

ETQA QUALITY ASSURANCE OF LEARNERSHIP ACHIEVEMENT	<b>Doc Nr</b>	QALA-G 002
<b>SERVICES SETA ETQA MODERATION PACK</b>	<b>Rev Status</b>	2 <sup>nd</sup> Issue
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# SERVICES SETA ETQA

## MODERATION

### PACK

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## 2. Introduction

The South African Qualifications Authority (SAQA) views assessment as one of the key elements within Education and Training. The Education and Training System is one in which learning attainment is based on achievement through appropriate assessment of learning outcomes specified in NQF registered standards and qualifications. As per regulations stipulated by SAQA, ETQAs are required to monitor the quality of assessments, conducted by constituent providers who have been awarded accreditation. Moderation is therefore a crucial element in the quality assurance of assessment.

Moderation is the process of ensuring that assessments conducted are Fair, valid, Reliable, Consistent and Practical. Through this process, the credibility and quality of qualifications awarded within the National qualifications Framework can be maintained.

## 3. Purpose of this Pack

This pack is aimed at providers who have been awarded Provisional Accreditation by SETQAA (Services SETA ETQA), outsourced Partners and Services SETA Constituent Registered Moderators.

The Services SETA provisionally accredited provider is not only required to conduct training that is aligned to the NQF registered unit standards and/or qualifications, but to also conduct assessments and internal moderation activities. Note that Moderation of assessment organised and conducted by a provider is a SAQA requirement for provider accreditation. Moderation covers assessment instruments, assessment design and methodology, assessment records, assessment decisions, reporting and feedback mechanisms.

Where a training provider is participating in a full qualification / Learnership / skills programme, the provider will be required to conduct and participate in the moderation process to the maximum of four moderations, indicative of the following:

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### 3.1 *Full Qualification / Learnership*

- Four internal moderation reports
- Three External Moderation visits by the SETQAA

### 3.2 *Skills Programmes*

- One internal Moderation Reports
- One External Moderation visit by the SETQAA

As the Certification Partners (Outsourced Partners) are responsible for assisting SETQAA by promoting and maintaining quality within their respective industries, in line with SETQAA's requirements, the Certification Partners need to have a clear understanding of Moderation activities and systems.

Individuals that have been registered with SETQAA as Constituent Registered Moderators usually operate in various structures, as a result they have been exposed to various policies and reporting processes. In order to ensure consistency in the information collated through the Moderation reports, SETQAA has developed this pack which serves as the guide on minimum requirements expected from Moderators when reporting. The credibility of Learner achievements is dependent on quality assured assessment and Moderation Systems. Therefore the role of a Moderator is critical in the certification process of learners.

## 4. Characteristics of the Moderator

- i. The Moderator must be able to identify and solve problems, e.g. plan for contingencies, handle the moderation of assessments for candidates with special needs, handle problems that arise during moderation and suggest changes to moderation following review.
- ii. The Moderator must be able to work as a team member, i.e. work effectively with Assessors and other relevant parties during moderation as well as post moderation
- iii. The Moderator must be able to organise and manage oneself and ones activities when planning, preparing, conducting and recording the moderation.

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- iv. The Moderator must be able to collect, organise and critically evaluate information. This characteristic is important when gathering, evaluating and judging evidence as well as the assessment process.
- v. Good communication skills are essential when the Moderator communicates with Assessors and other relevant parties during moderation, and when providing feedback.
- vi. The ability to understand the impact of moderating assessments on individuals, organisations and the credibility of recognition through the NQF systems is essential.
- vii. The Moderator must be able to plan, conduct and give feedback on moderation in a culturally sensitive manner.
- viii. The Moderator must be confident and able to keep discussion focused and guide conversation to keep dialogue flowing smoothly
- ix. The Moderator must be non-judgmental and able to encourage expression of all viewpoints without showing preference or sharing personal views
- x. The Moderator must be well informed and understand and is familiar with the subject
- xi. The Moderator must be comfortable with all types of people and different communication styles

#### 4.1 *Fundamental Background Knowledge*

The Moderator needs to have a thorough understanding of the following:

- i. Principles of assessment.
- ii. Principles and practices of RPL.
- iii. Methods of assessment.
- iv. The principles and mechanisms of the NQF.
- v. Assessment policies and ETQA requirements.
- vi. Moderation Techniques, systems and specific moderation requirements.
- vii. The role and function of a Moderator.
- viii. Knowledge of quality assurance and policy and procedure.
- ix. Understanding of organisational or institutional contexts.

