Generic Moderator Guide

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This outcomes-based learning material was developed by Masifunde Training Centre with funding from INSETA in July 2014. The material is generic in nature and is intended to serve as a minimum standard for the industry.

1. Moderation Policy: Introduction and Background

INSQA Assessment and Moderation Policy Framework
The INSQA Assessment and Moderation Policy Framework forms the foundation policy for all assessment and moderation activities in the insurance sector. (A copy of the policy framework is enclosed herewith.)

Summary Guidelines
Page 4 of the framework reads as follows:

"Moderation

Moderators will evaluate assessments with the use of a checklist designed and developed in conjunction with assessors. The checklist will take into account the formative assessment of unit standards and the summative assessment of exit-level outcomes.
Moderators will inspect a random sample of 50% of assessments, against 50% of the criteria stipulated in the moderator checklist, randomly selected, including moderation of exit-level outcomes.
INSQA will conduct external moderation on the same basis to quality assure in terms of fairness and consistency and to investigate any trends."

In the above extract, INSQA has given summary guidelines on what will be moderated, the sampling requirements and the verification process. These guidelines will be absorbed into the moderation plan (see relevant section in file).

Functions of Internal Moderation
On page 33 of the framework, INSQA clearly lays down the functions of internal moderation:

 "Providers will be required to demonstrate that they have the capacity to implement an internal moderation system to effectively and efficiently carry out the following functions:

- Establish systems and procedures for internal moderation
- Monitor consistency of assessment records
- Through assessment sampling,
    - Check design of assessment material for appropriateness to unit standards and qualifications being assessed
    - Ensure that assessments are properly conducted and that appropriate arrangements have been made
    - Monitor assessment processes
    - Judge candidates' evidence
    - Check assessor results and decisions for consistency
    - Investigate any trends
- Co-ordinate assessor meetings and forums to facilitate regular discussions among assessors
- Attend assessor meetings and forums per invitation
- Liaise with assessors and external moderators on all relevant issues
- Provide appropriate and necessary support, advice and guidance to assessors
- Adhere to the *INSQA Code of Conduct for Assessors and Moderators*."

The abovementioned policy and Code of Conduct as annexed, will form the foundation for all moderation activities for INSETA accredited Training Providers.

Moderation Policy and Procedure Document

1.1 Aim

The aim of this document is to compile the Training Provider with a policy and procedure guideline in order to provide for consistent, fair and reliable moderation of assessments across the institution.

1.2 Scope

The scope of this procedure covers all standards-based assessment practices.

1.3 Definitions

- **Moderator:** A competent person (registered Moderator) or body to "supervise" Assessors, supporting them, ensuring consistency, validation, fairness and reliability in assessment practices, and who implements and manages assessment record keeping.

- **Moderation: Internal Moderation**: A process of quality assuring assessments conducted, ensuring that they are fair, valid and reliable.

- **Assessor:** Refers to the person who is registered by the relevant Education and Training Quality Assurance Body (ETQA) in accordance with criteria established for this purpose by the Standards Generating Body (SGB) to measure the achievements of specified National Qualification Framework (NQF) standards or qualifications.

- **Assessment:** A process of gathering evidence of Learners' work of competence against registered standards to measure, analyse, interpret, and make judgements about the achievement or non-achievement of specified National Qualification Framework standards and/or qualifications.

- **Standards-based Assessment:** A structured process for gathering evidence and judging competence against predetermined agreed outcomes and standards.

- **Learner:** An individual who is participating in a learning programme with the

purpose of achieving credits for standards and/or qualifications.

- **Valid:** The evidence is valid if it relates to the specific standard that the learner is being assessed against.

- **Authentic:** The Assessor is sure that the evidence produced was produced by the learner.

- **Sufficient:** The evidence is sufficient if there is enough evidence of the right quality to demonstrate the learner's competence and for the Assessor to be able to make a fair judgement.

1.4 Abbreviations
INSQA – Insurance Sector Quality Assurer
EV – External Verifier
INSETA – Insurance Sector Education and Training Authority
SGB – Standards Generating Body

1.5 Responsible for Review
CEO: Accredited Training Provider

1.6 Steps for Implementation

1.6.1 Responsibilities

Assessors are to ensure that all summative assessment results are recorded accurately.

Moderators are to ensure that all moderated assessment results are recorded accurately and checked for quality processes and results.

The responsible person designated by the Training Provider is to ensure that moderation of at least a 25% sample takes place.

