Assessor and Moderator Code of Conduct

Version Control:	*Prepared by:*	Gerhard van der Berg	*Document QMS Ref:*	SAGE/LDPP/005
	Quality Controlled by:	Ravin Rughoonandan		
	Edited by:	Gerhard van der Berg	*Document Version:*	2019.01
	Review Date:	19/07/2019	*Next Review Date:*	01/10/2020
	Approved By:	Pragasen Moodley	*Approval Date:*	20/08/2019

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Assessor and Moderator Code of Conduct
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Assessor and Moderator Code of Conduct

1. Change Control

Version	Author of Change	Date	Details of Change
2019.01	Gerhard van der Berg	July 2019	Creation of Assessment policy.

2. Record of Approvals

Level*	Committee Name	Date
1	Ravin Rughoonandan (Content Design Manager)	July 2019
2	Pragasen Moodley (Director, Learning Services AME)	July 2019
3	Candice Govender (Legal Director, AME)	July 2019
4	Pieter Bench (Executive Vice President, AME)	July 2019

* Level of approval

3. Statement

This Code applies to all activities of the Sage's training division, Committees, Trustees, Executive Management Committee and Sub-Committees, as well as the organizations Administrative Office and any other related bodies.

4. Instructions to the assessor

Important information

The assessor guide makes provision for:

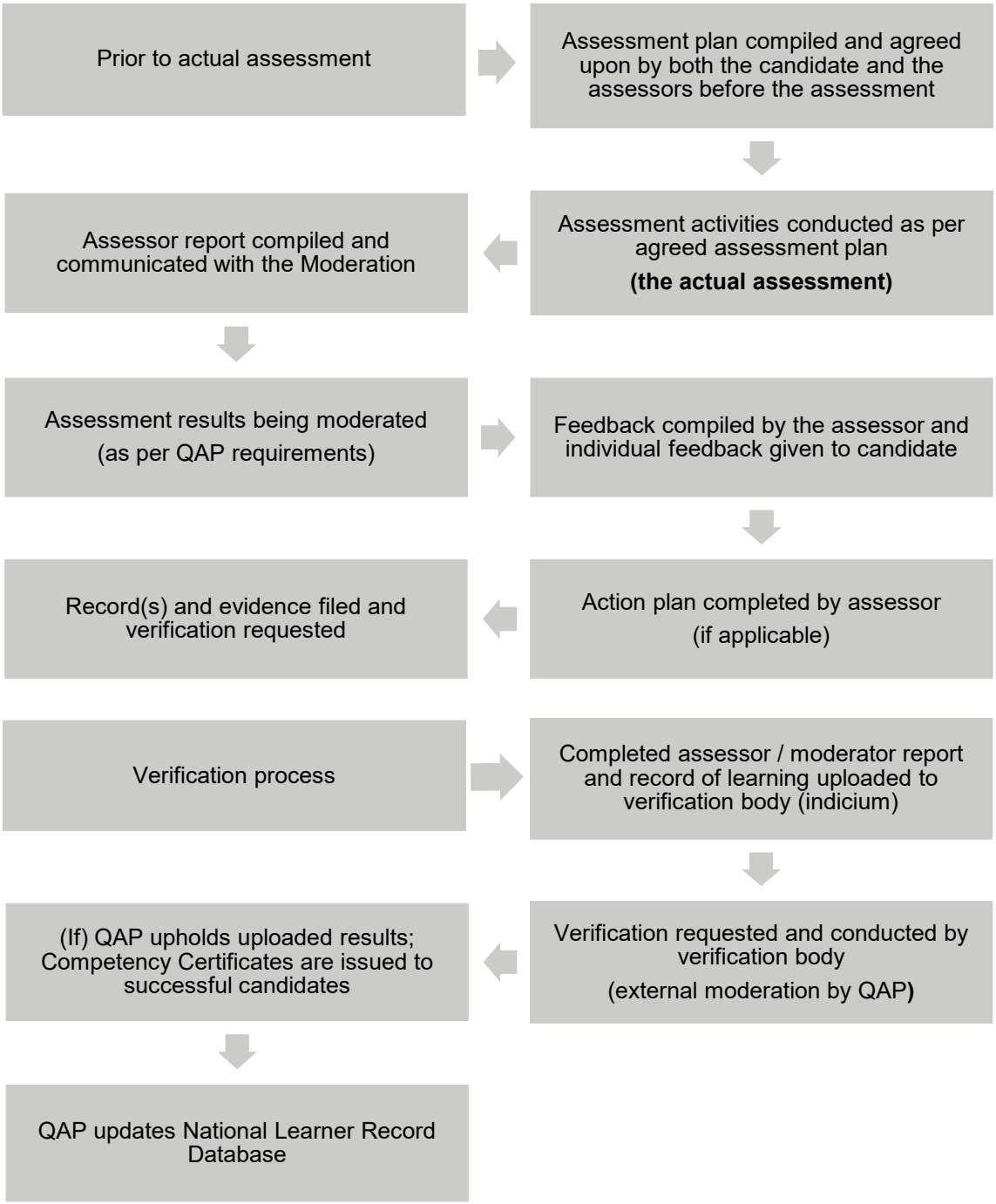
- ***General information and guidelines***
- ***Overall Assessment Planning documentation***
- ***Assessment Review documentation***
- ***The Assessor Guide booklet MUST be completed submitted to the Moderator – along with candidate evidence [both formative and summative] marked / evaluated and submitted***

