

**NATIONAL DIPLOMA: OCCUPATIONALLY DIRECTED EDUCATION,
TRAINING AND DEVELOPMENT PRACTICES
ID 50333 LEVEL 5 – 240 CREDITS**

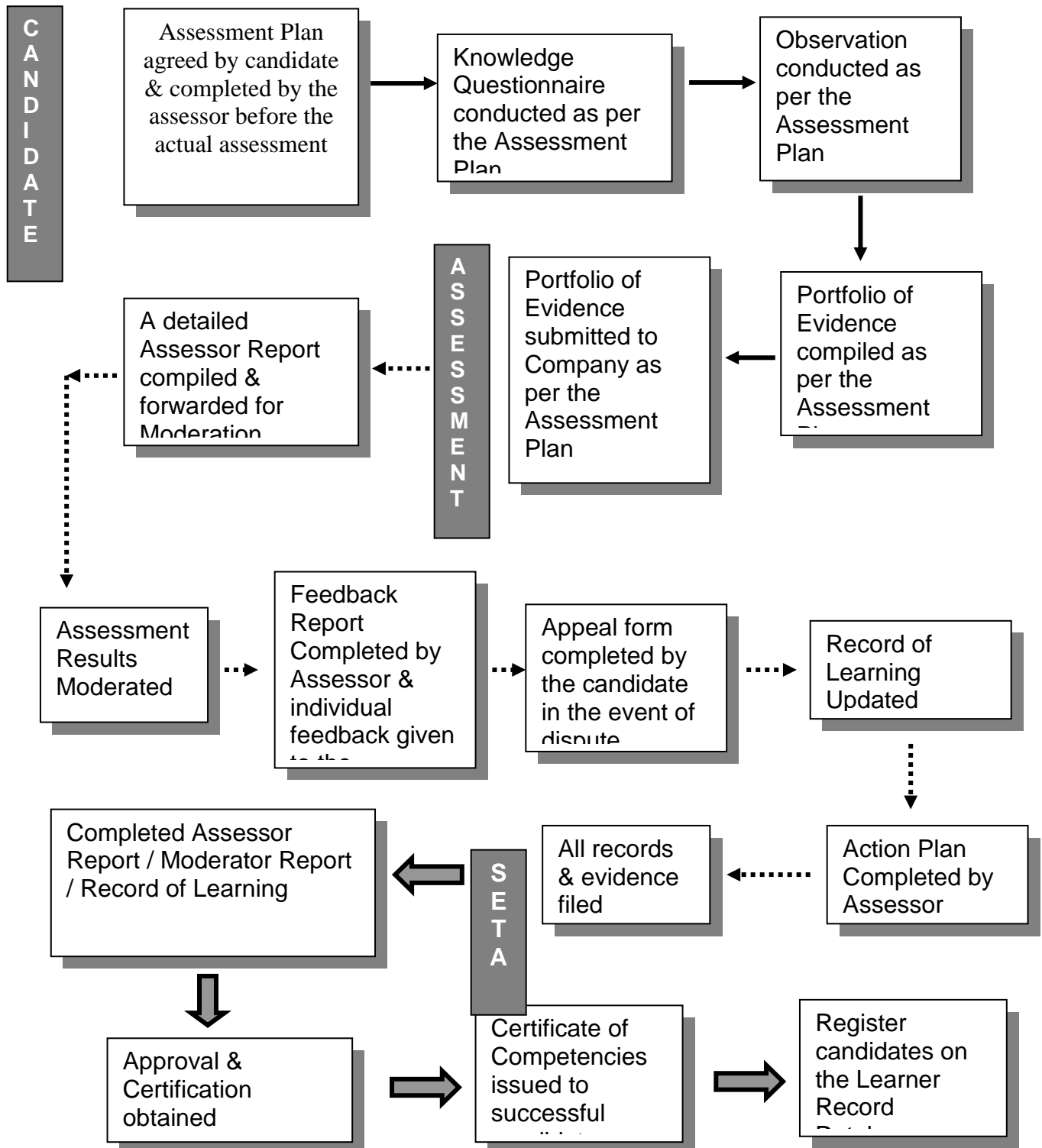
ASSESSMENT GUIDE

SAQA: 115759

Conduct moderation of outcomes-based assessments

1.	Learning Programme Name:	MODERATOR COURSE									
2.	SAQA Qualification/Unit Standard Title:	Conduct outcomes-based assessment									
3.	Qualification/Unit Standard		4.	SAQA ID Number	115759	5.	NQF Level	6	6.	Credits	10
7.	<u>PURPOSE</u> for offering this programme to your learners:	To facilitate learners on how to conduct outcome based assessment									
8.	<u>TARGET AUDIENCE</u> for this specific programme:	Learners who have no experience in MODERATION									
9.	Entry/Admission Requirements:	No previous in moderation experience. Ability to read and write and ability to communicate in different languages Recognition for the unit standard: NLRD 115753: "Conduct outcomes-based assessments".									
10.	Timeframe for Training: (Total Hours/Days/Weeks)	10 x 10 =100 hours Theory content –Role play, Simulation, Group work, Pair work = 24 hrs. Non contact session- self-study, assignment, practise guided by coach or mentor, formative assessment and summative assessment =76 hrs.									

