EDUCATION LABOUR RELATIONS COUNCIL

Established in terms of the LRA of 1995 as amended

elrc

EDUCATION LABOUR
RELATIONS COUNCIL

COLLECTIVE AGREEMENT
NUMBER 3 OF 2003

10 APRIL 2003

PROTOCOL AND INSTRUMENT FOR USE
WHEN OBSERVING EDUCATORS IN
PRACTICE FOR THE PURPOSE OF
WHOLE-SCHOOL EVALUATION (WSE)
AND DEVELOPMENTAL APPRAISAL
SYSTEM (DAS)
PROTOCOL AND INSTRUMENT FOR USE WHEN OBSERVING EDUCATORS IN PRACTICE FOR THE PURPOSE OF WHOLE-SCHOOL EVALUATION (WSE) AND DEVELOPMENTAL APPRAISAL SYSTEM (DAS)

1. PURPOSE OF THIS AGREEMENT

The purpose of this agreement is to provide a protocol and instrument for use when observing educators in practice for the purpose of Whole-School Evaluation (WSE) and Developmental Appraisal System (DAS).

2. SCOPE OF THIS AGREEMENT

This agreement applies to and binds:

(1) The employer, and

(2) All the employees of the employer as defined in the Employment of Educators Act, 1998 (as amended) whether such employees are members of trade union parties to this agreement or not.

3. THE PARTIES TO COUNCIL NOTE AS FOLLOWS:

(1) Schedule 1 of the Employment of Educators Act of 1998, as amended.

(2) The provision on core duties and responsibilities of educators as contained in the Personnel Administration Measures (PAM).

(3) Paragraph 4 of Chapter G of the Personnel Administration Measures.

4. THE PARTIES TO COUNCIL THEREFORE AGREE AS FOLLOWS:

(1) That all educators employed on salary level 13 and above, as well as those on SMS be excluded from this agreement.

(2) That a procedure manual be developed to assist educators in the interpretation and application of the evaluation instrument.
(3) That the existing Quality Management Processes and Protocol be aligned in the ELRC, by 30th June 2003.

5. DATE OF IMPLEMENTATION

This agreement shall, in respect of parties and non-parties, come into effect on the date it is signed in Council.

6. DEFINITIONS

(1) "SMS" means employees on Senior Management System referred to in Regulation 181 of Chapter 4 of the Public Service Regulations as contained in Government Gazette No. 21951 of 5 January 2001.

(2) "Educator" means educator as defined in the Employment of Educators Act, 1998 (EEA), as amended.

(3) "Employer" means employer as defined in the Employment of Educators Act, 1998 (EEA), as amended.

7. DISPUTE RESOLUTION

Any dispute about the interpretation or application of this agreement shall be resolved in terms of the dispute resolution procedure of the Council.

Thus done and signed at Centurion on the 10th day of April 2003

ON BEHALF OF THE STATE AS EMPLOYER

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<tr>
<th>DEPARTMENT</th>
<th>NAME</th>
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<td>EDUCATION</td>
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Collective Agreement Number 3 of 2003

Protocol and Instrument for Use When Observing Educators in Practice for the Purpose of Whole School Evaluation (WSE) and Developmental Appraisal (DOA)
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<th>TRADE UNION</th>
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ANNEXURE A

PROTOCOL AND INSTRUMENT FOR USE WHEN OBSERVING EDUCATORS IN PRACTICE FOR THE PURPOSE OF WHOLE-SCHOOL EVALUATION (WSE) AND DEVELOPMENTAL APPRAISAL SYSTEM (DAS)

INTRODUCTION

The Department of Education (DoE) and educator unions have jointly developed an integrated approach to lesson observation of educators in practice as required by both Developmental Appraisal System (DAS) and Whole School Evaluation (WSE) in order to avoid duplication and to greatly simplify implementation of these two processes.

A number of initiatives aimed at improving the quality of public education are already under way. These initiatives include the following:

- Developmental Appraisal System (DAS) – which focuses on needs identification to inform educator development programmes
- Whole School Evaluation (WSE) – which focuses on school improvement
- Systemic Evaluation – which focuses on the improvement of the system as a whole
- National Teaching Awards (NTA) – which seek to motivate educators through recognition of excellence in the teaching profession
- Ministerial Recognition Awards – which seek to motivate secondary schools to perform well

This document on protocol and instrument for lesson observation of educators in practice for purposes of WSE and DAS is an initial stage. Subsequent to this, the Department of Education and educator unions will develop an integrated quality management systems (IQMS) in order to improve the quality of public education.