- Assessment planning and review documentation [as part of this guide] must be completed and submitted.
- The preassessment discussion and agreement – as per formative and summative PoE booklet[s] submitted by each candidate must be completed; signed and dated [forms part of the evidence – as per last bullet listed above]
- This guide includes the marking memos which is a guide and must not be followed rigidly – use subject matter expertise and provide appropriate feedback of where any remedials, amendments or additions could be made to the included memos.
- All work must be completed by the candidate in **black pen**; please **do not assess** if completed in **pencil**.
- IDENTIFY any plagiarism committed and report this on the evidence summary sheets and to the moderator and/or management [either internal or external].
- Ensure that the Declaration of Authenticity [as applicable (including visual and/or audio)] is signed; **do not assess if it is not signed and submitted [please check requirements as per verification admin file]**.
- No correction fluid i.e. tippex may be used; if used, make a circle around the answer and report on this in the evidence summary sheet.
- The skill level required must be a **predefined percentage [please communicate and finalise actual organizational standards] per specific outcome per unit standard**. Complete the mark allocation sheet with these results and indicate if the candidate may proceed to the either next module and/or final summative assessment.
- Ensure that the marks obtained are circled and percentage indicated.
- Assess the candidate 1st submission in **red pen** and any applicable remediation in **pink [1st remedial] and Orange [2nd remedial] pen**; please note
  - **Evidence submitted** - **Black Pen**
  - Assessment [**1st attempt**] - **Red Pen**
  - Assessment [**1st remedial**] **Pink Pen**
  - Assessment [**2nd remedial**] **Orange Pen**
  - **Moderation** - **Green Pen**

- **Quality Assurance** **Purple Pen**

- If the candidate has achieved any unit standards in the skills programme [if applicable] via another provider, please indicate this on the evidence summary sheet as “exempt” only if a **certified copy** of the **certificate is in the PoE**.
- All evidence summary sheets must be filled in accurately and completely giving positive as well as constructive feedback to guide the learner where they are [Not Yet Competent] NYC.

5. Assessment / Moderation process flow



6. Assessment strategy

The purpose of the assessment process is to gather enough evidence to prove all unit standard outcomes were achieved. The assessment exercises [formative and summative – excluding class activities] will cover all the outcomes required in order to achieve a Certificate of Competence.

Competency to be assessed through evidence recorded in the PoE, input and performance-based assessment, assignments which may require observation in essential embedded knowledge.

The summative assessment to be conducted at end of the program to confirm assessment judgments. Principles of fairness, validity, practicability, reliability and consistency to be adhered to throughout the assessment process [observation(s); formative and summative].

Evidence is information or observations that provides proof of the candidate's competence.

Evidence is generally classified into three types:

Direct evidence:	Directly observe the actual performance.
Indirect evidence:	It is not possible or desirable to be assessed on performance due to cost or risk / danger.
Supplementary evidence:	Evidence allows for assessor to infer competence [i.e. drawing a conclusion by judging evidence].