Assessment Process Flow



ASSESSMENT TOOLKIT

Level	5	Assessor's Name	
Credits	10	Assessor's Signature	
Internal Moderator's Name		Internal Moderator's Signature	
Internal Moderator's Name		Internal Moderator's Signature	
Internal Moderator's Name		Internal Moderator's Signature	
Learnership Assessed	MODULE		Group/Town
	115759	Conduct moderation of outcomes-based assessments	

US ID: 115759**Conduct moderation of outcomes-based assessments****ID: 115759****Credits: 10****NQF Level: 5**

1. This is a generic unit standard, and applies to internal and/or external moderation within all fields of learning. It is accepted that moderation happens in different ways and at different levels in different sectors, including different models for what constitutes internal versus external moderation. This standard is intended to cover any situation in which moderation occurs, whether this be internally, i.e. within the ambit of the provider-assessor, or externally through cooperating providers, or externally through professional bodies and quality assurance bodies.
2. Assessment of candidate-moderators will only be valid for award of this unit standard if the following requirements are met:
 - Moderation is carried out for assessments that include candidates with special needs, and RPL situations. Where real assessments are not available to cover these situations, the candidate is able to demonstrate how special needs and RPL situations would be addressed within their moderation plan and process.
 - Moderation covers assessment instruments, assessment design and methodology, assessment records; assessment decisions, reporting and feedback mechanisms.
 - Moderation is carried out for assessments involving a variety of assessment techniques, such as work samples, simulations, role-plays, written items, oral, portfolios and projects.
 - Moderation activities include pre-assessment interactions with assessors, interactions during assessments and post-assessment interactions.
 - Moderation involves at least two sets of real assessment materials for the same standards and at least six assessor decisions.
 - The assessments that are moderated are in relation to a significant, meaningful and coherent outcome statement that includes assessment criteria and allows for judgements of competence in line with SAQA's definition of competence i.e. embraces foundational, practical and reflexive dimensions of competence. This means that moderation of simple, single-task assessments will not be valid for awarding this unit standard.
3. For the purposes of assessment against this unit standard, candidate-moderators should have access to organisational assessment and moderation policies, procedures and systems. It is assumed the organisational policies and procedures are of a quality sufficient for accreditation purposes. Where candidate-moderators are assessed in organisations that do not have a moderation system in place, assessors of moderators should provide a mock system for the purposes of the assessment.
4. This unit standard applies to all Moderators, regardless of whether a person carries out moderation internally, as part of an

organisation's quality assurance system, or externally, as part of an ETQA or other process to verify assessment results supplied by the provider or assessment agency.

Further range statements are provided in the body of the unit standard where they apply to particular specific outcomes or assessment criteria.

CONTENTS:

1. Assessment Plan	2. Review the Assessment Process
3. Assessors Report	4. Checklist : Management & Administration

Note: File assessment toolkit in Assessors' preparation file

1. Assessment Plan

1.1 Pre-Assessment Checklist:

Check list	Attempt 1			Attempt 2			Attempt 3		
	Yes	No	N/A	Yes	No	N/A	Yes	No	N/A
1. Agreed to meet with the learner(s) at a specific time and place.									
2. Explain the assessment process to the learner(s).									
3. Explain my role as an assessor and the learner's role in assessment.									
4. Explain any other people who might be witnessing the assessment.									
5. Ask the learner(s) if he or she has any specific or particular needs for the assessment.									
6. Explain the unit standard and agree on the specific outcomes that you will be assessing.									
7. Explain the RPL process and keep a record of any RPL requirements.									

8. Explain how you are going to conduct the assessment.									
9. Notify the learner(s) when you are going to give them feedback, i.e. either at the end of each assessment activity or at the end of all assessment activities.									
10. Explain your organization's appeal and disputes processes and procedure and if necessary make a copy of this for the learner or ask the learner to initial an appeals and disputes form.									
11. Come to an agreement on what additional evidence the learner can provide to prove he/she is competent.									
12. Give the learner(s) an opportunity to ask and answer any questions.									
13. Reassure the learner(s) that his/her daily activities won't be disrupted too much and that you will ensure confidentiality of information.									