What is the purpose of Whole School Evaluation?

The Policy on Whole School Evaluation’s main purpose is to facilitate improvement of school performance through approaches characterized by partnership, collaboration, mentoring, and guidance. It enables school and external supervisors to provide an account of the school’s current performance and to show the extent to which a school is able to meet the national goals whilst able also to meet the needs of a community and public in general.

WSE involves both internal and external evaluation processes.

What is the purpose of Developmental Appraisal System?

Developmental Appraisal System (DAS) is a very important aspect of educator development and support. DAS outlines processes and structures to be in place in order to identify professional needs.
of educators to develop relevant programmes that will enhance professional competences and
growth to improve the quality of teaching and learning. DAS involves self-appraisal and lesson
observation of the appraisee by one or two members of the agreed upon panel.

The two processes, WSE and DAS, therefore require lesson observation. Hence the integration of
the two with regard to lesson observation of educators in practice becomes crucial. The outcomes of
the lesson observations will be included in the final report of the WSE supervisory team. This WSF
report will not identify the strengths or weaknesses of any individual educator but the status report on
the overall teaching and learning of the identified areas. The outcome of the lesson observation for
Developmental Appraisal System should inform the Staff Development Teams (SDTs) on the areas
of development and support.

What does this document contain?
(i) A set of principles to guide the integration of WSE and DAS processes

(ii) A protocol which is a step by step set of procedures to be followed to guide evaluators or
appraisers during lesson observation

(iii) A pre-lesson observation checklist, which should be discussed by the evaluators/
appraisers

(iv) A Lesson observation Instrument for both WSE and DAS
PRINCIPLES

- Observation of educators in practice includes observing educators' skills in facilitating teaching and learning, as assessing the quality thereof. Both DAS and WSE require such observation. DAS needs to inform the individual educator's professional growth plan towards more effective curriculum delivery. WSE validates the quality of teaching and learning opportunities and reinforces the ongoing implementation of DAS.
- Observing educators in practice must attempt to limit disturbances of normal school operations.
- Evaluations for lesson observations need to give priority to gateway learning areas, in accordance with the imperatives at any given period. Current priorities include Languages, Mathematics and Natural Sciences and areas that should address barriers to learning and development of learners.
- Educators' identifications and any discussions ensuing from the WSE observations must be kept confidential.
- The School Management Team (SMT), the Staff Development Teams (SDTs) and the WSE teams must work in a collaborative manner in order to ensure effective implementation of all these processes in a school.

PROTOCOL

The Protocol is a set of step-by-step processes and procedures to be followed in order to harmonize both the internal and external evaluation for purposes of DAS and WSE. This protocol should be read and applied in conjunction with WSE and DAS policies.

Planning and Timing

It is advisable that departments and schools establish a procedure that allows schools to prepare their programmes during external evaluations. There should be adequate time given to schools, through giving them notices of external evaluations as early as possible. This will assist schools to make sure the two processes coincide.

Process A: Internal appraisals and evaluations

Step 1

The District and the principal of a school should facilitate the establishment of DAS structures in the school and its implementation.
Step 2
Self-appraisal of individual educators should take place before any lesson observation of educators in practice.

Step 3
Lesson observation of educators in practice for purposes of both DAS and WSE must coincide to utilize human resources and time efficiently. The Principal, the School Management Team, and the Staff Development Team, in consultation with staff members, develop an implementation plan for lesson observation of educators in practice as required by these two processes. This implementation plan must indicate clearly who should be evaluated/appraised, by whom and when. This information must be reflected in the school composite timetable well in advance of implementation.

Step 4
The DAS panelist observe the lesson using the prescribed instrument and discuss the outcomes of the lesson observation with the educator observed/appraised. The appraisee may request copies of the lesson observation records and should not be denied access to this information.

Step 5
The DAS panelist will make the information on lesson observation available for WSE internal processes.

Process B: external appraisals and evaluations

Step 1
The WSE team leader to determine a suitable date for the external evaluation, after consultation with the Principal and SMT of the school. Schools to be informed timely (at least 4 weeks in advance − excluding recess) of the dates of a forthcoming visit for the purpose of conducting WSE. Where necessary, the Department and the principal of a school will facilitate the establishment of DAS structures in the school and its implementation.