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**4.2 Functions of the Moderator (In a NUTSHELL):**

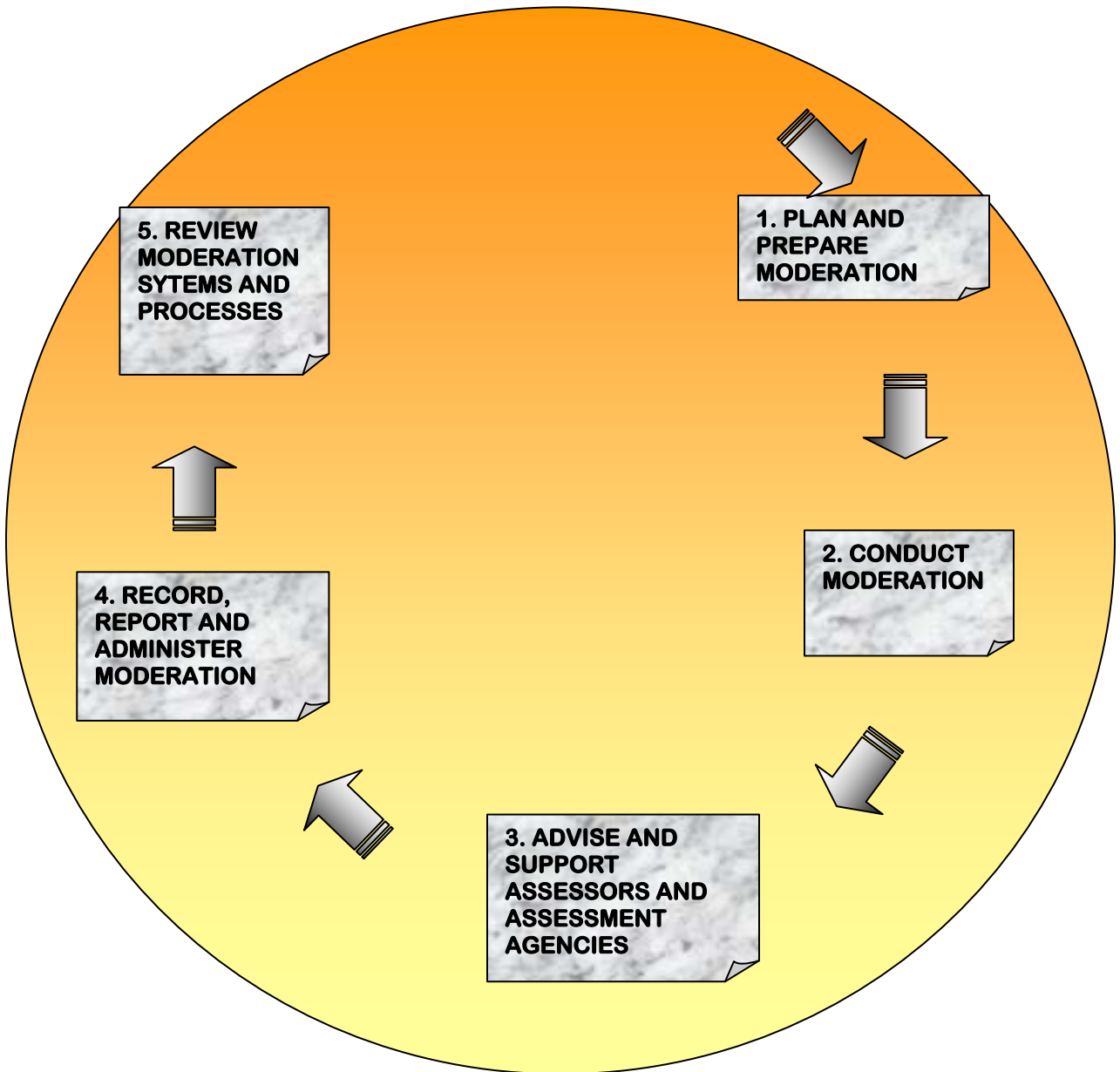
- i. To verify that Assessments are fair, valid, reliable and practical.
- ii. To evaluate assessment design, assessment process, assessment outcomes. including documenting proof of individual learners' competence status.
- iii. To evaluate the performance of registered Assessors.
- iv. To identify and provide evidence for the de-registration of Registered Constituent Assessors.
- v. To identify areas of improvements within the Assessment System.
- vi. To identify the need to redesign assessments, assessment tools/instruments if required.
- vii. To identify the need to redesign moderation, moderation systems, tools if required
- viii. To provide an appeals procedure for dissatisfied Learners.
- ix. To provide feedback to SETQAA on Unit Standards and Qualifications.
- x. To provide support and guidance to the Assessors.