1.2 Assessment Checklist:

Check list	Attempt 1			Attempt 2			Attempt 3		
	Yes	No	N/A	Yes	No	N/A	Yes	No	N/A
1. Arrange with line manager / supervisor/lecturer to do the assessment.									
2. Prepare questions and model answers.									
3. Prepare assessment documentation									

4. Arrange for coaching of learners NYC if needed.									
5. Review assessment process									
6. Explain the assessment tools to be used.									
7. Notify assessor of re-assessment of learners NYC									
8. Did assessor complete an assessment toolkit?									
9. Did assessor submit assessment results?									
10. Notify internal moderator.									
11. Did moderator submit moderation plan?									
12. Is assessment decision upheld?									
13. Did moderator submit moderator report?									
14. Were results recorded on learners PoE?									
15. Is assessment guide cover page signed by relevant parties?									

2. Reviewing the Assessment Process

Complete with an “X” in the box which you think is most applicable

	Learning material	Strongly disagree	Disagree	Agree	Strongly agree
1	The learning process has been logically sequenced				
2	The concepts used are clearly explained				
3	There are enough examples				
4	The examples are appropriate				
5	The materials are relevant to the learner in his/her life.				
6	The subject is relevant to the learner in the workplace				
7	The content clearly relates to the outcomes				
8	The learning material encourages the learner to get involved in the content				
9	The materials facilitate a process for the learner to practice new knowledge, skills and attitudes.				
10	The material encourages the learner to take responsibility for his/her learning.				
11	There are enough exercises provided				
12	The learner builds confidence through the learning material.				

13	The contents are written in a logical and fluent sequence with the correct language usage				
14	Theory (embedded knowledge) is included where necessary.				
15	Practical applications are clearly explained.				
16	Diagrams and illustrations are used appropriately				
17	The contents are technically up to date and relevant.				

	Unit Standard	Strongly disagree	Disagree	Agree	Strongly agree
1	The unit standard covers the practical skills required by your workplace.				
2	The unit standard covers the knowledge required by your workplace				
3	The unit standard is at too high a level.				
4	The unit standard is at too low a level.				
5	The unit standard is essential and relevant.				

	Learning Process	Strongly disagree	Disagree	Agree	Strongly agree
1	The learner receives enough attention from the mentor.				
2	Your mentor/employer provides adequate support				

3	Fellow workers are happy to assist in the learning process.				
4	Other supervisors are willing to allow access to information and work areas.				
5	Line management is willing to accommodate the learning process.				
6	The workplace provides the right kind of work to cover the unit standard covered by the Training Provider				

4. Management & Admin responsibilities.

Assessment plan	Yes/No
1. Arrange for re-assessment of learners NYC.	
2. Arrange for internal moderation of competent learners.	
3. Receive Moderation Plan	
4. Receive Moderation Report	
5. Were copies made of the assessment guide cover page?	
6. Prepare documentation to submit results.	
7. Were copies made of the assessment guide cover page?	
8. Submit results to relevant Seta	

ASSESSMENT QUESTION & ANSWER

The Assessor will use this as a guide when marking the Learner's Answer Scripts. Note that these are guideline answers.

ASSESSMENT ON CRITICAL CROSS FIELD OUTCOMES

Unit standard Title	CONDUCT OUTCOMES-BASED ASSESSMENT			Unit Std Number 115759 NQF level 6	
Learner's Name		ID		NLRD No	
Assessor's Name		C o			

CRITICAL CROSS FIELD OUTCOMES (CCFO)	(S0s)	YES	NO
1. Identify and solve problems using critical and creative thinking: planning for contingencies, candidates with special needs, problems that arise during moderation, suggesting changes to moderation following review.	2,3,4		
2. Work effectively in a team using critical and creative thinking: working with assessors and other relevant parties during moderation, as well as post-moderation.	3,4,5		
3. Organize and manage oneself and ones activities: planning, preparing, conducting and recording the moderation.	2,3,4,6		
4. Collect, analyse, organize and critically evaluate information: gather, evaluate and judge evidence and the assessment process.	2,3,4,5,		

5. Communicate effectively: communicate with assessors and other relevant parties during moderation, and provide feedback.	3,4,5		
6. Demonstrate the world as a set of related systems: understanding the impact of moderation assessment on individuals, organisations and the credibility of recognition through NQF systems.	4,5		
7. Be culturally and aesthetically sensitive across a range of social contexts: plan, conduct and give feedback on moderation in a culturally sensitive manner.	4,5,6		