Qualification *[IF applicable]*		**Unit Standard number[s]**	
[Relevant] **Level[s]**		**Credits**	
[Accumulative] **Purpose of Assessment**			
Assessment Procedure	An integrated assessment approach to be followed allowing for both practical and **theoretical components**. This entails the assessment of integrated unit standard[s], outcomes and criteria together in one assessment activity *[if/where applicable]*. Candidates are not only assessed against specific outcomes, but also **on critical outcomes, attitudes** and **values.** The **summative competence judgment** to be made **based on all assessment evidence produced**, which must prove the candidate can be consistently judged as competent against the outcomes of the unit standard[s] and the qualification as a whole [if/where applicable]. **Candidates take responsibility for** their own **assessment** and should notify the assessor when they are **ready for assessment** ***[within the guidelines of the program timelines / roll out]***.		

	Candidates to receive **feedback after the summative assessment**, which will be discussed after all assessments have been completed. Assessments to be **reviewed** to ensure that assessment practices are **valid**, **sufficient**, **fair, transparent, consistent** and **current**. Internal/External **moderator** will **moderate assessment practices**. The **QAP** to **conduct External Moderation *[Verification Process]***.

	Assessment Method[s]	**Assessment Condition[s]**	**Assessment conducted by:**	**Assessment results and feedback**
Context of Assessment	**Written** [exercises; assignments; projects] **Oral** Observation	Input based assessments	Assessor	Dependent on organizational QMS *Industry norm – five [5]to ten [10] working days after successful submission*

7. Assessor actions

Action to be performed	Comment[s]
List of candidates' to be assessed	Completed in THIS guide
Assessor planning	Completed in THIS guide
Inform relevant parties	Communications communicated
Preparing the candidate	As per formative and summative booklet[s]
Agreed assessment plan	As per formative and summative booklet[s]
Formative assessment & model answers	Separate Formative & Summative guide
Summative & model answers	Separate Formative & Summative guide
Competency judgments	As per formative and summative booklet[s]
Assessment feedback [per candidate]	As per formative and summative booklet[s]
List of candidate's judgements	Completed in THIS guide
Assessment review	Completed in THIS guide

8. List of candidates to be assessed

ID Number	Name & Surname

Assessor name & surname	
Date	
Signature	

Moderator name & surname	
Date	
Signature	

9. Assessment planning

Completed by assessor:

Assessor name & surname	
Assessor ID number	
Assessor QAP registration number	
Assessor tell number	
Assessor e-mail address	
Assessor signature	

Unit standard information

U/S Title					
US ID		**NQF Level**		**Credits**	
Relevant Specific Outcomes					
Specific Outcome 1					
Specific Outcome 2					
Specific Outcome 3					
Specific Outcome 4					
Specific Outcome 5					
Specific Outcome 6					

10. Assessment information

Type of evidence to be present *[e.g. direct, indirect or historical].* Please elaborate:

Assessment methods employed *[observation, questioning (verbal) assessment book (PoE)]* Please elaborate:

Best time for the assessment:

Resources required to conduct the assessment:

Sequence of activities? Step by Step:

Others involved with responsibilities; applicable deadline and revisions.

Assessment activities & instruments to be use

Assessment documentation required for the assessment

Other arrangements to be made for:
Cost effective assessment

Special needs

Possible barriers:
Language:

Time:

Gap in competency level:

Safe assessment conditions?

Arrangements applicable to the venue, other assessors, observer, etc.

Possible unfair barriers identified during the assessment

Arrangements for moderation

Methods and instruments for assessment

Competence is addressed as follows:

Assessor name & surname	
Date	
Signature	

Moderator name & surname	
Date	
Signature	

11. List of candidate's judgements

ID Number	Name & Surname	MR	NMR

Assessor name & surname	
Date	
Signature	

Moderator name & surname	
Date	
Signature	

12. Assessment review

Unit standard[s] numbers:		
Question	**Answer**	**Motivation**
Was the assessment well planned and did the process go according to plan?		
Were the assessment principles followed?		
Was the candidate prepared and ready for the assessment?		
Did you find weaknesses in the assessment feedback instrument?		
Did you find weaknesses in the assessment methods?		
Did you find weaknesses in the unit standard[s]?		
Is your final judgment of competence reliable?		
Do you have any suggestions to improve the process?		
Do you have any comments on the strengths of the processes, methods, instruments and documentation?		
Were all the outcomes and criteria successfully met?		