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## 5. SETQAA Moderation Process



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## 5.2 *Internal Moderation*

Internal Moderation occurs at training provider level. The Services SETA accredited providers are required to have registered Constituent Moderators for fulfilling this requirement. All internal Moderation Processes shall be defined and documented within the Provider's Assessment and Moderation Policies and Procedures.

## 5.3 *External Moderation*

External Moderation is conducted at ETQA Level, on a random sample of 25%. It usually involves:

- i. Confirming provider accreditation status
- ii. Structured curriculum
- iii. Implementation mechanisms of the provider's QMS
  - a. In particular – elected workplaces provider learners with the required exposure as per the qualification / learnership / skills programme requirement
- iv. Learning material and relevance to the qualification / learnership / skills programme
- v. Constituent status of assessors and moderators
- vi. The provider's assessment guides indicating the following
  - a. Design of assessment activities and the process that will be followed
  - b. The provider's Assessment Tools that will be used for formative assessments
  - c. The provider's Assessment Tools that will be used for summative assessments
- vii. Portfolio of Evidence (PoE) indicating the following review of formative assessment
  - a. The work being assessed is the learner's own work - authenticity
  - b. summative assessments
  - c. Progress and Assessor reports
- viii. Learner records database and upload of enrolment / achievements
- ix. The provider's moderation guides indicating the following
  - a. Design of moderation activities and the process that will be followed
  - b. Moderation plan
  - c. Sampling requirements

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- d. Moderation Report
- x. The internal moderation report

## 6. SETQAA's Model for EXTERNAL Moderation

Note that Moderation can take place at different intervals. SETQAA External Moderation process is based on a three-phase approach. This approach will ensure that moderation activities are sufficient to protect the integrity of standards and qualifications.

As a result, pre-moderation, mid-moderation and final moderation processes will be conducted as part of the external moderation processes within SETQAA. The three-phase process will be applied to all accredited training providers providing on SETQAA qualifications / learnerships and if applicable to skills programmes. Evidence must be gathered for moderation of assessment involving a variety of assessment techniques, including work samples, simulations, role plays, written, oral, portfolios and projects.

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## 7. SETQAA's Model for EXTERNAL Moderation; QUALIFICATIONS and LEARNERSHIPS

[\(Please refer to Slide marked Annex A\)](#)

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## 8. SETQAA Moderation at Provider level (Internal Moderation)

For learning programmes aligned to one or more NQF registered unit standards, SETQAA does not specify the exact interval between the beginning of training delivery and the assessment of learners, as well as the Internal Moderation of such assessments. However, the provider is required to ensure that assessments and Internal Moderation activities are conducted according to SETQAA requirements. It is still a requirement that internal moderation must be conducted after every assessment process and reports must be submitted with the upload of learner achievements to SETQAA and conducted by registered constituent moderators.

Conversely, in the implementation of qualifications and Learnerships SETQAA has prescribed the intervals at which Internal Moderation is expected to take place and upon which SETQAA will be triggered to conduct an external moderation exercise. Note that the Internal Moderator (who must be a registered constituent moderator) is required to submit the reports to SETQAA at the specified intervals. SETQAA will analyse the reports and provide feedback to the provider, and schedule the external moderation process accordingly, throughout the delivery of the qualification / Learnership. This is primarily aimed at supporting and guiding training providers, in order to ensure that the system is geared at producing successful learners at the end of the training intervention.