1.6.2 Conducting Moderation. The steps involved in conducting moderation are as follows:

- Plan and prepare for moderation
- Conduct moderation
- Provide advice and support to assessors and assessment agencies
- Record, report and administer moderation
- Review moderation system and process

All moderation actions at the Training Provider will comply with these steps:

1.6.3 Inputs
Assessment procedures
- Unit Standards
- Assessment guides
- Completed assessments

1.6.4 **Outputs**

- Decision on Assessor competence and consistency

1.7 **Planning**

The moderation system is designed to comply with specific moderation requirements of the learning delivery system. Techniques will be selected in terms of their strengths, weaknesses and applications in a particular context, and for their compliance with principles of assessment and need for manageable, credible and reliable moderation.

All planning and preparation activities will be aligned with moderation system requirements. The scope of the moderation will be confirmed with relevant parties. (Parties include the Assessors or assessment agencies, moderating and verifying bodies)

The scope and nature of moderation activities will be planned in such a way as to:
- Ensure the moderation process is manageable and
- Enable a fair judgement to be passed on the assessments under review

During planning, the contexts of the assessments will be clarified with the assessor and special needs taken into consideration. Planning will confirm that moderation processes are sufficient to deal with all common forms of evidence including evidence gathered for recognition of prior learning (RPL).

Moderation documentation has been prepared in line with the INSQA moderation system requirements and moderation decisions are clearly documented.

Physical and human resources requirements are available. All logistical arrangements will be confirmed with relevant role-players prior to commencement of the moderation.

1.8 **Implementation**

Moderation is to be conducted in accordance with the moderation plan. Unforeseen events will be handled within the broad spirit of the plan and without compromising the validity of the moderation.

1.8.1 **Moderation Checks:**

- Assessment instruments and processes are to be judged in terms of their appropriateness, fairness, validity and sufficiency for assessment, in accordance with quality assurance requirements.

- The Assessor's interpretation of assessment criteria and correct application of assessment procedures.

The moderation will confirm that special needs of candidates have been provided for but without compromising the required standards.

1.8.2 **Moderation Decision.** The moderation decision will:
- Confirm the assessment decisions where it is clear that requirements for fairness, reliability and consistency have been achieved, or,
- Indicate where the assessment failed to meet the quality requirements

1.8.3 **Moderation Samples.** The proportion of assessment decisions selected for moderation will be a minimum of 25% of all formative assessments and summative assessments completed, with a minimum of 3 learners sampled per group. These percentages will also depend on numbers of assessments requiring moderation.

1.8.4 **Hard copy moderation.** All moderation, including distance online Portfolios, will be moderated on hard copy samples and presented as such to the verifiers.

1.9 **Post-assessment**

1.9.1 **Appeals**. Appeals against assessment decisions will be handled in accordance with the appeal procedures. (See Annexure A).

1.9.2 **Feedback to stakeholders.** Moderation findings will be reported to designated role-players within agreed timeframes and according to the INSQA requirements for format and content.

1.9.3 **Record Keeping**. Records will be maintained in accordance with the INSQA requirements.

1.10. **General.**

1.10.1 **Confidentiality.** The confidentiality of information relating to candidates and assessors will be preserved in accordance with the requirements of the INSQA requirements.

1.10.2 **Verification.** The registered moderators will perform moderation on the activities and results of all the Training Provider's Assessors. These moderators are subject to external verification by INSQA's appointed external verifiers.

10.3 **Costs.** If moderation is done by an internal moderator, the costs will be governed by the agreements in place between the internal moderator and the Training Provider. If the moderation is requested by an outside training provider or employer, a contract will be drawn up with costs.

10.4 **Scope of Moderation**. In order to achieve the assessment principles, moderation will cover design, pre-assessment, post-assessment, conduct of assessment as well as systems and procedures.

10.5 **Range.** The range of moderation approaches / methods / techniques comprise of:

- Documentary reviews (85% of 50%)
- Candidate interviews (7% of 50%)
- Moderation observations of assessments (6% of 50%)
- Moderation re-assessments (2% of 50%)

    Actual methodologies being used include:
- Monitoring (on-going)
- Approval of key assessor decisions (ad-hoc)
- Audit, (annually) by Internal Stakeholders

Moderation takes place on a continuous basis with the miscellaneous approaches and methodologies at the discretion of the Moderator.

10. 6 Checking

A 25% sample of all assessment decisions by all Assessors is moderated. If differences exist between the Moderator and the Assessor, the dispute will be referred to the External Verifier.

10.7 Correcting Non-conformance

Where moderation discovers non-conformance, advice will be provided in such a way as to facilitate a common understanding of the relevant standards and issues related to their assessment by Assessors. Moderation advice will ensure that the nature and quality of advice promotes assessment in accordance with good assessment principles and enhances the development and maintenance of quality management systems in line with INSQA requirements. Advice will include recommendation on:

- Quality management systems,
- Issues such as planning, staffing, resourcing, training and
- Recording systems

All communications will be conducted in accordance with relevant confidentiality requirements.