Assessor name & surname	
Date	
Signature	

Moderator name & surname	
Date	
Signature	

13. Moderator function(s)

- Verify that Assessments are fair, valid, reliable, and practical.
- Evaluate assessment design, process & outcomes; including documenting proof of individual candidate's competency status.
- Evaluate performance of the registered Assessor[s].
- Identify & provide evidence for the de-registration of Registered Constituent Assessor[s].
- Identify areas of improvements within the Assessment System.
- Identify the need to re-design assessments and/or assessment tools/instruments [if required].
- Identify the need to re-design moderation systems & tools [if required]
- Make provision for an appeals procedure for dissatisfied candidates.
- Provide feedback to SETQAA on Unit Standard[s] and Qualification[s].
- Provide support and guidance to Assessor[s]; Candidates and Providers.

14. Moderator fundamental background knowledge

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

- Principles of assessment.
- Principles and practices of RPL.
- Methods of assessment.
- The principles and mechanisms of the NQF.
- Assessment policies and regulatory body [QAP / QCTO] requirements.
- Moderation Techniques, systems and specific moderation requirements.
- The role and function of a Moderator.
- Knowledge of quality assurance within the scope of policy and procedures [QMS].
- Understanding of the organisational or institutional contexts.

15. Internal moderation

Internal Moderation occurs at training provider or organisational level. All/any 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 or organizational Assessment and Moderation Policies and Procedures [as detailed in the QMS].
These internal moderators should:

- Establish systems to standardize assessment, including the plans for internal moderation
- Monitor consistency of assessment records.
- Through sampling, check
    - The design of assessment materials for appropriateness before they are used
    - Monitor assessment processes
    - Check candidates' evidence
    - Check results and decisions of assessor for consistency.
- Co-ordinate assessor meetings.
- Liaise with external moderators.
- Provide appropriate and necessary support, advice and guidance to assessors, candidates and providers

16. External moderation

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

- Confirming provider accreditation status
- Structured curriculum [program structure and alignment]
- Implementation mechanisms of the provider or organizations QMS
  - In particular – workplaces providers – providing candidates with the required exposure as per programme requirement
- Learning material and relevance to the programme
- Constituent status of assessors and moderators
- The provider's or organizational assessment guides indicating the following
  - Design of assessment activities and the process that will be followed
  - The Assessment Tools/Instruments that will be used for formative assessments
  - The Assessment Tools/Instruments that will be used for summative assessments
- Portfolio of Evidence [PoE] indicating the following:
  - The work being assessed is the candidates own work – Authenticity Declaration[s]
  - Provisions made for both formative & summative assessments [Theoretical and Practical]
  - Progress and Assessor reports – completed, submitted, dated and signed
- Learner records database and upload of enrolment / achievements
- The provider's or organizations moderation guides indicating the following:
  - Design of moderation activities and the process that will be followed
  - Moderation plan
  - Sampling requirements
  - Moderation Report
- The internal moderation reports are completed, submitted, dated and signed

17. Report: Moderation Plan

Moderator's Details

Name:	
Designation / Job title:	
Contact number:	
Purpose of the moderation:	

Assessor's Details

Name:	
Registration number:	
Designation / Job title:	

U/S and/or Qualification Assessed

Candidates Assessed

ID number	Name & Surname

18. Report: Moderation Scope

Individuals who need to be Involved with or Informed regarding the Moderation [as specified in assessment QA policy]

Initials & Name	Reason for their involvement	Action required from moderator
	Administrator / Venue booking	Communicate regarding moderation
	Assessor	Communicate regarding moderation
	Moderator	Communicate regarding moderation

Planning [questions]

Question	Relevant response
Moderation model used. E.g. 25% COM assessments; 100% NYC assessments & 100% all new assessors	
Moderation methods will be used to conduct the moderation. E.g. • Evaluate evidence supplied and judgement[s] made. • Observe assessment conducted. • Arrange 2nd assessment to ensure correct judgment • Interview assessor & candidate after assessment.	
Strengths and weaknesses inherent to the selected methods for the moderation	
All **relevant policies and procedures for moderation in place and known**? i.e. Assessment, Moderation, RPL & Appeals	
Moderation process in place sufficient for types of evidence including RPL?	
Are **moderation instruments & U/S in place and available** to all parties? E.g. assessor	
Moderator **involvement to ensure all logistical arrangements are made**. E.g. venue, time & resources.	
Communication methods used	
Contact established with the assessor prior to moderation	
Support provided to the assessor during the moderation process	
Special needs / barriers identified preventing fair, appropriate, sufficient & valid judgment	
Communication method used & recorded	
Communication strategy in place to support assessor[s]. E.g. assessor workshops, e-mails etc.	