### *8.1 The Intervals of submitting Internal Moderation Reports are as follows:*

#### *8.1.1 Month 3 of the qualification / Learnership,*

The Internal Moderator is required to submit the first report to SETQAA. In this report, the Internal Moderator is advised to focus on the assessment systems that have been put in place. This is a method of ensuring that the training provider is prepared adequately at the commencement of the qualification / Learnership. Examples of areas that the Internal moderator must focus on are as follows:

- i. Accreditation status of the provider
- ii. Structured curriculum
- iii. Implementation mechanisms of the provider's QMS

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- a. In particular – elected workplaces provider learners with the required exposure as per the qualification / Learnership requirement
- iv. Learning material and relevance to the qualification / Learnership
- v. The provider's Assessment Tools that will be used for formative and summative assessments
- vi. Constituent status of the assessors
- vii. The Provider's assessment plans
- viii. Design of assessment activities and the process that will be followed
- ix. The provider's assessment guides
- x. Moderation Sampling requirements
- xi. Note that at three months, there should have been formative and *summative* assessments conducted already, meaning that the Moderator would have had an opportunity of conducting Moderation as assessments are being conducted, i.e. observing the assessment methods used.

*With expanded concept of learning, it's increasingly important to remember that paper-and-pencil testing is only one way of collecting information on learning. Assessment includes paper-and-pencil testing but should also include other procedure such as:*

- xii. Rating items on scales
- xiii. Work samples
- xiv. Simulations
- xv. Role Plays
- xvi. Observing learner performance
- xvii. Critiquing learner products
- xviii. Conducting interviews
- xix. Reviewing a learner's background or previous performance by means of portfolios

*The Internal Moderator is required to moderate the assessment tools that the provider will be using. The Moderator must note that the choice of the actual instrument types depends on two factors:*

- xx. The content of the standard to be assessed.
- xxi. The professional judgement of the Assessor in terms of
  - a. Level of candidate
  - b. Resources available

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- c. Experiential background of the candidate
- d. Purpose of assessment
- e. Credits to be awarded

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### 8.1.2 *Month 6 of the qualification / Learnership*

Halfway through the qualification / Learnership and various integrated formative assessments and/or summative assessments should have been conducted. At this point, the Moderator is advised to conduct Moderation as the assessments happen as well as after assessments in order to identify gaps from the tools and processes followed and to provide recommendations to the Assessor. Part of this report should indicate how the areas of remediation, from the Month three report, have been addressed. Conducting Moderation during the assessment process would enhance the quality and efficiency of moderation. Examples of areas that the Internal moderator must focus on are as follows:

- i. The provider's assessment guides indicating the following
  - a. Design of assessment activities and the process that will be followed
  - b. The Provider's assessment plan
  - c. The assessment (formative, summative, applied, reflexive, integrated) is fit for purpose, i.e it focussed on the requirements laid down in the standard.
  - d. Consistency, reliability, validity, appropriateness and practicability of the assessment (Note that all the principles of assessment are applicable).
  - e. Assessment tools (formative, Summative, Integrated, Applied Competence, Workplace Based Assessment, Reflexive Competence)
- ii. Portfolio of Evidence (PoE) indicating the following:
  - a. The work being assessed is the learner's own work - authenticity.
  - b. The evidence assessed reflects the current level of the learner's competence.
  - c. Sufficiency, currency, reliability and validity of evidence
  - d. applied competence assessment / workplace experiential learning/ workplace evidence
  - e. Progress, Assessor and Moderation reports
- iii. Learner records database and upload of achievements