10.8 Review. The moderation process will be reviewed annually. The review process will identify the strengths and weaknesses of moderation systems and processes in terms of their manageability and potential to make sound judgements on the consistency, fairness and validity of assessment decisions. Recommendations will facilitate the improvement of moderation systems and processes in line with INSQA requirements and overall manageability.

The review will be conducted in a manner that enhances the credibility and integrity of the recognition system at provider, sector and national levels.

10.9 Reports.

An Assessor and Moderator Report will be compiled for every group at the completion of the programme and presented to INSETA at the verification visit. The INSETA approved Reports will be used, which contain the inter-reporting relationship between the Assessor and Moderator. The Assessor and Moderator reports will be forwarded to the INSQA.

It is imperative to keep abreast with changes in the INSETA policies. See 2013 Revised Assessor Moderator Report document and guidelines for verification.

2. Templates for use

ETQA ASSESSOR / MODERATION REPORT

Instructions:

Training provider to complete Section A and Section E
Assessor to complete Section B, Section D – Part B and Section E
Moderator to complete Section C, Section D – Part A and Section E

SECTION A

Training Provider:

Name of the training provider	
Accreditation Number	
Accreditation Scope	
Accreditation End Date	
Address	
Contact Person	
Telephone	
Fax Number	
E-mail address	

Employer (if applicable):

Name of the Employer	
Levy Number	
Address	
Contact Person	
Telephone	
Fax Number	
E-mail address	

Learnerships/Qualification/Skills Programme Detail:

What training is being reported on	Learnership		Qualification		Skills Programme	
Learnership/Qualification/Skills Programme Name						
LGA Number						
Learnership Start Date						
Core Unit Standards Nr's						
Formative Unit Standards Nr's						
Elective Unit Standards Nr's						

Assessor Details:

Name of the Assessor	
INSETA Registration Number	
INSETA Registration End Date	
Scope with INSETA	
INSETA Registration End Date	
ID Number	
Telephone	
Fax Number	
E-mail address	

Moderator Details:

Name of the Moderator	
INSETA Registration Number	
INSETA Registration End Date	
Scope with INSETA	
INSETA Registration End Date	
ID Number	
Telephone	
Fax Number	
E-mail address	

PART B:
ASSESSOR REPORT

Note: Each Assessor to complete this section – Number B1, B2, etc. for multiple assessors.

Type of assessment (e.g. RPL; FAIS; Learnership; etc)				
Learning Assumed to be in place				
Summarise the assessment plan				
Summarise how the learners were prepared for assessment				
Indicate what is the pass rate, as per the provider's policy	**Formative**		**Summative**	
Did the assessment process meet the following principles	**Yes/No**	**Comments:** (How, Where, What)		
Fairness				
Validity				
Authenticity				
Reliability				
Sufficiency				
Currency				
Where the critical cross field outcomes, range statements, essential embedded knowledge and exit outcomes covered in the assessment tools?				
Explain how does the learning schedule meet the required notional hours				
List the different assessment methods used				
Was any special needs reported by the learners and a medical practitioner? E.g O.T. Report or Specialist Report	**YES**		**NO**	
Were any other special needs identified in the sample learner portfolios?	**YES**		**NO**	
If yes, what action or method of special assessment was undertaken to assist the learner?				

LEARNER COMMUNICATION	
How did you ensure that the instructions to learners/candidates were clear and unambiguous?	
Indicate whether assessment plan states the date, time and venue of the summative assessment and is signed by both the assessor and learner/candidate	
How were the learners/candidates provided with feedback?	
Do the learners/candidates have an opportunity to give feedback to the assessor?	
How are the learners/candidates informed about the re-assessment and appeals procedures?	

LEARNER RECORDS	
Names of learners/candidates who are deemed competent.	
Names of learners/candidates who are deemed partial competent.	
Names of learners/candidates deemed not yet competent	
Were any learners/candidates provided any remediation opportunities? Please provide details (including the criteria for, and method and outcome of remediation)	
Where there any learners/candidates terminations (Provide names and ID numbers)	

PLAGIARISM				
Were there any fraudulent, irregularities or plagiaristic observations made?	**YES**		**NO**	
If yes,	**Formative**		**Summative**	
Names and ID number of learners/candidates involved				
Describe the action taken?				