FORMATIVE ASSESSOR GUIDE

Answers on Learner Workbook
 REFER TO FACILITATOR GUIDE

SUMMATIVE ASSESSOR GUIDE

Summative answer sheet

Task	Knowledge questionnaire	Mark
1	<p>1.1. List the main functions of moderation (SO1, AC1)</p> <ul style="list-style-type: none"> • To verify that assessment are fair, valid, reliable and practicable • To identify the need to redesign assessments if required • To provide an appeals procedure to dissatisfied learners • To provide a procedure for the re-assessment of learners • To evaluate the performance of assessors • To provide procedures for the de-registration of unsatisfactory assessors • To provide feedback to the NSB's on unit standards and qualifications <p>1.2. Describe the four different post assessment moderation methods (SO1, AC2)</p> <p>Postal-based Post-Assessment Moderation Observed Post-Assessment Moderation Panel Post-Assessment Moderation Post-Moderation Process</p> <p>1.3. Describe the Key principles of assessment (SO1, AC3)</p> <p>FAIR CONSTRUCTIVE RECORDED ETC</p> <p>1.4. List Examples of naturally occurring evidence (SO1, AC4)</p> <p>Observation on-the-job. Observing a candidate carry out the tasks in their natural environment is the most direct form of evidence.</p> <ul style="list-style-type: none"> • Evidence produced during normal day to day activities, such as: <ul style="list-style-type: none"> <input type="checkbox"/> Recorded work instructions. 	10

	<input type="checkbox"/> Completed products or photos of completed products. <input type="checkbox"/> Job cards / time sheets. <input type="checkbox"/> Drawings and sketches created on-the-job. <input type="checkbox"/> Completed company business documents e.g. forms, production sheets, etc	
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Task	Knowledge questionnaire	Mark
2	<p>2.1 What is a moderation plan? (SO2, AC1)</p> <p>Planning is an attempt to control moderation practices.</p> <p>Planning is around issues such as the process and systems required, people required and products and resources required.</p> <p>The plan describes:</p> <ul style="list-style-type: none"> • What, exactly, is to be done, • Why the work is being done: for whose benefit, • Who is to do each part of the work, • How it is to be done: the approach, processes, and techniques to be used, • What type of evidence is to be provided, • When the work is to be started and completed, and dates of agreed 'milestones' while the project is in progress, and • Where it is to be done <p>2.2 List the relevant parties in which moderation scope should be confirmed with (SO2, AC2)</p> <p>Parties include the assessors and moderating bodies where these exist.</p>	10

2.3 Describe the level descriptors that will assist you making a judgement on the suitability of the required evidence that has been set out in the assessment material during pre-moderation (SO2, AC3)

REFRE BELOW

2.4 Why is it important to consider special needs during moderation (SO2, AC4)

OWN ANSWER

2.5 List different Moderation Techniques (SO2, AC5)

- Sampling of assessment practices
- Observation of assessment practices
- QA meetings
- Reports from assessors, branch managers etc.
- Interviews
- QA Committees

2.6 List various types of moderation documents that can be used (SO2, AC6)

- Moderation questionnaire
- Structured interview sheet
- Moderation observation checklist
- Moderation plan
- Moderation report
- Sample checklist
- Sample plan

2.7 List all the physical and human resources required to ensure that moderation practices are effective (SO2, AC7)

OWN ANSWER

level descriptors

Level	Knowledge	Skills	Application (of knowledge and skills)
1	Basic general and/or foundation knowledge.	Apply basic solutions to simple problems. Apply basic skills required to carry out	Highly structured contexts. Requiring some responsibility for own learning.
2	Basic factual and/or operational knowledge of a field of work or study.	Apply known solutions to familiar problems Apply standard processes relevant to	General supervision. Requiring some responsibility for own learning and performance
3	Some operational and theoretical knowledge in a field of work or study.	Select and apply from a range of known solutions to familiar problems. Apply a range of standard processes relevant to the field	Limited supervision. Requiring major responsibility for own learning and performance. Adapting own behaviour when
4	Broad operational and theoretical knowledge in a field of work or study.	Select and apply solutions to familiar and sometimes unfamiliar problems. Select and apply a range of standard	Self-management of learning and performance under broad guidance. Some responsibility for performance of others.
5	Broad operational or technical and theoretical knowledge within a specific field of work or study.	Select and apply a range of solutions to familiar and sometimes unfamiliar problems. Select and apply a range of standard	Complete self-management of learning and performance within defined contexts. Some responsibility for the management of
6	Specialised technical or theoretical knowledge with depth in a field of work or study	Analyse and generate solutions to familiar and unfamiliar problems. Select and apply a range of standard	Complete self-management of learning and performance within dynamic contexts. Responsibility for

Task	Knowledge WITH APPLICATION questionnaire	Mark
3	<p>3.1 List Instruments that are designed to assist you with moderating (SO3, AC1)</p> <ul style="list-style-type: none"> • Moderation policy implementation • Assessment strategies and plans • Staff requirements • Managing performance • Self-assessment for assessors • Assessment workplace • Assessment guides • Selection of assessment methods • Assessments practices of RPL • Assessment practices on and off-site • Assessment decisions and confirming assessment results • Process if assessment decision can not be confirmed • Appeals against assessment decisions • Annual reports <p>3.2 In your own understanding explain why is it important for a moderator to verify or evaluate Assessment instruments (SO3,</p>	15