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- iv. The provider's moderation guides indicating the following:
  - a. Moderation Report indicating that
    - i. Assessment process is fair, unbiased and doesn't present any barriers for the learner.
    - ii. The assessment was conducted in line with the provider's policies, which must be aligned to SETQAA's policies.
    - iii. The ability and competency of the Assessor.
    - iv. Learner's readiness in respect of the assessment, progress in respect of the learning experience
    - v. Assessments conducted by various assessors to check reliability and consistency of the assessment practices (including a combination of Competent and Not Yet Competent results).
    - vi. Feedback provided to the Assessor
  - b. Moderation Review

### 8.1.3 *Month 9 of the qualification / Learnership*

The Moderator should have received enough guidance from SETQAA allowing him/her to remedy any shortfalls identified and to test the recommendations provided. Assessments that take place during this period are critical as the learner is nearing the end of the training intervention. The role of the Internal Moderator is therefore very crucial in guiding and informing the assessment processes that are meant to prepare the learners for any Summative / Integrated Assessments. The Internal Moderator is advised to utilise the guidance and support provided by SETQAA thus far, for the purpose of preparing for External Moderation. Note that the internal Moderation that will be conducted at this stage is similar to the moderation conducted at Month six.

### 8.1.4 *Month 11 of the qualification / Learnership*

In **Month 11** the Internal Moderator will provide the final report. This report should consist of Moderation activities conducted during assessments and after assessments. The moderation conducted must cover all the areas as indicated, including but not limited to the following:

- i. Confirming provider accreditation status

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ii. Structured curriculum

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- iii. Implementation mechanisms of the provider's QMS
  - a. In particular – elected workplaces provider learners with the required exposure as per the qualification / Learnership requirement
- iv. Learning material and relevance to the qualification / Learnership
- v. Constituent status of assessors and moderators
- vi. The provider's assessment guides indicating the following
  - a. Design of assessment activities and the process that will be followed
  - b. The Provider's assessment plan
  - c. The assessment (formative, summative, applied, reflexive, integrated) is fit for purpose, i.e it focussed on the requirements laid down in the standard.
  - d. Consistency, reliability, validity, appropriateness and practicability of the assessment (Note that all the principles of assessment are applicable).
  - e. Assessment tools (formative, Summative, Integrated, Applied Competence, Workplace Based Assessment, Reflexive Competence)
- vii. Portfolio of Evidence (PoE) indicating the following:
  - a. The work being assessed is the learner's own work - authenticity.
  - b. The evidence assessed reflects the current level of the learner's competence.
  - c. Sufficiency, currency, reliability and validity of evidence
  - d. applied competence assessment / workplace experiential learning/ workplace evidence
  - e. Progress, Assessor and Moderation reports
- viii. Learner records database and upload of achievements
- ix. The provider's moderation guides indicating the following:
  - a. Design of moderation activities and the process that will be followed
  - b. Moderation plan
  - c. Sampling requirements

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- d. Moderation Report indicating that
- i. Assessment process is fair, unbiased and doesn't present any barriers for the learner.
  - ii. The assessment was conducted in line with the provider's policies, which must be aligned to SETQAA's policies.
  - iii. The ability and competency of the Assessor.
  - iv. Learner's readiness in respect of the assessment, progress in respect of the learning experience
  - v. Assessments conducted by various assessors to check reliability and consistency of the assessment practices (including a combination of Competent and Not Yet Competent results).
  - vi. Feedback provided to the Assessor
- e. Moderation Review

## 8.2 Important Factors to Note:

- i. Note that External Moderation at different intervals will be triggered by the submission of learner achievements as well as the internal moderation reports.*
- ii. In an instance where a Provider has not submitted learner achievements and internal moderation reports, SETQAA still reserves the right to conduct an External Moderation activity at any interval as means of investigating progress and identifying non-conformances.*
- iii. Note that the Training Provider is required to send a request for Final External Moderation and Summative Assessment, where applicable, at the beginning of Month ten of the Qualification/Learnership.*
- iv. Note that the Moderator must always use a random sample of 25% of the learners' PoEs or assessments conducted, where necessary this percentage can be increased.*
- v. Training Providers shall be provided with formal feedback at the end of the External Moderation activity. If there are areas of remediation, the Training Provider will be given a maximum period of three weeks to attend to these areas after which re-moderation will be conducted. In an instance where the Provider requires an extension of time, a written communication justifying the request is required. The SETQAA QALA Division shall evaluate the request and make a decision on whether to grant the extension or not. In an instance where the Provider consistently fails to attend to areas of remediation despite the assistance and guidance offered by the SETQAA through the appointed**