Outcome	

OBSERVATIONS AND RECOMMENDATIONS	
General Observations	
RECOMMENDATIONS AND IMPROVEMENTS	
Assessment Tools and Instruments	
Assessment Practice	
Learning Delivery	
Other	

ASSESSOR COMMENTS ON THE FACILITATOR

Please complete - In the event that the assessor is not the facilitator

Facilitator Overall Performance							
How do you rate the facilitator's overall performance:							
Poor		Average		Good		Excellent	

Assessors Feedback	Comments/Recommendations
Facilitator report received?	
Observations/recommendations w.r.t. facilitator comments	
What strengths does the facilitator have?	
What areas for development did you identify w.r.t. the facilitator?	
Were the training venue / assessment instruments suitable for training?	

SECTION C:
MODERATOR REPORT

Portfolios of Evidence:
Note: Portfolios consist of Formative and Summative Assessments inc Workbooks, Logbooks, etc)

Assessor Name (1)		
Number of portfolios assessed		
Names and ID numbers of the Learner portfolios that were moderated (25% minimum 3 portfolios)		

Assessor Name (2)		
Number of portfolios assessed		
Names and ID numbers of the Learner portfolios that were moderated (25% minimum 3 portfolios)		

PART A: PRE-MODERATION

This report is based on an evaluation of the assessment process, the assessment instrument and evidence evaluated, against the following principles:

Principle	Principle Description
Appropriate:	Suited to the outcome being assessed, i.e. capable of gathering evidence in relation to the intended outcome.
Authentic:	The assessor is satisfied that the evidence is attributable to the person being assessed.
CCFOs:	All CCFOs assigned to the Unit Standards and Qualification are addressed appropriately.
Cost Effective:	Assessment methods suitable, manageable, cost effective.
Current:	The evidence is sufficient proof that the candidate is able to perform the assessment outcomes at the time the assessor declares the candidate competent.
Consistency:	With respect to mark allocation; duration of assessment; learner support.
Fair:	The assessment method does not present any barriers to achievement, which are not related to the achievement of the outcome at hand.
Fair and Constructive:	The assessment tool/instrument is appropriate, clear, questions are appropriate and language usage appropriate.
Manageable:	The methods used make for easily-arranged and cost-effective assessments that do not unduly interfere with learning
Integrated with work or the learning itself:	Evidence collection is integrated into the work or learning process where appropriate and feasible, ie. Naturally-occurring evidence.
Moderated:	Assessment plan, assessment guide and assessment instrument and tools were moderated prior to assessment taking place. Portfolio/s moderated for consistency.
Valid:	Evidence matches the requirements of the outcomes, under conditions that mirror the conditions of actual performance as closely as possible.

Sufficient:	All criteria have been met and performance to the required standard can be repeated consistently in the future i.e. not as a "once-off".
Systematic:	Ensures assessment that is fair, effective, repeatable and manageable.
Open:	Transparent i.e. candidates understand the assessment process and the criteria that apply, and can contribute to the planning and accumulation of evidence.

Have the above mentioned principles been adhered to with regard to the following?

Activity	Yes/No	Comments (What, where, how)
Assessment method		

Assessment tools and instruments		
Assessment Guide		

PART B – DURING MODERATION

Principle	Principle Description
Assessment Process	
Consistent and reliable:	The same assessor would make the same judgment again in similar circumstances.
Resource allocation:	Workplace prepared for workplace assessment, required equipment available, dispute handled, all stakeholders involved.
Learner/s response:	The learners able to respond to the questions in an appropriate manner.
Qualification achievement:	Learners complete or work towards Unit Standards in terms of the Rules of Combination for the appropriate qualification and correct Learnership)
Assessor Report:	Assessor report clear and relevant to the assessment.
Learner Portfolios	
Assessment Process:	Evidence of plagiarism, that is, learners copying from each other or copying directly from the book showing that it is not the learner's own work and interpretation.
Assessment tools:	Assessment tools clear on group work and assignments/research requirements.
Evidence:	Evidence provided was clear and relevant to the topic and brief.

Have the principles in part A and B been adhered to with regard to the following?

Activity	Yes/No	Comments
Assessment Plan		
Assessment Process		
Learners Portfolios (Formative and Summative)		
Workplace Assessment		
Logbooks functions address the qualification		
Assessor Decisions in line with the marking memorandum and NQF Principles		

PART C: LEARNER SUPPORT AND GUIDANCE

Confirm whether the following was available:

Documents	Yes/No	Comments/Recommendations
Assessment Policy and Procedures		
RPL Policy and Procedures		
Assessment Plan		
Assessment Strategy		
Assessment Policy		
Pre-moderated assessment/RPL instruments		
Learner Support Policy and procedures		
Moderation Policy		
Appeals Policy and procedures		
Plagiarism Policy and procedures		
Certification Policy		
Confirmation of candidate's preparation/readiness		
Assistance and Resources Available	Yes/No	Comments/Recommendations
Assessor registered for the relevant Unit Standards/Qualifications		
SLA in-place for assessors and/or moderators		
Confidentiality of records maintained and secured		
Learners with Special needs identified		

and accommodated		
Feedback from Learners regarding assessment/RPL		
Evidence of how the learner was prepared for the assessment/RPL		
Workplace assessment conducted and evidence included		
Logbooks for workplace assessment available and relevant		

