         |                                                            |



**Marking Matrix and Assessor Report for Formative Assessment Activities**  
**Formative Evidence Collection Summary for Unit Standard 116278 – Level 4**

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | <i><b>Action Required from Learner to Develop Competence</b></i> | <i><b>Competence Assessments</b></i>                         | <i><b>Standard for Activity</b></i>                                                                                                                          | <i><b>Allocation of Marks</b></i> | <i><b>Feedback to Learner and Comments on Evidence</b></i> |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------|--------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------|------------------------------------------------------------|
| <p><b><i>Specific Outcome 4: Take decisions on reported non-conformances in respect of food safety, production, environmental, and social practices and implement corrective action in the agricultural environment.</i></b></p> <p><i>Range:</i> Taking decisions and implementing corrective action includes but is not limited to addressing the problems encountered in order to assist with the implementation of corrective processes in order to achieve the set goals</p> | Attend classroom lesson, participate and ask questions           | Activities in learner activity book were completed correctly | <p>Activity answers must be at least 85% correct</p> <p>A signature + commentary from the supervisor / coach / mentor or facilitator in learner Workbook</p> | As per model answer sheet         |                                                            |
| <p><b><i>Specific Outcome 5: Conduct internal audits according to the specifications of the trade/market in the agricultural environment.</i></b></p> <p><i>Range:</i> Internal audits include but are not limited to implementing checks and balances that assist the GMP to ensure good agricultural practices in keeping with the rights of the workers and the environment</p>                                                                                                | Attend classroom lesson, participate and ask questions           | Activities in learner activity book were completed correctly | <p>Activity answers must be at least 85% correct</p> <p>A signature + commentary from the supervisor / coach / mentor or facilitator in learner Workbook</p> | As per model answer sheet         |                                                            |

**Marking Matrix and Assessor Report for Formative Assessment Activities**  
**Formative Evidence Collection Summary for Unit Standard 116278 – Level 4**

|                                                                                                                                                                                                                                                                                                                                                                                                                                                       | <i>Action Required from Learner to Develop Competence</i>                                            | <i>Competence Assessments</i>                                | <i>Standard for Activity</i>                                                                                                                                 | <i>Allocation of Marks</i> | <i>Feedback to Learner and Comments on Evidence</i> |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|--------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------|-----------------------------------------------------|
| <p><b>Specific Outcome 6: Maintain standard operational procedures with regard to agro-chemicals, food safety, quality, and production practices, as well as environmental and social awareness within the agricultural supply chain.</b></p> <p><i>Range:</i> Standard operational procedures include but are not limited to food safety, quality, production practices, environmental and social awareness within the agricultural supply chain</p> | Attend classroom lesson, participate and ask questions                                               | Activities in learner activity book were completed correctly | <p>Activity answers must be at least 85% correct</p> <p>A signature + commentary from the supervisor / coach / mentor or facilitator in learner Workbook</p> | As per model answer sheet  |                                                     |
| <b>US CCFO: Identifying</b>                                                                                                                                                                                                                                                                                                                                                                                                                           | Attends all lessons, activities, practical and completes activities and workbook as per instructions | Attendance register and facilitator report                   | Learner must at least be present and no negative commentary about the learner should be made in the facilitator report.                                      | N/a                        |                                                     |
| <b>US CCFO: Working</b>                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                      |                                                              |                                                                                                                                                              |                            |                                                     |
| <b>US CCFO: Organising</b>                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                      |                                                              |                                                                                                                                                              |                            |                                                     |
| <b>US CCFO: Communicating</b>                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                                                                      |                                                              |                                                                                                                                                              |                            |                                                     |
| <b>US CCFO: Science</b>                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                      |                                                              |                                                                                                                                                              |                            |                                                     |
| <b>US CCFO: Demonstrating</b>                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                                                                      |                                                              |                                                                                                                                                              |                            |                                                     |
| <b>US CCFO: Contributing</b>                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                      |                                                              |                                                                                                                                                              |                            |                                                     |
| <b>US CCFO: Identifying</b>                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                                                                      |                                                              |                                                                                                                                                              |                            |                                                     |

| <b>Assessment Feedback Form – Activity Workbook</b> |  |                           |  |
|-----------------------------------------------------|--|---------------------------|--|
|                                                     |  | <b>Comments / Remarks</b> |  |
| Feedback to learner on assessment                   |  |                           |  |
| Feedback from learner to assessor                   |  |                           |  |
| <b>Learner's Signature</b>                          |  | <b>Date:</b>              |  |
| <b>Assessor's Signature</b>                         |  | <b>Date:</b>              |  |



## Step 6

### Portfolio of Evidence

Before the summative task is undertaken, the learner must be reminded of what is expected from him / her in terms of summative and reflexive competence. Read and explain to the learner this section in the learner assessment guide. The learner and assessor must sign off this section to acknowledge that this step was completed. Mark both the written evidence and also show proof of being verbally presented with the evidence required.