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*External Moderator, the QALA Division shall make recommendations to the Accreditation Manager of the SETQAA to consider de-accreditation of such a provider on the basis of failure to deliver according to the requirements/conditions of their accreditation. In an instance where the provider is accredited by SETQAA through the MoU intervention, the SETQAA QALA Division shall also advise the Quality Promotions Division. The Project Owner/ Funder shall also be informed of such recommendations.*

- vi. *The SETQAA QALA Division further reserves the rights to recommend de-registration of Constituent Assessors and Moderators who regardless of guidance and support offered to them by the SETQAA QALA Division and the Accreditation Division through Assessor and Moderator Forums, continue to deliver below the required and prescribed standard as per ETQA and SAQA requirements.*

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## 9. SETQAA's Model for Moderation at ETQA level (External Moderation)

SETQAA will follow the Services SETA procurement processes for selecting external appointees who have been registered as Constituent Moderators against the relevant qualification at this level, for the purpose of conducting External Moderation. As SETQAA is expecting Moderation systems to evolve and develop, moderation methods used will have to change over time. In order to ensure that Moderation Systems put in place meet the expectations, are accessible, make optimum use of resources and the proposed arrangements are sufficient; SETQAA will review these systems on a regular basis.

The External Moderator would evaluate evidence to determine that the internal assessment system measures the following:

- i. Sample the assessment processes and Learner's evidence to verify consistency across Assessments conducted within and across Providers.
- ii. Verify that the systems required to support the provision of learning programmes are appropriate and work effectively.
- iii. Assessment Processes are performed to SAQA Standards.
- iv. Verify the registration status of Assessors and Internal Moderators.
- v. Assessments are conducted according to Providers Policy and Procedure, aligned to SETQAA's standard.
- vi. Check the credibility of assessment methods and instruments.
- vii. Assessors reach the correct decision in a fair valid and reliable manner.
- viii. Assessors uphold the principles of assessment throughout.
- ix. Assessors Conduct.
- x. Verify the existence and efficiency of the internal Moderation systems.
- xi. Provide advice and guidance to Accredited Providers.
- xii. Check Assessor's decisions.
- xiii. Relevance of the Unit Standards & Qualification.
- xiv. Sufficiency of evidence in the learners' PoE.

The External Moderator will need to have access to the following information:

- i. Training Provider's Accreditation Report
- ii. Training Provider's Quality Management Systems
- iii. Training Provider's assessment strategies, guides and instruments
- iv. Candidate Assessment Portfolio's (PoE)

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- v. Project Report
- vi. Detailed Database of Learners/Assessor/Moderator
- vii. Training Provider's Internal Moderation reports and systems.

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10. Moderation Template



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Registered Constituent Moderator – Appointed External Moderator Details				
Surname of Moderator			Full Names of Moderator	
Tel. No	Fax No	Mobile No	Id. No	SSETA Registration No
E-mail			Physical Address	
Registered Constituent Moderator – Provider Moderator(s) Details				
Surname of Moderator			Full Names of Moderator	
Tel. No	Fax No	Mobile No	Id. No	SSETA Registration No
E-mail			Physical Address	
Surname of Moderator			Full Names of Moderator	
Fax No	Mobile No	Id. No	SSETA Registration No	

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E-mail	Physical Address

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Provider Details				
Registered Name of Training Provider			Training Provider Representative Person	
Tel. No	Fax No	Mobile No	E-mail	ETQA Decision / Accreditation Number
Physical Address			Satellite Sites (if applicable)	
Qualification Details				
Qualification Title				
SAQA ID	NQF	Credits	Registration Start Date	Registration End Date
Details of the type of Moderation Conducted (Scope of Moderation) (example: Moderation of learners' portfolio of evidence)				
Please see Annex C for the POE construct analysis.			Comments	
Sample Details				