PART D – POST MODERATION

Methods of Moderation:	Yes/No	Comments/Recommendations
Assessor registered for the relevant Unit Standards/Qualifications with INSETA.		
Number of ticks corresponds with the mark allocation per questions.		
Total numeric allocation corresponds with marks given per question on all formative and summative assessments		
Learners are competent for the formative assessment prior to writing the summative assessment		
Moderator signature affixed next to the percentages and competency level on all the assessments		
Moderator decision indicated next to assessor judgment		
Evidence within the portfolio of moderation		
Moderator use a green pen for the moderation process		

PART E – MODERATOR OVERALL COMMENTS

Indicate number of portfolios being upheld or overturned				
Nr. of Portfolios Competent:	Upheld		Overturned	
Nr. of Portfolios Not Yet Competent	Upheld		Overturned	

If any portfolios were overturned, please complete the table below:

Learner/Candidate Name	Reason for Overturn

SECTION D:
PART A – MODERATOR COMMENTS ON THE ASSESSOR

Note: Moderator to complete this section per assessor – Number D1, D2, etc. for multiple assessors.

Assessors Overall Performance							
How do you rate the assessor's overall performance:							
Poor		Average		Good		Excellent	
Moderator Comments		**Comments/Recommendations**					
Detailed Assessor report available?							
What strengths does the assessor have?							
What areas for development did you identify w.r.t. the assessor?							

PART B – ASSESSOR COMMENTS ON THE MODERATION

Assessor Comments	Yes/No	Comments/Recommendations
Are the minutes of meetings held between the assessor and moderator available?		
Did the moderator involve you in the moderation process?		
Did the moderator consider your special needs?		
Did you have access to all policies and moderation instrument?		
Were you given chance to clarify any uncertainties about moderation?		
Did you receive signed copies of moderation documents?		
Do you agree with the moderation decision?		
Do you agree with the moderator on overturned portfolios?		

SECTION E: SIGNATURES

PARTY TO THE REPORT	Signature	Date
Training Provider CEO/Training Manager		
Assessor (1)		
Assessor (2)		
Moderator		

Use of this form is optional. The moderator indicates agreement with the assessment decision in the Overall Competency Sheet in the administrative documents of the Learner Work File.

Provider Logo
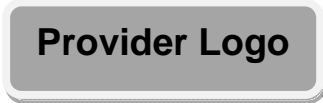
MODERATOR COVER SHEET

Unit standard being moderated: 242554 – Research information in order to assist in conducting a financial risk assessment

Name of Learner : _____   **Group:** _____

Date of Moderation : _____

Moderation of:	Moderated	Comment:
1. Portfolio of Evidence		Formative assessment
2. Knowledge Assessment		Summative assessment
3. Written Assignment		
4. Research Assignment		
Moderation Approach:	**Approach**	**Comment:**
1. Documentary Review		
2. Learner Review		
3. Monitoring Observation		
4. Moderation Assessment		

Findings :

Competent: Original Outcome [   ]   Upheld [   ]   Overturned [   ]

Not Yet Competent: Original Outcome [   ]   Upheld [   ]   Overturned [   ]

Reasons/Counselling Guide:

ASSESSOR: _____   DATE _____   Signature _____

MODERATOR: _____   DATE _____   Signature _____

3. Moderation Report: Material and Assessment Tools

Example of Pre-moderation Report

ETQA ASSESSOR / MODERATION REPORT ON DEVELOPMENT OF SAQA ALIGNED MATERIAL AND ASSESSMENT TOOLS

NAME OF QUALIFICATION

SECTION A

Assessor Details:

Name of the Assessor	
INSETA Registration Number	
INSETA Registration Start Date	
Scope with INSETA	
INSETA Registration End Date	
Passport Number	
Telephone	
E-mail address	

Moderator Details:

Name of the Moderator	
INSETA Registration Number	
INSETA Registration Start Date	
Scope with INSETA	
INSETA Registration End Date	
ID Number	
Telephone	
E-mail address	

SECTION B:

ASSESSOR REPORT

Note: Each Assessor to complete this section – Number B1, B2, etc. for multiple assessors.