19. Communication(s) with assessor

Notice of Moderation meeting to be held on [date] at [time] in the [venue]

Agenda

1. Opening and Welcome
2. Attendance Register
3. Closing of Agenda
4. Matters to be discussed
   4.1 Policies and Procedures
   4.2 Date of Moderation
   4.3 Time of Moderation
   4.4 Venue of Moderation
   4.5 Parties involved
   4.6 Logistical arrangements
5. Closure and next meeting

20. Minutes of meeting

Date:		**Time:**	
Place:			
Present:			

Item		**Minuted**	**Decision**	**Person**	**Date**
1.	**Opening & Welcome**				
2.	**Attendance Register**				
3.	**Closing of agenda**				
4.	**Matters for discussion**				
4.1	**Policies and Procedures**				
4.2	**Date of Moderation**				
4.3	**Time of Moderation**				
4.4	**Place of Moderation**				
4.5	**Who is involved**				
4.6	**Logistical arrangements**				

5.	**Closure:**				

21. Moderation instrument(s)

Assessment Planning		
Moderation Criteria	**Yes**	**No**
1. Is there evidence that the candidate requested to be assessed?		
Comment:		
2. Is there evidence that assessment planning was done before the assessment was conducted?		
Comment:		
3. Is there evidence that the candidate was prepared and ready for the assessment?		
Comment:		
4. Is there evidence that the assessment plan was agreed on between the assessor and the candidate before the assessment?		
Comment:		
5. Is there evidence that the candidate was informed of all evidence requirements and rights prior to the assessment?		
Comment:		
6. Does the evidence indicate that the candidate was informed about the assessment process, the implications of the assessments, the NQF, etc?		
Comment:		

Assessment Conducted		
Moderation Criteria	**Yes**	**No**
1. Were there registered Unit Standards and properly designed Assessment Instruments available for the assessments?		
Comment:		
2. Did the assessment method(s) and instrument(s) used successfully address all relevant criteria and outcomes?		
Comment:		
3. Does the evidence indicate that barriers to the assessments were taken into consideration?		
Comment:		
4. Is there an indication that the assessment environment was life-like and conducive to a fair assessment?		
Comment:		
5. Did the assessment take place according to the assessment plan?		
Comment:		
6. Was the evidence properly documented and recorded?		
Comment:		
7. Is the evidence submitted by the candidate valid? (Does it prove competence according to the U/S requirements)		
Comment:		

8. Is the evidence submitted by the candidate authentic? (No tipp-ex used, no pencil writing used, changes initialed by relevant parties, etc.)		
Comment:		
9. Is the evidence submitted by the candidate current?		
Comment:		
10. Was the evidence that the Assessor used to make an assessment judgement sufficient according to the U/S requirements?		
Comment:		
11. Does the evidence clearly indicate that the candidate was judged competent or not yet competent?		
Comment:		

Assessment Feedback		
Moderation Criteria	**Yes**	**No**
1. Was the candidate given clear and constructive feedback and within the agreed time frames?		
Comment:		
2. Was the feedback given on all the outcomes and assessment criteria?		
Comment:		
3. Was the appeals procedure accessible and explained to the candidate?		
Comment:		
4. Were re-assessment options given to a candidate judged as NYC and were these agreed on?		
Comment:		
5. Did the assessors receive feedback from the candidate on the assessment process?		
Comment:		

Assessment Reviews		
Moderation Criteria	**Yes**	**No**
1. Did the assessor do an assessment review?		
Comment:		
2. Did the assessor identify strengths and weaknesses in the assessment process?		
Comment:		
3. Did the assessor identify strengths and weaknesses in the design of the assessment instruments?		
Comment:		
4. Did the assessor identify strengths and weaknesses in the Unit Standard used during the assessments?		