Step 2
If not already done, the WSE team leader to request the District to provide advocacy and training around WSE and DAS. The District to make the necessary arrangements with the school principal to do so, and to inform the principal of documentation required before the visit, including assessment reports, learner profiles, learning programmes, timetables, school policies and DAS documentation. The school management should also inform parents, educators and learners of the forthcoming evaluation, and its purpose.
Step 3
Pre-evaluation visit by team leader to the school, to meet with SMT and SDT and:
- Collect documentation – self-evaluation forms, professional growth plans, DAS reports etc.
- Finalise dates for the whole school evaluation
- Confirm the appointment of a school-based WSE coordinator (does not need to be the principal) in accordance with WSE Policy
- Discuss the process to be followed, and impress the need to maintain the normal routine of the school.

Step 4
On the basis of documentation received, and their own priorities, the team leader and supervisors to identify a representative cross-section of educators for observation in practice; and communicate this to the school as soon as possible, preferably during the week prior to the external evaluation. The WSE team should consist of supervisors with appropriate knowledge of learning areas to be evaluated.

Step 5
The external evaluation
- School management to introduce the WSE team to the staff, and remind them of the purpose of the visit;
- The supervisors to confirm which educators are to be observed and finalise a timetable for the week with the SMT and SDT;
- Evaluation of the other B areas goes on simultaneously with the lesson observations;
- Supervisors involved in observations to meet with DAS panels and appraisals to consider and complete the pre-evaluation educator profile checklist and collect other significant information on the individual educator, including the professional growth plans;
- A member of the DAS panel with appropriate learning area knowledge to accompany the supervisor in relevant lesson observations;
- DAS panelist and WSE supervisor to observe the lesson using the same instrument (each completing a separate form); compare findings and discuss these with the appraised. The appraisee may request copies of evaluation forms;
- Confidentiality regarding the identity of the appraisees is assured in any documentation leaving the school as part of the WSE (the name of the appraisees is written in the form for DAS purposes only).
Step 6a

The DAS processes must inform the professional development of individual educators.

- The Professional Development Plan (PDP) is prepared after the observation.

Step 6b

The supervisor prepares a written report after the observation to include:

- WSE evaluation of the quality of learning and teaching
- WSE evaluation of the quality of DAS processes

A consolidated report on the quality of teaching and learning is to be incorporated into the final WSE report for the school.

RESOLUTION OF GRIEVANCES

Where agreement cannot be reached, the matter will be referred to the next level supervisor (reviewing officer) within a week.

If there is still no resolution within 5 working days and where there are:

- Serious breaches of the guidelines or of due process; or
- Serious grounds for challenging the overall performance rating

Either party may request a formal review. This request should be in writing and must state the reasons why the educator believes there are grounds for challenging the process or the result.

A Review Committee, consisting of a peer (Senior Manager), observers from trade unions admitted to Council and a neutral person will then be appointed by the Regional Manager/District Manager (or his/her delegate). The Review Committee will then make a recommendation to the Head of Department.
3. THE PRE-LESSON OBSERVATION CHECKLIST

PRE-EVALUATION EDUCATOR PROFILE CHECKLIST

To be used for establishing the profile of each educator selected for classroom observation. The questions could be used as a framework for a professional discussion between the WSE supervisor, the DAS panelist, and the educator.

No written responses required.

Wherever appropriate documentary evidence should be provided.

- Have you been appraised through the Developmental Appraisal System?
- What is your projected Professional Growth Plan?
- To what extent have you managed to acquire new knowledge and additional skills to address your professional needs?
- Do you stay informed regarding policies and regulations applicable to your position?
- Do you receive support from your colleagues, school managers, governing body and departmental officials?
- Do you share information with colleagues?
- Is there anything you need that could help you develop and become more effective?
- How do you contribute to extra-curricular activities at the school?
- Do you participate in professional activities?
- What type of community activities are you involved in?
- What role do you play in formulating and implementing the school's policies?
- Are there any other matters you would like to bring to the attention of the supervisor before you are observed in practice?
LESSON OBSERVATION OF EDUCATORS IN PRACTICE

Name: __________________________ (NB: only for DAS purposes)

School: __________________________

Address: __________________________

Email: __________________________

Date of Observation: ________________

Names of Observers: __________________________

Signature of observer: __________________________
The Lesson Observation Instrument

The instrument is designed for lesson observation of educators in practice for both Whole School Evaluation and Developmental Appraisal Systems.

The instrument has four focus areas which should be assessed:

- The creation of a positive learning environment
- Knowledge of curriculum and learning programmes
- Lesson planning, preparation and presentation
- Learner assessment

Each focus area asks a question:

- Does the educator create a suitable environment for teaching and learning?
- Does the educator demonstrate adequate knowledge of the learning area and does she use this knowledge effectively to create meaningful experiences for learners?
- Is lesson planning clear, logical and sequential, and is there evidence that individual lessons fit into a broader learning programme?
- Is assessment used to promote teaching and learning?