Type of assessment **(e.g. RPL; FAIS; Learnership; etc)**	
Learning Assumed to be in place	
Summarise the assessment plan	
Summarise how the learners were prepared for assessment	

Indicate what is the pass rate, as per the provider's policy	Formative		Summative	
Do the assessment process tools the following principles	Yes/No	Comments: (How, Where, What)		
Fairness				
Validity				
Authenticity				
Reliability				
Sufficiency				
Currency				
Where the critical cross field outcomes, range statements, essential embedded knowledge and exit outcomes covered in the assessment tools?				
Explain how does the learning schedule meet the required notional hours				
List the different assessment methods used				

SECTION C:

MODERATOR REPORT

PRE-MODERATION

This report is based on an evaluation of the assessment process, the assessment instrument and evidence evaluated, against the following principles:

Principle	Principle Description
Appropriate:	Suited to the outcome being assessed, i.e. capable of gathering evidence in relation to the intended outcome.
Authentic:	The assessor is satisfied that the evidence is attributable to the person being assessed.
CCFOs:	All CCFOs assigned to the Unit Standards and Qualification is addressed appropriately.
Cost Effective:	Assessment methods suitable, manageable, cost effective.
Current:	The evidence is sufficient proof that the candidate is able to perform the assessment outcomes at the time the assessor declares the candidate competent.
Consistency:	With respect to mark allocation; duration of assessment; learner support.
Fair:	The assessment method does not present any barriers to achievement, which are not related to the achievement of the outcome at hand.
Fair and Constructive:	The assessment tool/instrument is appropriate, clear, questions are appropriate and language usage appropriate.
Manageable:	The methods used make for easily-arranged and cost-effective assessments that do not unduly interfere with learning
Integrated with work or the learning itself:	Evidence collection is integrated into the work or learning process where appropriate and feasible, i.e. Naturally-occurring evidence.
Moderated:	Assessment plan, assessment guide and assessment instrument and tools were moderated prior to assessment taking place. Portfolio/s moderated for consistency.
Valid:	Evidence matches the requirements of the outcomes, under conditions that mirror the conditions of actual performance as closely as possible.

Sufficient:	All criteria have been met and performance to the required standard can be repeated consistently in the future i.e. not as a "once-off".
Systematic:	Ensures assessment that is fair, effective, repeatable and manageable.
Open:	Transparent i.e. candidates understand the assessment process and the criteria that apply, and can contribute to the planning and accumulation of evidence.

Have the above mentioned principles been adhered to with regard to the following?

Activity	Yes/No	Comments (What, where, how)
Assessment method		
Assessment tools and instruments		
Assessment Guide		

SECTION D: SIGNATURES

Declaration:

I hereby declare in my capacity as Subject Matter Expert, Assessor and/or Moderator that the SAQA

Assessment Principles, as well as the INSQA requirements for assessment and alignment of material and

assessment tools have been followed and achieved with the development and quality assurance of the material.

The information supplied to learners in the Learner Guide has been quality assured to ensure that all outcomes are achieved and that the information is reliable, sufficient, valid and current.

The formative assessment activities cover all SO's, AC's, CCFO's and where applicable, EEK's. The range statement per unit standard has been covered in the learner guide and assessment tools.

The summative assessment activities cover the all SO's with at least one question per SO's. In most cases various AC's per SO is covered in the Summative Assessment.
Each summative assessment contains at least one long question with a minimum of 10 marks (section C of the summative assessments).

The qualification ELO's and AAC are covered in the various unit standards and a matrix has been completed to ensure that it is sufficiently covered.

I sign this report out of my own free will and have signed a Code of Conduct with INSETA as an Assessor and/or Moderator.

PARTY TO THE REPORT			Signature	Date
Subject Matter Expert	Name and Surname			
	Contact details			
Assessor	Name and Surname			
	Contact details			
	INSETA Assessor number			
Moderator	Name and Surname			

4. Documentation required for the verification process

INSETA ANNEXURE A:

Dear Provider

<u>**VERIFICATION VISITS**</u>

- Verification is Accreditation requirement, in the event that no verification has been conducted per annum, you may be de-accredited.
- A training provider **may** only upload credits unto the SMS and NLRD after verification has been conducted.
- A training provider **may not** issue a Statement of Credits or Certificate prior to verification.
- Providers offering a learnership must submit Progress/Closure Reports to the INSETA Learnership Division prior to requesting verification.

The ETQA division staff members will be conducting verification visits at times and dates to be confirmed with you after you have submitted a Request for Verification Form.

When we conduct the verification visits, we would kindly request you to have the following available:

1.   Documentation

- Generic Assessor Guide incl. Assessment Plan, Assessment Instruments and Tools, Assessment Matrix, Assessor Report, Policies, Etc.
- Generic Moderation Guide incl. Moderation Plan, Moderator Report, Policies, Etc.