AC2)

LEARNER OWN ANSWER

3.3 Demonstrate understanding of how Moderation should confirm special needs of candidates. (SO3, AC3)

3.4 Describe the Sampling strategies that will enable the proportion of assessments selected for checking to meet the quality assurance body's requirements for consistency and reliability (SO3, AC4)

- The use of all assessment methods across a range of units;
- A selection of unit standards across a sample of evidence files/portfolios/assessments guides;
- A whole qualification across a sample of evidence files/portfolios;
- A sample of units across all assessors (individually/collectively);
- A certain percentage of evidence files/ portfolios in detail and a scan of the rest;
- Sampling by a particular source of evidence;
- A structured sample of candidates according to a particular characteristics, and
- Sampling of satellite centres and other assessment locations.

3.5 Discuss about Appeal of Moderation Decisions (SO3, AC5)

Appeal of Moderation Decisions

All workplace assessors and registered training providers have the right to appeal your moderation decision. The most common cause of an appeal is the lack of clarity or the destructiveness of the feedback given.

Should this occur, the Moderation Manager will investigate. The final decision on the outcome and recommendations for improvement will be made by the Compliance Manager. Moderated assessments with a negative result will be re-evaluated by the Moderation Manager prior to being returned.

Any assessments that are seriously flawed will be followed up directly by the Moderation Manager or a delegated field staff member for rectification and measures put in place to minimize the risk of a repeat result.

Where possible, the first moderator will be contacted on the actions taken and decisions made to close the feedback loop.

3.6 Describe four options of Pre-assessment Moderation Judgement (SO3, AC6)

- Approved.
- Minor Changes Required.
- Significant Changes Required.
- Second Opinion Requested.

Minor changes require approval by the Moderation Manager, e.g.

- Wording changes that do not significantly change the intent or meaning of the content.
- Editing changes.

Special Needs	Assessment Practice	Maintenance of Creditability & Fairness
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Language	Make use of an interpreter	Provides access to assessment – language not a barrier to assessment
Literacy	Identify assessment methods that focus on demonstration and verbal questioning	Candidate of low literacy level accommodation in assessment practice
Writing Skills	Select oral questioning as assessment method	Candidate provided with access to assessment by selection of alternative assessment method
Physical Handicap	Selecting assessment methods that do not present barriers for access to assessment, and the careful selection of assessment context	Ensuring openness and access to assessment, maintaining fairness.
Special Needs	Assessment Practice	Maintenance of Creditability & Fairness
Lacking Confidence	Putting candidate at ease, making use of first name terms (if appropriate), suitable assessment context, avoidance of onlookers	Emphasis on learner's ability to perform to the required standard without external factors influencing confidence
Cultural Factors	An awareness of the need for cultural sensitivity	Equality and transparency in assessment practice

Task	Knowledge questionnaire	Mark
4	<p>4.1 As a moderator what do you think you will need to advise your assessors on (SO4, AC1)</p> <p>OWN ANSWER</p> <p>4.2 Identify moderator skills to maintain the quality of assessment practice. (SO4, AC2)</p>	10

COMMITMENT ABILITY ETC

4.3 List support that can be provided to Assessors (SO4, AC3)

- Circulating new information as soon as possible, drawing attention to any changes
- Giving advise on dealing with the acceptability of evidence, especially with concerns about the quality of evidence provided by candidate
- Providing documentation which makes the assessment process easier and more cost-effective
- Ensuring the regular review of candidate assessment plans
- Discussing individual candidate's assessments
- Discussing examples of evidence, effective combinations of evidence and what constitutes sufficient evidence
- Arranging assessment comparison and standardization exercises, and
- Providing advise on how to meet the assessment requirements of particular candidates

4.4 Describe how to give Feedback (SO4, AC4)

A valuable part of the assessment process for the assessor is the receiving of feedback from the moderator on their performance.

We must remember that competency based assessment is also about life-long learning which is supported by giving timely and specific feedback. We can positively encourage this by being specific and factual. Talk about actual actions and answers – not in general terms.

Task	Knowledge questionnaire	Mark
5	5.1 Why are records of assessment and moderation important? (SO5, AC1) <ul style="list-style-type: none">• Provide useful information when arranging assessment	5

provision, such as the allocation of assessors to candidates;

- Allow assessment to be reviewed and monitored;
- Track candidate's progress through the qualification;
- Form a basis for making certification requests to the accrediting body;
- Enable the training provider to monitor and review its own performance (noting good practice and areas of concern);
- Contribute to the training provider's financial control; and
- Provide information to the ETQA (through the external moderation process), so that the unit standards relating to qualifications can be monitored at a national level.

5.2 Explain how you would ensure the quality of records (SO5, AC2)

Moderators must make sure that assessment and moderation records and candidate evidence records are complete, legible, accurate and auditable – an auditor or external moderator should be able to see who assessed and internally moderated the candidate's evidence and dates on which assessment and internal moderation occurred.