Each of these questions is assessed in terms of four levels of performance. They are:

- **Rating 1**: Unacceptable. This level of performance does not meet minimum expectations and requires urgent interventions and support.
- **Rating 2**: Satisfies minimum expectations. This level of performance is acceptable and is in line with minimum expectations, but development and support are still required.
- **Rating 3**: Good. Performance is good and meets expectations, but some areas are still in need of development and support.
- **Rating 4**: Outstanding. Performance is outstanding and exceeds expectations. Although performance is excellent, continuous self-development and improvement are advised.
A GUIDE ON HOW TO USE THE LESSON OBSERVATION INSTRUMENT

1. The focus area appears at the top of the instrument and is followed by a broad statement of what the expectation is...

2. The question to be answered from the observation is given.

3. The supervisor/appraiser is required to record observations as clearly as possible in the appropriate columns as follows:

3.1 In the column "Strengths", record the strengths that have been taken into account in the assessment rating.

3.2 In the column "Notes on contextual factors", record the contextual factors that have influenced the assessment rating. These can consist of personal, social, economic and political factors. The assessment of contextual factors is intended to assess not only their effect on performance, but also the manner in which the educator addresses these issues. The comments should, therefore, reflect the following.

3.2.1 To what extent do contextual factors influence performance?

3.2.2 To what extent does the educator attempt to overcome negative influences in their teaching?

3.3 Rate the performance of the educator in each of the four focus areas by placing a cross in ONE of the blocks marked "Rating".

Example:  

3.4 Make recommendations in the column "Recommendations for Development". These are based on the overall rating in the light of what the educator did in practice and the contextual observations as well as a post-observation interview with the educator.
**Focus Area:** Creation of a learning environment

**Expectation:** The educator creates a positive learning environment that enables the learners to actively participate and achieve success in the learning process.

**Does the educator create a suitable climate for teaching and learning?**

<table>
<thead>
<tr>
<th>Level of Performance</th>
<th>Strengths</th>
<th>Notes on contextual factors</th>
<th>Recommendations for development</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Unacceptable</td>
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<tr>
<td>• No effort to create a learning space conducive to teaching and learning.</td>
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<td>• Organisation of learning space hampers teaching and learning.</td>
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<td>• Educators and learners appear disinterested.</td>
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<td>• No discipline, much time is wasted.</td>
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<td>• Educator insensitive to race, cultural and gender diversity.</td>
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<td>2. Satisfies minimum expectations.</td>
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<td>• There is evidence of some attempt at creating a suitable learning environment.</td>
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<td>• Environment supports group and/or individual learning.</td>
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<tr>
<td>• Learners are engaged in activities for most of the lesson.</td>
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<td>• Environment is disciplined.</td>
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<td>• Environment is free of obvious discrimination.</td>
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<td>3. Good:</td>
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<tr>
<td>• Organisation of learning space makes use of relevant resources to aid teaching and learning.</td>
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<tr>
<td>• Organisation of learning space encourages group and individual activity.</td>
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<tr>
<td>• There is a lively and stimulating environment with purposeful activity.</td>
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<td>• There is positive reinforcement, encouragement and appropriate admiration of</td>
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<td>• Educator uses inclusive strategies, acknowledges and promotes respect for individuality and diversity.</td>
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<td>4. Outstanding</td>
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<tr>
<td>• Organisation of learning space encourages questions, exchange of ideas and experiences, cooperative learning, and productive activity on the part of all learners.</td>
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<tr>
<td>• Relevant resources are continuously up-to-date as a resource in teaching and learning.</td>
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<td>• As above + Learners are motivated and self-disciplined.</td>
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</table>

**Rating**

Unacceptable = 1
Satisfies Minimum Expectations = 2
Good = 3
Outstanding = 4
**Focus Area:** Knowledge of curriculum and learning programmes

**Expectation:** The educator possesses appropriate content knowledge. This is demonstrated in the creation of meaningful learning experiences.