2.   Implementation

- Ensure that **all** learners' Portfolios of Evidence (PoE) are present for the verification, which includes Competent, Not Yet Competent and Reassessed PoE.
- The PoE must include all formative, summative and practical assessments.
- The Learnership PoE must have a Logbook included.
- Ensure that all evidence is assessed and the moderated files are moderated.
- Completed and Signed Assessor Report.

- Completed and Signed Moderator Report.

3.   Administration File

- Name of learning programme.
- Copy of the qualification and unit standard/s linked to the qualification, for which the Learnership is being facilitated.
- List of learners that have been registered on the SMS system.
- Learning programme schedule/Timetable.
- All class and/or workplace registers.
- Proof of registration of the assessors and moderators on the learning programme being verified.
- Learner matrix (Alphabetic per surname, showing competency per unit standard).
- ETQA Verification for NLRD Upload forms.

4.   Portfolios

- Plagiarism will not be tolerated. Learners are required to acknowledge their source, with proper references (Reference List), when material is taken from other sources. Learners should be educated on copyright issues and possible implications of infringements.
- When a learner presents material from other sources they should not just present this as their own work. Material must be used to support the learner's work and the learner should substantiate this with their own analysis and interpretation to show relevance to the question.
- Reference material allowed in a closed-book exam must be presented for inspection in ETQA verifications. No material is allowed that simply "give" the learner the answer. Material such as policy wordings, extracts of legislation etc. that require the learner to analyse/interpret/synthesise/ apply facts can be used under strict supervision.
- Where work is done as a group each learner must be individually assessed.
  Group work is not reliable and valid to show competence of individual learners.
  Group members must be declared.
  Each learner to submit their own version of the group work.
- Assessors and moderators should provide **constructive feedback** where a learner is found not yet competent.
- Assessors should be consistent in their marking and follow the "model" answers.
- There should be consistency in evaluating responses of different learners, i.e. where answers are different in quality, length etc. the marks should be allocated accordingly.

- If the assessor sees fit to deviate from the marking memoranda in judging a learner's response, due to the assessors' expertise he/she should **substantiate** this in detail.

- Any learner that produces identical or similar answers should be thoroughly investigated and a detailed report given to the verifiers.

- No pencil work to be permitted and learner, assessor and moderator comments should be done in different colours of ink to differentiate.

- Each assessment tool should be given a code name and learner responses should indicate the code name on a cover sheet so as to identify different forms of assessment.

- All portfolios of learners must be available for viewing and selection for verification.

- A list of facilitators, assessors and moderators that are facilitating, assessing and moderating the various components of the qualifications as well as their registration numbers, and the scope for which they are registered.

- The accreditation details of the provider and its scope, and any other providers that may be used to facilitate the learning. NB: This include core, fundamental and elective components.

- The assessor's reports and the moderator's reports of learning and achievements to date and copies of these for our records. We also insist that you use the INSETA moderators report to report on your moderations; this can be obtained from our ETQA Secretary.

- The assessment tools and the marking memoranda used by the assessors, and signed-off copy(s) of the assessment tools and marking memoranda by the moderator.

- A completed ETQA NLRD Form.

- Keep copies of NLRD forms and reports prior to giving/sending them to INSETA representative.

- Lastly, we insist that your moderator also be present for the verification visit feedback session.

Please note for assessment reporting we require the following to be submitted with your moderation portfolios:

- Reflect all learner percentages obtained or marks allocate wherever possible, e.g. such as in knowledge tests. The Assessor and Moderator needs to indicate the percentages and/or marks within the assessment(s) as well as indicate and sign off the grand total on the front page.

- Marking memoranda ("model" answers/marking guide against the learning outcomes that will inform what the assessor should regard as "competent")

- A signed report by the internal moderator endorsing the assessment.

The report by the <u>internal moderator</u> should include the following:

- Suitability of the assessment Instruments and design for the unit standard outcomes assessed

- Verification that the technical content of the assessments have been endorsed by a subject-matter expert

- Inspection of at least 25% minimum 3 learner responses to assessment tool

- Overall comment of the performance of the learners

- Comment on learner performance as an indication of effectiveness of the assessment process/design/tools

- Endorsement of assessor scope of subject-matter expertise and/or relevant technical input into assessment where appropriate

- Strengths and Weaknesses of the Assessor(s)

- General: comment on the training provider's Assessment/Moderation policies and system

- General: Recommendations/Conclusions/Comment

- The Moderator Report to be signed and dated (name printed and Moderation No if available or moderator ID number).

The provider has an obligation in terms of its accreditation status to ensure that the relevant capacity is available for internal moderation against the above-mentioned criteria. The internal moderator should endorse the assessment design, processes, instruments etc. before they are administered as well as after an assessment intervention, which will then include a moderation of learner results as evidence of the effectiveness of the assessment system.