Records should be kept of this information for a period of time determined by the relevant ETQA.

Records must be retained particularly if certificates are claimed for candidates between external moderators' visits.

Learners/candidates evidence, files/portfolios should be available for inspection by the external moderator during a visit.

5.3 Discuss about the Confidentiality of moderation records (SO5, AC3)

Moderation records should be stored securely, so that only those who have a right to see information may do so, and stored so they can be updated easily.

	<p>Moderators are responsible for ensuring that records are kept securely and confidentiality. This is particularly important because:</p> <ul style="list-style-type: none"> • A learner's assessment may be spread over months or years and it is vital that none of the evidence records go missing; • Learners/candidates need to know that their assessments are treated in confidence; and • Security is essential in any assessment system – the system must not be open to abuse. <p>Special considerations of commercial confidentiality arise when an assessor or moderator has access to a workplace other than their own. You need to ensure that all assessors are aware of the need for professional conduct.</p>	
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Task	Knowledge questionnaire	Mark
6	<p>6.1 Discuss about the Strengths and weaknesses of moderation systems (SO6, AC1)</p> <p>OWN ANSWER</p> <p>6.2 Outline some of the things or activities that needs to be reviewed to enhance the credibility and integrity of the recognition system (SO6, AC2)</p> <p>Programme delivery</p> <p>At the heart of provider's activities are the programmes that they deliver. It is critical that providers give a clear and coherent description of the ways in which their programmes are delivered in practice.</p> <p>The following questions may be helpful to identify ways in which they can fulfill the requirements related to programme delivery:</p> <ol style="list-style-type: none"> 1. What is the nature of the programmes the organisation delivers? 	10

2. What is the NQF status of the programme (e.g. NQF level5)?
3. What are the components (for example, programme Learning Units) that make up the programmes?
4. How often are the programmes delivered, and what is the duration in notional learning hours?
5. What are the modes used in the delivery of the programmes? (For example, the use of group work, opportunities to learn in the workplace, or the role of distance learning would be described at this point.)
6. To what extent is the delivery of the programmes flexible?
7. How is learner-centeredness ensured in the delivery of the programmes?
8. How does programme delivery ensure that the programmes are relevant to learners?
9. How are learners assessed during the programme delivery? How often? By whom?
10. How are learners given feedback on their performance during the delivery of programmes and what forms does this take?
11. How are resources planned for the delivery of programmes?

Staff policies

The emphasis with regards to staff policies is on the organization's relations with its own staff. Providers will need to indicate whether their staff members are competent to carry out their roles as facilitators, and how they know whether this is the case. They would also need to relate this assessment of competence to NQF principles.

With regard to employment procedures, providers may find the following questions helpful:

1. What criteria are used in the staff selection process?
2. Who selects staff in the organisation?
3. What selection procedures are followed?
4. To what extent are the stipulations of the Employment Equity Act of 1998 respected in the selection process?

The purpose of staff policies is to ensure that policy on staff selection and appraisal should be informed by principles of increased access and respect of employment equity policy, as well as ensuring the transformation of education and training practices and adherence to NQF principles.

Learner policies

The focus here is on learners. Issues of selection of learners the extent to which their needs are met and what support and guidance they are given need to be explicitly described.

Here providers to be mindful of the following key NQF

principles with regard to learners:

- Learner-centredness
- Learner participation
- Relevance of the programmes to learners
- Lifelong learning

In order to show how these NQF principles are being applied, providers may find the following questions helpful:

1. How are learners selected for the programme?
2. To what extent do such selection procedures recognize their prior learning learners have?
3. What is the demographic composition of the learner population? (Gender and race are clearly crucial, but attention should also be given to how learners from outlying areas are attended to, and to poverty indices.)
4. Is the organisation planning to diversify the demographic composition of the learner population, taking into account historical disadvantages and discrimination?
5. How does the provider ensure that the programme is relevant to the needs and aspirations of the learners?
6. How does the delivery of the programme encourage learner participation?
7. How does the organisation identify the nature of the support learner require?
8. What support is given to learner?
9. What guidance is offered to learners? Why?
10. How are opportunities for further learning provided for by the organisation?
11. How, by whom and how often are learners given feedback on their performance?

Assessment policies

Assessment policies are more than assessment practices. Assessment policies describe the approaches that are used by an organisation in its assessment practices.

For example, are assessment approaches mainly examination-based? Do assessment policies recognize principles of life long learning, recognition of prior learning and integration of theory and practice?

Are assessment policies informed by an understanding of the notions of failure and deficits or do they work in developmental, supportive and continuous ways? As such, assessment policies need to indicate what approach the organisation adopts with regard to assessment and whether this approach is in line with NQF principles.