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Total No of PoE's: NB: Attach the list of learners enrolled on this qualification according to the Provider's records as verified by Moderator under Annex C	Sample Percentage: NB: A minimum of 25% is required by SETQAA	Sample Details Please see Annex C attached
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Moderation Preparation Checklist – Provider must prepare the following	
Criteria	Comments / Indicate the attached Annexure
QMS and proof of implementation - including all minutes of meetings.	
Company structure	
Accreditation documentation remediation / and submission	
List of learners and POE's and associated assessment results	<i>Annexure</i>
Matrix of mentors, facilitator and constituent assessors and moderators applicable per qualification per unit standard.	<i>Annexure</i>
Registration of assessors and moderators and facilitators as constituent and SME's and signed SLAs/ Contracts	
Assessor plans and Reports	
Moderator plans and Internal Moderation Reports	<i>Annexure</i>
Practical / workplace evidence matrix (formative and summative)	<i>Annexure</i>
Training evidence matrix (formative and summative)	<i>Annexure</i>
Learner Management System - including tracking mechanisms in line with QMS	
Special needs, Language and implementation evidence	
Certification Policy and Management	

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Training Material aligned to US	
Proof that delivery only occurred on the listed sites inline with the accreditation documentation, and where applicable the extension of site applications	
Proof that the training methodology submitted in the application for accreditation was adhered to	
VARCS evidence	
Master files with model answers and assessment instruments and attendance registers	
Narrative regarding the learning programme (Qualification / Learnership)	<i>Annexure</i>

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Moderation Checklist – Learners' Portfolio of Evidence			
Criteria	Evidence Confirmed	No Evidence Available	Comment
1. Learner Contracts completed, signed and dated by all the relevant parties			
2. Registration form for the particular programme			
3. Evidence of learner induction			
4. Learner's rotation schedule (on-site and off-site training)			
5. Learner's rotation schedule (on-site and off-site training)			
6. Learner's evidence (theory and practical -naturally occurring evidence)			
7. Learner's progress reports			
8. Learner's Competency declaration			
Moderation Checklist – Planning and Preparation for Assessment			
9. Is the Assessment Strategy available for Assessors?			
10. Does the Assessment Strategy cover all the specific outcomes?			

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11. Availability of Assessment Guides for Assessors			
12. Is the Assessment Plan available for all Assessors?			
13. The tool allows for judgments of competence in line with SAQA's definition of competence (embraces foundational, practical and reflexive dimensions of competence)			
14. Checklist of how principles of assessment were mindfully adhered to during assessment design			
15. Appropriateness of the tool			
16. Fairness of the tool			
17. Validity of the tool			
18. Reliability of the tool			
19. The evidence required is clearly defined in the assessment tool			
20. All range statements/critical cross field outcomes are covered in the assessment Tools			
21. The assessment tool provides for an opportunity for additional questions and comments from the learner			

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22. The assessment tool has a feedback section			
23. Copies of model evidence against which learner presented evidence are judged			
24. All instruments can be authenticated with signatures from the relevant parties			
Moderation Checklist – Assessments Conducted			
25. Provider's policies and procedures on assessment and moderation are in line with SETQAA's requirements			
26. Assessors are constitutently registered with SETQAA			
27. The assessment tool has a declaration of acceptance from the learner			
28. Learner is prepared by the assessor and the relevant forms completed			
29. Special needs of candidate are provided for, without compromising the requirements specified in the relevant outcome statements			
30. The assessment plan corresponds with actual assessment			
31. Language level is suited to the learner's needs			

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32. Assessor has complied with assessment criteria			
33. Learner's answers and/or observations are recorded accurately			
34. There is sufficient evidence in accordance with the assessment criteria of each unit standard			
35. Assessment documents are completed in accordance with SETQAA requirements			
36. Assessor evaluated the learner's evidence against all outcomes			
37. Unforeseen events are handled without compromising the validity of the assessment			
38. Learner is given constructive feedback after assessment			
39. The assessor's decision on the learner's competence is evaluated in terms of: <ul style="list-style-type: none"> <li>✓ Validity</li> <li>✓ Authenticity</li> <li>✓ Reliability</li> <li>✓ Sufficiency</li> <li>✓ Currency</li> <li>✓ Consistency</li> <li>✓ Fairness</li> </ul>			
40. The Assessor reviewed the assessment conducted			