Kind Regards,

INSETA ETQA (INSQA)

5. INSETA ANNEXURE B

EXAMPLE OF THE INSTRUCTIONS FOR A GUIDE

A.   ASSESSORS

The assessor must:
- Read the assessment policy, procedures and guidelines of the training provider.

- Read and sign the code of conduct and/or Service Level Agreement.

- Sign the assessment plan with the learners indicating the date, time and venue of the summative assessment.

- Compile a Learner Matrix showing learner name and competency per unit standard.

Learner Name	US NR	US Nr
	C / NYC	C / NYC

- Compile an Assessment Matrix indicating the question or activity number in which the SOs, ACs and CCFOs are being assessed.

US NR ___	Formative Assessment	Summative Assessment
SO 1		
AC 1		
AC 2		
AC 3		
CCFO 1		
CCFO 2		

- Assess the portfolios with a **red** pen.

- Assess all formative and summative assessments in a learner portfolio.

- Mark each question and allocate a mark allocation per question.

- Ensure that the individual ticks and mark allocation per question corresponds.

- Record the grand total on the cover page of each assessment.

- Record the competency level on the cover page of each assessment.

- Initial, date and record your SETA registration number next to the grand total.

- Compile an assessor report per learner.

- Compile a comprehensive overall assessor report per programme for verification; include strengths and weaknesses of the learners, venue, programme, assessment tools, etc.

- Read and sign the moderator report outlining your strengths, weaknesses and development areas.

- Sign the NLRD Upload forms.

- Etc.

B.   MODERATORS

The moderator must:
- Read the assessment and moderation policy, procedures and guidelines of the training provider.

- Read and sign the code of conduct and/or Service Level Agreement.

- Sign a Moderation Plan with the assessor indicating the date, time and venue of when the moderation will be done.

- Moderate the portfolios with a **green** pen, 2nd moderation must be in a pink or purple pen.

- Moderate all formative and summative assessments in a learner portfolio.

- Check that the assessors' marked each question and allocated a mark allocation per question.
- Check that the assessors' individual ticks and mark allocation per question corresponds.

- Record the grand total on the cover page of each assessment next to the assessors' judgment.

- Record the competency level on the cover page of each assessment next to the assessors' judgment.

- Initial, date and record your SETA registration number next to the grand total.

- Compile an INSETA moderator report.

- Compile a report to the training provider commenting on any recommendations on the policies, procedures, guidelines and assessments.

- Compile a report to the assessor(s) indicating the strengths and weaknesses of the assessor and make suggestions on development areas, signed by the assessor.

- Sign the NLRD Upload forms.

- Etc.

6. INSETA Annexure C

60/40 Rule for Assessments

This example below is based on a skills programme that amounts to 60 credits where the assessments have been integrated. As per Inseta's requirements assessment tools need to be divided into 60% formative assessments and 40% summative assessments.

Skills Programme Example:

You have a total mark allocation of 300 marks for the entire skills programme.

The mark calculation is calculated is as follows:

 Formative Assessment {(60/100 x 300) = 180 marks}

Summative Assessment {(40/100 x 300)= 120 marks}

In order to work out the mark allocation per assessment for the formative assessment uses the following guide:

Please note: Calculate   your assessment mark according to the weighting of each task. Group assignments for example will carry less weighting then an individual assignment

A. Formative Assessment Mark Allocation (Total is 180 marks):

Assessments 1& 6:	Group Assignment , **10%** of assessment weighting {(10/60 x 180) = 30 marks}
Assessments 2 & 4 :	On the job Evidence , **15%** of assessment weighting {(15/60 x 180) = 45 marks}
Assessments 3 & 5:	Short Questions , **20%** of assessment weighting {(20/60 x 180) = 60marks}
Assessment 7:	Individual Research Assignment , **15%** of assessment weighting {(15/60 x 180) = 45 marks

B. Summative Mark Allocation (Total is 120 marks):

Type of Assessment: Closed book, invigilated, written exam.

NOTES:

- The learner must obtain a minimum of 50% for the formative assessments to qualify to write the summative assessment.

- Thus the learner must achieve a minimum of 90 marks out of 180 marks to qualify for the summative assessment.

- The learner must then also achieve a <u>minimum of 50%</u> for the summative assessment to be declared competent against the skills programme or qualification.

- Thus the learner must achieve a minimum of 60 marks out of 120 marks to be declared competent against the skills programme or qualification.

- This rule is valid for Skills Programmes, Learnerships and Qualifications as well as RPL.

- In the event of RPL the learner needs to achieve a minimum of 50% for the summative assessment to be declared competent against the unit standards that he/she qualifies for.

7. INSETA Annexure D

Sample of a Logbook: see SAQA 49929 Template provided by INSETA