Comment:		
5. Did the assessor incorporate the feedback of his candidate in his assessment review? (What is the quality of the feedback received from the candidate?)		
Comment:		

Assessment Principles		
Moderation Criteria	**Yes**	**No**
Please comment on how the assessment complied with the Assessment Principles		
1. Appropriateness		
Comment:		
2. Fairness		
Comment:		
3. Manageability		
Comment:		
4. Integration into work or learning		
Comment:		
5. Validity		
Comment:		
6. Direct		
Comment:		
7. Authenticity		
Comment:		
8. Sufficient		
Comment:		
9. Systematic		
Comment:		
10. Open		
Comment:		
11. Consistent		
Comment:		

22. Moderation report

Internal moderator name:		
Contact number of internal moderator:		
Reason for moderation:		
Assessor name:		
Contact number of assessor:		
Registration number of assessor:		
Name and ID number of candidate:		
Date of assessment:		
Company:		
Relevant assessment documentation included:		
General comments from moderator:		

Assessor Judgment:	**Meet Requirements**		**Did not Meet Requirements**	
Moderator Judgment:	**Confirm Result**		**Cannot Uphold Result**	
Date:				
Moderator signature:				
Feedback comments from assessor:				
Assessor signature:				
Date:				

23. Moderation feedback by assessor

Moderation Aspect	√	X	Comment
Did the moderator inform the assessor in advance regarding the moderation?			
Did the assessor have insight into relevant policies & moderation instruments prior to moderation?			
Was the assessor offered the opportunity to clarify uncertainties regarding the process?			
Did the moderation impact negatively or positively on the assessment process in any way? i.e. compromising/ supporting assessment principles			
Did the moderator offer the assessor any advice and support on the assessment process?			
Was feedback on the assessment moderated handled in a professional manner? i.e. promptly, in confidentiality, constructive, sufficient			

General comments on the moderation process:

Assessor name & surname	
Date	
Signature	
Moderator name & surname	
Date	
Signature	

24. Moderation review

Moderation aspects	Y	N
• Did the planning and preparation for this moderation meet the requirements of the overall moderation system currently in place? • Did my planning for this moderation enable me to complete a manageable moderation resulting in a fair judgment?		
Comment on strengths and weaknesses identified during planning and preparation.		
• Did the moderation technique[s] and instruments used, uphold the principles of assessment? • Were there any unforeseen events during the moderation that could have compromised the principle of validity?		
Comment on strengths and weaknesses identified whilst conducting the moderation.		
• Am I satisfied that the nature and quality of advice and support that provided to the assessor[s] facilitated a common understanding of the assessment process in accordance with good assessment principles?		
Comment on strengths and weaknesses on providing advice and support to assessor(s).		
• Am I satisfied that this moderation was recorded and reported in a manner that meets confidentiality requirements as well as the requirements for QAP verification?		
Comment on strengths and weaknesses regarding the reporting, recording and administering of moderation.		
General recommendations / comments towards the improvement of the assessment and/or moderation process in line with ETQA requirements.		

Moderator name & surname	
Date	
Signature	

25. Overarch (Final Moderation) Report

Name of Programme	
ID of Unit standard[s]	
Number of Credits	
Level	
Names of Project Team	
Date	

Overview of Programme/Project
Methodology employed
Assessment and moderation requirements, if applicable
How evaluation was conducted and performance indicators that were used
Analysis of Learner, Facilitator Feedback
Feedback from role players is analysed and summarised. This may be in graph or another suitable format. Trends, if any and problem areas are identified.
Analysis of Assessor Feedback

Assessment Evaluation Reports are analysed, potential areas of weakness are identified and if necessary, linked to problems with facilitation/delivery methods/suitability of training material and activities and/or assessment methods **Any irregularities that arose and how they were dealt with**
Analysis of Moderation Feedback
Moderation reports are reviewed, and problems, possible trends and areas of improvement are summarised. **Performance of individual assessors is recorded and in cases where a moderator overturns the assessment decisions, appeals, etc the actions taken, and final outcomes are recorded.** **Recommendations made by moderator are summarised**
Summarised Findings
Summarise all analyses and point out trends/problems/areas of non-conformance **Identify areas requiring improvement or change**
Recommendations
Details of what must be done; role players involved in implementing changes and dates by when these must be in place **Record any changes required in training material or activities; facilitation or assessment methodology** **Set date for follow-up meeting to evaluate success of changes**
Concluding Remarks
Final summary and conclusion

Assessor name & surname	
Date	
Signature	
Moderator name & surname	
Date	
Signature	

26. Contacts

Should you have any questions about the content of this policy please contact the training department via email: Training.Za@sage.com.