**Does the educator demonstrate adequate knowledge of the learning area and does he/she use this knowledge effectively to create meaningful experiences for learners?**

<table>
<thead>
<tr>
<th>Level of Performance</th>
<th>Strengths</th>
<th>Notes on contextual factors</th>
<th>Recommendations for development</th>
</tr>
</thead>
</table>
| 1. Unacceptable      | - Educator conveys inaccurate and limited knowledge of learning area  
- No skill in creating enjoyable learning experiences for learners  
- Little or no evidence of goal-setting to achieve curriculum outcomes  
- Makes no attempt to interpret the learning programmes for the benefit of learners. | | |
| 2. Satisfies minimum expectations | - Educator's knowledge is adequate but not comprehensive  
- Has some skill in engaging learners and relating the learning programme to learners' needs and background  
- Evidence of some goal setting to achieve curriculum outcomes. Makes some attempt to interpret the learning programmes for the benefit of learners. | | |
| 3. Good              | - Educator is able to use knowledge and information to extend the knowledge of learners.  
- Educator skillfully involves learners in learning area.  
- Good balance between clarity of goals of learning programme and expression of learner needs, interests and background. | | |
| 4. Outstanding       | - Inspires learners through their engagement with learning area to further reading, activity and involvement outside school hours.  
- Excellent balance between clarity of goals of learning programme and expression of learner needs interests and background | | |

**Rating**
- Unacceptable = 1  
- Satisfies minimum expectation = 2  
- Good = 3  
- Outstanding = 4
**Focus Area: Lesson Planning, Preparation and Presentation**

Expectation: The educator demonstrates competence in planning, preparation, presentation and management of learning programmes.

**Lesson Planning Clear, Logical and Sequential, and is there evidence that individual lessons fit into a broader learning programme?**

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<tr>
<th>Level of Performance</th>
<th>Strengths</th>
<th>Notes on contextual factors</th>
<th>Recommendations for development</th>
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</table>
| Unacceptable:        | - Little or no evidence of planning;  
                        - Lesson not presented clearly;  
                        - No records are kept;           |
| Satisfies minimum expectations: | - Lessons have structure and are relatively clearly presented;  
                              - Essential records of planning and learner progress are maintained; |
| Good:                | - Lesson planning is generally clear, logical and sequential;  
                        - Lesson planning clearly fits into a broader learning programme by building on previous lessons and anticipating future learning activities;  
                        - Essential records of planning and learner progress are maintained; |
| Outstanding:         | - Lesson planning is abundantly clear, logical, sequential and developmental;  
                        - Essential records of planning and learner progress are maintained;  
                        - There is a clear sense of purpose in achieving the goals of the overall learning programme; |

**Rating**

- Unacceptable = 1
- Satisfies minimum expectations = 2
- Good = 3
- Outstanding = 4
**Focus Area:** Learner Assessment/Achievement

**Expectation:** The educator demonstrates competence in monitoring, assessing learner progress and achievement.

**IS ASSESSMENT USED IN ORDER TO PROMOTE TEACHING AND LEARNING?**

<table>
<thead>
<tr>
<th>Level of Performance</th>
<th>Strengths</th>
<th>Notes on contextual factors</th>
<th>Recommendations for development</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Unacceptable</td>
<td>No evidence of meaningful feedback to learners; feedback irregular and inconsistent.</td>
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<td></td>
<td>Assessment results do not influence teaching strategies.</td>
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<td></td>
<td>Doesn’t demonstrate an understanding of different types of assessment.</td>
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<td></td>
<td>Only uses tests.</td>
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<td></td>
<td>No evidence of records, or records are incomplete and irregular.</td>
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<tr>
<td>2. Satisfies minimum expectations:</td>
<td>Some evidence of feedback, but not always regular or consistent.</td>
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<td></td>
<td>Some evidence of corrective measures and remedial activity.</td>
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<td></td>
<td>Introduces some degree of variety in assessment techniques, but assessment is usually a technical exercise.</td>
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<td>Maintains essential records.</td>
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<td></td>
<td>Has a basic understanding of different types of assessment.</td>
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<td>3. Good:</td>
<td>Feedback is regularly and timely provided.</td>
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<td></td>
<td>Lessons are appropriately tailored to address learners’ strengths and areas of weakness.</td>
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<td></td>
<td>A variety of assessment techniques are used.</td>
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<td>Choice of assessment strategies allows learners to demonstrate their talents.</td>
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<td>Records are systematically, efficiently and regularly maintained.</td>
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<td>4. Outstanding:</td>
<td>Assessment techniques cater for learners from diverse backgrounds, with multiple intelligences and learning styles.</td>
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<td>Educator provides meaningful feedback regularly and consistently with intervention strategies for both exceptional learners and underachievers.</td>
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<td>Records are easily accessed and provide insights into learners’ individual progression.</td>
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<td>Assessment is used to motivate and reward learners.</td>
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</tbody>
</table>

**Rating**

- Unacceptable = 1
- Satisfies minimum expectations = 2
- Good = 3
- Outstanding = 4