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Reporting on the External Moderation Conducted				
Criteria	Evidence required	Yes	No	Comments
41. Evidence of confirmation of the scope of Moderation with the relevant parties	Signed copy of the minutes of the meeting/signed confirmation of the scope			
42. Evidence of pre-assessment interactions with the assessors	Signed copy of the minutes/relevant documentation			
43. Moderation Plan	(Attach a copy of the plan)			
44. Interactions during assessments	Documented evidence signed by the all relevant parties			
45. The moderation decision is consistent with SAQA's requirements for Fairness, validity and reliability	(Attach a detailed report)			
46. Post-assessment interactions (Advising and supporting Assessors)	Signed evidence of the feedback provided by the Moderator to the Assessor			
47. Non-Compliances are documented	Full report detailing the identified non-compliances			
48. Appeals against assessment decisions are handled in accordance with organisational appeal procedures	Evidence of implementation of the policy (only where applicable)			
49. Compliance to assessment principles ✓ Validity ✓ Reliability ✓ Consistency ✓ Currency	Detailed repor			

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<ul style="list-style-type: none"> <li>✓ Authenticity</li> <li>✓ Sufficiency</li> <li>✓ Appropriateness</li> <li>✓ Fairness</li> <li>✓ Systematic</li> </ul>				
50. An agreement on confidentiality of information relating to candidates and assessors is preserved in accordance with organisational and ETQA requirements	Copy of the signed agreement			
51. Review of Moderation systems and processes	Documented review process			
52. Strengths and weaknesses of moderation systems and processes are identified in terms of their manageability and effectiveness	Detailed report			
53. Did the moderation process confirm/uphold assessment results?	Detailed report			
54. Moderation Feedback / Corrective Action to be Taken	Detailed report reflecting deadline dates for corrective action			

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General Comments		
General	Description	Comment
	Assessment practices	
	Certification can go ahead	
	Changed the final assessment decision	
	Checked with additional Assessor	
	Referred to another Assessor to be re-assessed	
	Assessment plan	
	Assessment schedule	
	Learner information	
	Learner Record of Learning	
	Critical cross field outcomes	

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	Moderator registration	
	Short Term Recommendations	
	Long Term Recommendations	
	ELO – Matrix included	
	Fundamentals	
	Knowledge Questionnaires and Model answers	
	Coaching/ Remediation	
	Assessor registration	
Decision		
<b>ASSESSOR Signature</b>	<b>INTERNAL MODERATOR Signature</b>	<b>EXTERNAL MODERATOR Signature</b>

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## 11. De-Registration Of Moderators

De-registration of Moderators will be as a result of one of the following:

- i. Non-conforming Moderators identified within the moderation system
- ii. Moderators seeking voluntary de-registration.
- iii. De-registration resulting from non-compliance with legislative and/or regulations.

Note that All Services SETA Constituent Registered Assessors and Moderators are required to sign a Code of Conduct.

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## 12. Short Glossary of Terms

<b>NQF</b>	National Qualifications Authority
<b>SETA</b>	Sector Education and Training Authority
<b>ETQA</b>	A body in terms of section 5(1)(a)(ii) of the SAQA Act, responsible for monitoring and auditing achievement in terms of national standards or qualifications, and to which specific functions relating to the monitoring and auditing of national standards and/or qualifications have been assigned in terms of sections 5(1)(b)(i) of the SAQA Act.
<b>SETQAA</b>	Services SETA Quality Assurance Authority
<b>Assessment</b>	The process of collecting evidence of the learner's work to measure and make judgements about the achievement or non-achievement of specified NQF standards and/or qualifications.
<b>Moderation</b>	The process which ensures that assessment of the outcomes described in the NQF standards and/or qualifications is fair, valid and reliable.
<b>Constituent</b>	Means belonging to the defined or delegated constituency of an organisation or body.
<b>Provider</b>	A body which delivers learning programmes ultimately culminating in specified NQF standards or qualifications, and manages the assessment thereof.