- Use the planning and questioning format below to help you collect evidence for foundational and embedded knowledge as prescribed by the outcomes of the unit standards.
- Provide the questions as listed to the learners as a guide.
- Ensure that you apply the exact same methodology for each learner in order to ensure that VACS principles are adhered to.
- The benchmark for learner competence is an 85% overall test score.
- Only a suitably qualified and registered assessor who is ALSO a subject matter expert in this specific field can mark this assessment tool for learner assessment.
- If no such a person can be found to assess the learner, then it is advised that a qualified assessor consults with the appropriate subject matter expert prior to the assessment in order to establish key points for competence and / or uses model answers as supplied by a subject matter expert to allocate marks. The subject matter expert should be consulted for any answers that the assessor might have queries on.
- Use a header in the following format for each test paper:

|                       |        |                   |   |
|-----------------------|--------|-------------------|---|
| <b>Unit Standard:</b> | 116278 | <b>NQF Level:</b> | 4 |
| <b>Learner Name</b>   |        |                   |   |

- Use the questions below as a marking matrix to gather evidence and to check for completeness.

|                                                                                                                                                                                           |     |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|
| Obtain the Standard Operating Procedure (SOP) manual for the farm where you are completing your practical duties.                                                                         | 10% |
| Identify the Critical Control Points (CCP) related to food safety in the SOP manual.                                                                                                      | 30% |
| For each CCP, draft a procedure and pro forma documents that can be used for internal audits, recordkeeping and traceability.                                                             | 30% |
| Write a two page overview and process flow of how the traceability system, recordkeeping system and internal audit system should be integrated and referenced in case of non-conformance. | 30% |

## Step 7

### Integrated Summative Assessment Tool

One assessment tool is provided in this step, being:

#### 1. Attitudes and Attributes Assessment Tool

This assessment tool has been drafted in its entirety and follows below. It must be copied and completed for every learner in the same manner and according to the same procedure.

Learners must not be given these tools in preparation for summative assessment. This corresponding step in the Learner Assessment Guide is a direct reflection of these tools and is drafted in a format that is appropriate to the learner's level of language competence.

#### 1. Attitudes and Attributes Assessment Tool

- Use this rating scale to judge the learner's CCFO competence according to the unit standard.
- The learner's entire performance and all the stages of learning, as well as all gathered evidence must be considered for this section.
- It is advised that the assessor consult with facilitators, mentors, coaches and supervisors in order to ensure that an objective rating is allocated.
- A rating between 1 and 5 should be given, as follows:

| <b>Rating</b> | <b>Description</b>                                                                             |
|---------------|------------------------------------------------------------------------------------------------|
| 1             | No evidence can be found                                                                       |
| 2             | The evidence found is weak and this is still a major development area for the learner          |
| 3             | The evidence found meets the average expectation for a learner on this level                   |
| 4             | The evidence found is of a high quality and exceeds the average standard expected              |
| 5             | The evidence found is outstanding and the learner attitudes and traits are very well developed |

- Learner must be given constructive feedback on each rating.
- Ensure that you apply the exact same methodology for each learner in order to ensure that VACS principles are adhered to.
- The benchmark for learner competence in this tool is 3:5 in EVERY CCFO.

At the end of this step, an assessment feedback form is provided which must be completed and signed by the assessor, learner and moderator, where applicable.

### Attitudes and Attributes Assessment Tool

Use the following rating table in this assessment:

| <b>Rating</b> | <b>Description</b>                                                                             |
|---------------|------------------------------------------------------------------------------------------------|
| 1             | No evidence can be found                                                                       |
| 2             | The evidence found is weak and this is still a major development area for the learner          |
| 3             | The evidence found meets the average expectation for a learner on this level                   |
| 4             | The evidence found is of a high quality and exceeds the average standard expected              |
| 5             | The evidence found is outstanding and the learner attitudes and traits are very well developed |