Assessment policies also outline how the processes of assessment will be managed: - by whom, how and how often. They include internal assessment, external assessment, moderation, provision of feedback to learners and maintaining records of assessment. They also include ways in which support that learners may

require are identified and ways in which support is provided. Thus, assessment policies should not be conflated with assessment practices, although they include them. In order to meet the requirement of assessment policies, providers may find the following questions helpful:

1. What is the organization's approach to assessment?
2. Is the organization's approach consistent with NQF principles?
3. How does the organization's assessment policy incorporate principles of lifelong learning, recognition of prior learning and integration of theory and practice?
4. How are assessments conducted, by whom and how often?
5. What mechanisms does the organisation put into place to assure the quality of assessments conducted? Are moderators used for assessments?
6. Are policies and procedures for possible appeals in place?
7. How are learners given feedback on the ways in which they have been assessed? How does this occur? Who does it, and how often?
8. How does the organisation ensure that assessments are used to identify and provide for the support and guidance learners need?
9. How is the assessment results fed back into programme development?

Management Systems and Policies

This refers to the managerial capacity of the provider to carry out its functions. The provider would need to indicate its capacity to deliver the programmes/s effectively and efficiently and in an accountable manner.

However, given the enormous differences in size, type and focus of providers, this criterion must carefully contextualized, taking into account, for example, the management of partnerships in the delivery of programmes.

In the SAQA "criterion and Guidelines for Providers" document, different types of providers are identified, i.e. 'delivery on site; assessment only site', etc. In addition, there is also an awareness of SMME providers, which may include an individual as provider.

In this regard providers may find the following questions helpful:

1. What is the management and administrative structure of the organisation?
2. How are decisions taken in the organisation, by whom and in relation to what?
3. What is the financial resource base of the organisation? What are the sources of funding? Does the organisation have a plan to become self sustaining, if it is not already?

4. Does the organisation have adequate human and material resources to carry out its intended functions?
5. What are the systems used by the organisation to manage and be accountable for its finances?
6. More generally, to what extent is the organisation run in ways that are transparent and accountable?

6.3 Discuss the Recommendations that can be incorporated into moderation systems (SO6, AC3)

Recommendations to be incorporated into moderation systems serve to improve the quality of the moderation practices, thereby ensuring that the monitoring of assessments is of a high quality.

If we look at the moderation process, it is possible that the recommendations relating to moderation could cover the whole scope of moderation:

- Planning
- Resources
- Experience of moderators
- Quality of evidence obtained through moderation
- Moderation methods, i.e. statistical sampling
- Moderation advice

Assessment Instruments

WORKBOOK ASSIGNMENTS & STRUCTURED QUESTIONS					
Learner's name	<i>See Attached name list</i>				
Assessor's name					
Moderator's name					
Date of assignments					
Date of feedback					
Qualification					LEVEL 6
#	Unit Standard(s)	Standard Operating procedures	Comments / Remarks	C	NYC

11575 9	Conduct moderation of outcomes-based assessments					
Learner's overall achievement	Competent / Not yet competent <input type="checkbox"/>				YES	NO
Actions required	Certification		Re-assessment		Date of re-assessment	
Learner's signature	<i>See Attached Name list</i>					
Assessor's signature						
Moderator's signature						

SUMMATIVE - WRITTEN KNOWLEDGE QUESTIONNAIRE	
Learner's name	<i>See Attached name list</i>
Assessor's name	

Moderator's name			
Date of Written Questionnaire			
Date of feedback			
Qualification			LEVEL 6

#	Unit Standard(s)	Standard Operating procedures	Comments / Remarks	C	NYC
115759	Conduct moderation of outcomes-based assessments				
Learner's overall achievement	Competent / Not yet competent			YES	NO
Actions required	Certification		Re-assessment		Date of re-assessment

Learner's signature	<i>See Attached Name list</i>
Assessor's signature	
Moderator's signature	

SUMMATIVE- PRODUCT SAMPLING (Practical exercises)

Learner's name	<i>See Attached name list</i>
Assessor's name	
Moderator's name	
Date of Observation	
Date of feedback	

Qualification						LEVEL 5	
#	Unit Standard(s)	Standard Operating procedures	Comments / Remarks			C	NYC
115759	Conduct moderation of outcomes-based assessments						
Learner's overall achievement		Competent / Not yet competent (□)				YES	NO
Actions required		Certification		Re-assessment		Date of re-assessment	
Learner's signature		<i>See Attached Name list</i>					
Assessor's signature							
Moderator's signature							

SUMMATIVE (WORKPLACE PRACTICAL TASK)

Learner's name	See Attached name list				
Assessor's name					
Moderator's name					
Date of Observation					
Date of feedback					
Qualification				LEVEL 5	
#	Unit Standard(s)	Standard Operating procedures	Comments / Remarks	C	NYC
115759	Conduct moderation of outcomes-based assessments				
Learner's overall achievement	Competent / Not yet competent <input type="checkbox"/>			YES	NO

Actions required	Certification		Re-assessment		Date of re-assessment	
Learner's signature	<i>See Attached Name list</i>					
Assessor's signature						
Moderator's signature						

ASSESSMENT DECISION & EVIDENCE EVALUATION RECORD

Candidate's Name: -

Assessor's Name: -

Knowledge questionnaire

Learner must at least obtain 70% to be declared competent

Practical Exercise

Marks: 100% mastery

The learner is either "competent" or "not yet competent". If the learner is NYC in an area, then he or she must be reassessed.