| <b>CCFO Criteria</b>                                                                                                                                                                                                    | <b>Rating</b> |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|
| <b>Identifying</b> – The learner can identify problems and deficiencies correctly.                                                                                                                                      |               |
| <b>Working in a Team</b> – The learner is able to work well as member of a team.                                                                                                                                        |               |
| <b>Organising</b> – The learner works in an organised and systematic way whilst performing all tasks and tests.                                                                                                         |               |
| <b>Communicating</b> – The learner is able to communicate his or her knowledge orally and in writing, in a way that shows what knowledge he or she has gained.                                                          |               |
| <b>Demonstrating</b> – The learner is able to show and perform the tasks required correctly.                                                                                                                            |               |
| <b>Contributing</b> – The learner is able to link the knowledge, skills and attitudes that he or she has acquired in this module of learning to specific duties in their job or in the community where he or she lives. |               |
| <b>Science</b> – Learner is able to utilise and use science and technology effectively                                                                                                                                  |               |
| <b>Collecting</b> – Learner can effectively gather information                                                                                                                                                          |               |



| Assessment Feedback Form                                                                          |                                                                                                     |                                                                                                                            |  |
|---------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------|--|
|                                                                                                   |                                                                                                     | Comments / Remarks                                                                                                         |  |
| Feedback to learner on assessment and / or overall recommendations and action plan for competence |                                                                                                     |                                                                                                                            |  |
| Feedback from learner to assessor                                                                 |                                                                                                     |                                                                                                                            |  |
| <b>Assessment Judgement</b>                                                                       | You have been found:                                                                                | Actions to follow:                                                                                                         |  |
|                                                                                                   | <input type="radio"/> Competent<br><input type="radio"/> Not yet competent<br>in this unit standard | <input type="radio"/> Assessor report to ETQA<br><input type="radio"/> Learner results and attendance certification issued |  |
| <b>Learner's Signature</b>                                                                        |                                                                                                     | <b>Date:</b>                                                                                                               |  |
| <b>Assessor's Signature</b>                                                                       |                                                                                                     | <b>Date:</b>                                                                                                               |  |
| <b>Moderator's Signature</b>                                                                      |                                                                                                     | <b>Date:</b>                                                                                                               |  |

## Step 8

### Re-Assessment Procedures

- Note that only outcomes on which the learner was found not yet competent must be re-assessed.
- The same procedures in steps 6 and 7 are repeated.
- The tool must be adapted at discretion of the assessor. Best practice is not to present the exact same format and questions if possible.
- Use your expertise and judgement to ensure that the method of re-assessment remains integrated and relevant to the expected outcomes.





## Step 9

### Documentation

The following documentation is addressed in this step:

1. Learner and assessor information reports;
2. Assessor report and summative evidence collection summary;
3. Learner assessment re-actionnaire;
4. Assessor's assessment review and improvement document;
5. Assessment appeal form

#### **1. Learner and Assessor Information Forms**

The learner information form is in the assessment guide for learners. The assessor information form follows. These forms must be completed for each individual learner and placed in the learner's portfolio of evidence.

#### **2. Assessor Report and Summative Evidence Collection Summary**

This report follows after the information report. Use it to summarise the findings during assessment. Please complete the copy of this report that is in the learner assessment guide.

#### **3. Learner Assessment Re-Actionnaire**

A pro-forma for the learner assessment re-actionnaire is included in the learner assessment guide. Ask the learner to complete this form and sign it.

#### **4. Assessor's Assessment Review and Improvement Document**

The assessor is expected to complete the assessor review of the assessment process, using the pro-forma document of which an example follows. Please complete the copy of the document in the learner assessment guide. This document must be discussed with the learner and any learner commentary should be recorded.

#### **5. Assessment Appeal Form**

The assessment appeal form is also provided in the learner assessment guide. Assist the learner to complete the document if necessary.

The learner must be requested to sign-off all reports and documents before they are placed in the portfolio of evidence.

| Assessor Information Form |           |               |                         |
|---------------------------|-----------|---------------|-------------------------|
| Unit Standard             | 116278    |               |                         |
| Program Date(s)           |           |               |                         |
| Surname                   |           |               |                         |
| First Name                |           |               |                         |
| Company Name              |           |               |                         |
| Job / Role Title          |           |               |                         |
| Home Language             |           |               |                         |
| Gender                    | Male      | Female        |                         |
| Race                      | African   | Coloured      | Indian/Asian      White |
| Employment                | Permanent | Non-permanent |                         |
| Disabled                  | Yes       | No            |                         |
| Date of Birth             |           |               |                         |
| ID Number                 |           |               |                         |
| Contact Telephone Numbers |           |               |                         |
| Email Address             |           |               |                         |
| Postal Address            |           |               |                         |

### Assessor Report and Summative Evidence Collection Summary for Unit Standard 116278 – Level 4

| Description                                                                                                                                                                                                                                                                                                                                                                                      | Evidence Gathered                      |                                                                            | Benchmark                   | Competent /<br>Not yet<br>Competent | Feedback and Comments |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------|-----------------------------|-------------------------------------|-----------------------|
|                                                                                                                                                                                                                                                                                                                                                                                                  | Foundational and<br>Embedded Knowledge | Practical Skills,<br>Underpinning<br>Knowledge and<br>Reflexive Competence |                             |                                     |                       |
| <b>Specific Outcome 1: Manage a traceability system demonstrating operational efficiency in the agricultural supply chain.</b><br><br><i>Range:</i> Traceability system includes but is not limited to a system that allows for problems to be traced back to the points of origin, both pre-harvest and post-harvest                                                                            | Portfolio of Evidence                  | CCFO Rating Scale                                                          | 85% competence in all areas |                                     |                       |
| <b>Specific Outcome 2: Implement a record system on the farm.</b><br><br><i>Range:</i> A record system includes but is not limited to manual and electronic system that allows for paper or electronic trail of activities and management systems on the farm                                                                                                                                    | Portfolio of Evidence                  | CCFO Rating Scale                                                          | 85% competence in all areas |                                     |                       |
| <b>Specific Outcome 3: Manage and maintain good agricultural practices (GAP) associated with good manufacturing practices (GMP), good health practices (GHP), good social practices (GSP) and good environmental practices (GEP).</b><br><br><i>Range:</i> Management and maintenance includes but is not limited to ensuring that the activities of one regulatory process compliment the other | Portfolio of Evidence                  | CCFO Rating Scale                                                          | 85% competence in all areas |                                     |                       |

### Assessor Report and Summative Evidence Collection Summary for Unit Standard 116278 – Level 4

| <i>Description</i>                                                                                                                                                                                                                                                                                                                                                                                                                                                         | <i>Evidence Gathered</i>                       |                                                                                      | <i>Benchmark</i>            | <i>Competent /<br/>Not yet<br/>Competent</i> | <i>Feedback and Comments</i> |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------|--------------------------------------------------------------------------------------|-----------------------------|----------------------------------------------|------------------------------|
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | <b>Foundational and<br/>Embedded Knowledge</b> | <b>Practical Skills,<br/>Underpinning<br/>Knowledge and<br/>Reflexive Competence</b> |                             |                                              |                              |
| <p><b>Specific Outcome 4: Take decisions on reported non-conformances in respect of food safety, production, environmental, and social practices and implement corrective action in the agricultural environment.</b></p> <p><i>Range:</i> Taking decisions and implementing corrective action includes but is not limited to addressing the problems encountered in order to assist with the implementation of corrective processes in order to achieve the set goals</p> | Portfolio of Evidence                          | CCFO Rating Scale                                                                    | 85% competence in all areas |                                              |                              |
| <p><b>Specific Outcome 5: Conduct internal audits according to the specifications of the trade/market in the agricultural environment.</b></p> <p><i>Range:</i> Internal audits include but are not limited to implementing checks and balances that assist the GMP to ensure good agricultural practices in keeping with the rights of the workers and the environment</p>                                                                                                | Portfolio of Evidence                          | CCFO Rating Scale                                                                    |                             |                                              |                              |

### Assessor Report and Summative Evidence Collection Summary for Unit Standard 116278 – Level 4

| <i>Description</i>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | <i>Evidence Gathered</i>                   |                                                                          | <i>Benchmark</i>                  | <i>Competent / Not yet Competent</i> | <i>Feedback and Comments</i> |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------|--------------------------------------------------------------------------|-----------------------------------|--------------------------------------|------------------------------|
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | <b>Foundational and Embedded Knowledge</b> | <b>Practical Skills, Underpinning Knowledge and Reflexive Competence</b> |                                   |                                      |                              |
| <p><b>Specific Outcome 6: Maintain standard operational procedures with regard to agro-chemicals, food safety, quality, and production practices, as well as environmental and social awareness within the agricultural supply chain.</b></p> <p><i>Range:</i> Standard operational procedures include but are not limited to food safety, quality, production practices, environmental and social awareness within the agricultural supply chain</p>                                                                                                                                                                            | Portfolio of Evidence                      | CCFO Rating Scale                                                        |                                   |                                      |                              |
| <p><b>Embedded Knowledge:</b></p> <p>The learner is able to demonstrate a basic knowledge of:</p> <ol style="list-style-type: none"> <li>1. Principles of regulatory and legal aspects with reference to the specific agricultural enterprise.</li> <li>2. A basic understanding of food-borne illnesses.</li> <li>3. A basic knowledge of the Impact of food safety and quality in trade.</li> <li>4. A thorough understanding of contamination risks and preventative measures.</li> <li>5. Contamination risks.</li> <li>6. Contamination preventative measures.</li> <li>7. A basic understanding of risk factors</li> </ol> | Summative Training Session                 | CCFO Rating Scale                                                        | Overall minimum test score of 85% |                                      |                              |

| Assessor Report and Summative Evidence Collection Summary for Unit Standard 116278 – Level 4                                                                                                                                                                                                                                                                                                                                                                                                             |                                        |                                                                            |                                                                  |                                     |                       |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------|----------------------------------------------------------------------------|------------------------------------------------------------------|-------------------------------------|-----------------------|
| Description                                                                                                                                                                                                                                                                                                                                                                                                                                                                                              | Evidence Gathered                      |                                                                            | Benchmark                                                        | Competent /<br>Not yet<br>Competent | Feedback and Comments |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Foundational and<br>Embedded Knowledge | Practical Skills,<br>Underpinning<br>Knowledge and<br>Reflexive Competence |                                                                  |                                     |                       |
| <p>related to food safety.</p> <p>8. Be familiar with the principles of food safety and quality.</p> <p>9. Basic principles of environmental and conservation management.</p> <p>10. Basic principles of waste and pollution management.</p> <p>11. Basic principles of natural resource management.</p> <p>12. Local legislation such as Occupational Health and Safety, Health and Welfare</p> <p>13. A basic understanding of procedures of internal audits, traceability, and management skills.</p> |                                        |                                                                            |                                                                  |                                     |                       |
| <p><b>Unit Standard CCFOs:</b></p> <ul style="list-style-type: none"> <li>Identifying</li> <li>Working in a Team</li> <li>Organising</li> <li>Communication</li> <li>Demonstrating</li> <li>Contributing</li> <li>Science</li> <li>Collecting</li> </ul>                                                                                                                                                                                                                                                 | N/a                                    | Rating Scale                                                               | Minimum rating of 3:5 in each criteria or overall average of 3:5 |                                     |                       |

| <b>Assessor's Assessment Review and Improvement Document</b>                                                            |                 |
|-------------------------------------------------------------------------------------------------------------------------|-----------------|
| <b>Issues</b>                                                                                                           | <b>Comments</b> |
| Did the assessment go according to plan?                                                                                |                 |
| Did anything unexpected happen?                                                                                         |                 |
| Were you pleased with the assessment decision; i.e. was it what you expected?                                           |                 |
| How could the process have been carried out more efficiently?                                                           |                 |
| How could the process of assessing the knowledge be improved?                                                           |                 |
| How could the Performance Observation checklist be improved?                                                            |                 |
| Was the evidence you gathered sufficient to make a judgment of competence?                                              |                 |
| Was the way you obtained feedback from the learner effective?                                                           |                 |
| Were you pleased with the way you communicated your decision to the learner? If not, how could this have been improved? |                 |
| How would you improve the assessment process?                                                                           |                 |

Any learner has the right of appeal against any not-yet-competent decision by the assessor. If the learner wishes to appeal, please assist him / her to complete the form below.

| <b>Appeal Form</b>                                                        |  |              |  |
|---------------------------------------------------------------------------|--|--------------|--|
| I hereby appeal against the outcome of my assessment.                     |  |              |  |
| <b>Date:</b>                                                              |  |              |  |
| <b>Learner's Name:</b>                                                    |  |              |  |
| <b>Assessors Name:</b>                                                    |  |              |  |
| <b>Organisation:</b>                                                      |  |              |  |
| <b>Assessment Details:</b><br><br>Criteria, role, standards<br>Used, etc. |  |              |  |
| <b>Issue to be Reviewed:</b>                                              |  |              |  |
| <b>Learner's Signature</b>                                                |  | <b>Date:</b> |  |
| <b>Assessor's Signature</b>                                               |  | <b>Date:</b> |  |



## **Step 10**

### **Administration and Completion of Portfolio of Evidence**

All the documents or copies thereof, as prescribed previously, must be kept on file as part of the learner portfolio of evidence.

Learner's portfolio of evidence must be readily available for internal and external moderation and verification by the appropriate practitioners, until after the verification process has taken place. The portfolio of evidence may then be kept or returned to the learner according to the service provider's policy.

The prescribed learner results form should be submitted to the ETQA or the National Learner Database as per the SETA procedure.