Learner achieved: Competent/Not yet competent

115759 Conduct moderation of outcomes-based assessments

Overall outcome:

The learner must be able to Conduct outcomes-based assessment

Note: When learner do practical assessments ensure that they meet the overall outcome.

Specific Outcome	Evidence/Assesment method/Tool	Total marks	Achieved marks	Decision					
				1 st Att		2 nd Att		3 rd Att	
				C	NYC	C	NYC	C	NYC
1. Demonstrate understanding of moderation within the context of an outcomes-based assessment system,	Q1 Knowledge Questionnaire/ Practical Q6/Formative assessment/Wo rkplace task								

2. Plan and prepare for moderation,	Q2 Knowledge Questionnaire/ PRACTICAL Q6/ Formative assessment/Wo rkplace task								
3. Conduct moderation,	Q3 Knowledge/ PRACTICAL Q6/ Formative assessment/Wo rkplace task								
4. Advise and support assessors,	Q4 Knowledge Questionnaire/ PRACTICAL Q6/ Formative assessment/Wo rkplace task								
5. Report, record and administer moderation, and	Q5 Knowledge Questionnaire/ PRACTICAL Q6/ Formative assessment/Wo rkplace task								
6. Review moderation systems and processes.									

Overall Assessment Results

Competent

Not Yet Competent

Remediation information/Comments

3. Assessors Report

No.	ID Number	Surname		Corrections			Attempt 1		Attempt 2		Attempt 3	
							Assessment Decision		Assessment Decision		Assessment Decision	
							C	NYC	C	NYC	C	NYC
				Date	Yes	No						
1.												
2.												
3.												
4.												
5.												
6.												
7.												
8.												
9.												
10.												

Assessor's feedback report to candidate

Unit Standard	115759		
Title	115759 Conduct moderation of outcomes-based assessments		
Candidate's Name		ID No.	
Assessor's Name		Reg. No.	

ASSESSMENT DECISION			
Source of Evidence	C	NYC	Candidates Comments
Knowledge assessment			
Practical assessment			
<p>I hereby confirm that I have been given feedback by the assessor on all the aspects of my assessment. I have been given the opportunity to ask questions and the above feedback was given by me in respect of my assessment. I am aware of the assessment process and the appeal procedure.</p> <p>I AGREE / DISAGREE with the assessment decision.</p>			
Overall Assessment Decision			
Additional Notes			
Assessor Signature:		Candidate Signature:	
Date:		Date:	

Moderator's Report

Candidate's Name:		Signature		ID No.	
Moderator's Name:		Signature		Reg. No.	
Assessor's Name:		Signature		Reg. No.	
Unit Standard Title:	115759 Conduct moderation of outcomes-based assessments				
SPECIFIC OUTCOMES	METHODS	C	NYC	DATES	EVIDENCE PROVIDED
Knowledge Questionnaire					
Practical demonstration					
Overall Moderation Decision					
Feedback to Assessor					
Action Required					
Date of Moderation					

Candidate Feedback Report

Candidate's Name		ID No.	
Assessor's Name		Reg. No.	
Standard Title	115759 Conduct moderation of outcomes-based assessments		
ASSESSMENT DECISION			
Source of Evidence	C	NYC	Comments
Knowledge Questionnaire			
Practical demonstration			
Overall Assessment Decision		COMPETENT NOT YET COMPETENT	
Additional Notes			
Date			

Signature of Assessor: _____

Signature of Candidate: _____

Candidate Appeal Form

Candidate's Name:		ID No.	
Assessor's Name:		Reg. No.	
Unit Standard Title:	115759 Conduct moderation of outcomes-based assessments		
Date:			
SECTION 1			
Candidate's reason for disagreeing with the assessment decision			
Assessor's rationale for the assessment decision			
Candidate's signature			
Assessor's signature			
SECTION 2			
Moderator's decision			
Moderator's signature			

Please send this form to:

Assessor's Contingency Plan

Name of Assessor: _____

Unforeseen Event	Corrective Action To Be Taken
Candidate:	
Equipment:	
Role Players:	
Environment:	
Assessment Process:	

Signature of Assessor: _____

Signature of Moderator: _____

Date:
