



INTERVAL MODERATION TOOLKIT

July 2007

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1. INTERVAL MODERATION REQUEST FORM

Tool INT 01

(This form must be completed by the Provider and emailed to Foodbev SETA ETQA Manager: krappie@foodbev.co.za when 50% credits have been completed by majority of learners.

Note: Provider to attach copy of a completed INT 02(A) (list of learners and unit standards assessed

Learnership	Skills Programme	Unit Standard
1. Title		
2. SAQA ID / Registration No.		
3. Provider's Name		
4. Accreditation No.		
5. Provider Representative's Name		
6. Representative's Position		
7. Representative's Contact Details		
8. Date Induction Moderation was conducted		
9. Co-provider's Names		
10. Co-provider's Accreditation No.		
11. Preferred dates available for moderation		
12. Date of Submission		

FOR OFFICE USE ONLY

Date Moderation request received	
Moderator allocated	
Moderator's contact no.'s	
SP forwarded to Moderator	
Directive/special instructions to Moderator	

2. INTERVAL MODERATION PLANNING DOCUMENT

Tool INT 02

(Must be completed and forwarded to the provider and Foodbev SETA)

2.1 Moderation Details

1. Name of Provider being Moderated:				
2. Provider Location:				
3. External Moderator's Name:				
4. Contact number:				
5. FoodBev Registration:				
6. Moderation Date:	Retrospective:		Interactive (Observation):	
7. Moderation Method:	Retrospective as per sample, plus 1 Interactive (Observation)			
8. Moderation Location:				
9. Allocated Time for Interval Moderation:	2 Days		3 Days	
10. Moderation Process:	Refer to agenda document (INT 11)			
11. Potential Barriers:	Particular to the context or moderation event			
POPULATION DETAILS				
12. Learnership		Skills Programme		Unit Standard
13. SAQA ID/Registration No.				
14. NQF Level:				
15. NQF Credits:				
16. Total Number of Learners in population				
SAMPLE DETAILS				
17. Sampling Frequency:	20 % as per INT 02 (A)			
18. Sample Size				
19. Date to forward sample details to provider for off-site moderation:	(Not more than 3 days prior to moderation date. For on site documentation sample details on day of moderation)			
20. Total Number Fundamental US Selected				
21. Total Number Core US Selected				
22. Total Number Elective US Selected				

2.2 Moderation Considerations

To ensure that this moderation is manageable and that a fair judgment of the assessment can be made:

Question	Yes	No	Comments
1. Have I received a letter of appointment?			
2. As a moderator, do I have the relevant field expertise?			
3. Would I need a second opinion at some stage?			
4. Has the plan and preparation checklist been forwarded to the provider?			
5. Are ETQA policies and procedures for moderation, i.e. Assessment, Moderation, RPL and Appeal policies in place?			
6. Are all relevant moderation tools and instruments available?			
7. Have all logistical arrangements, e.g. venue, time, resources needed, travelling arrangements, been made?			
8. Have all relevant parties, in line with policy requirements, been informed about the moderation?			
9. Does the provider understand that the report will be forwarded to them by the ETQA Manager?			

Moderator's Signature	
Date Plan submitted to ETQA	

4. PROVIDER PREPARATION CHECKLIST FOR INTERVAL MODERATION

Tool INT 03

- *This checklist must be completed by the moderator*
- *Provider to use to prepare for moderation*

Learnership	Skills Programme	Unit Standard		Moderator's Comments	
Question			Yes		No
1. Full copy of SAQA qualification / Skills programme registration form					
2. Up to date Learning Progress Tracking System					
3. Evidence of Learner Induction training (e.g. attendance register)					
4. Assessment Policy and Procedure including RPL and Appeal					
5. Up to date Assessor Registration letter indicating unit standards registered to assess against					
6. Completed Assessment Documentation for all unit standards in the moderation sample					
7. Up to date learner POE					
8. Evidence that the recommendations from the induction moderation report have been implemented					
9. Internal Moderation Policy and Procedure					
10. Copies of Internal Moderation Tools used including reports to Assessors and Management					
11. Up to date lists of registered Internal Moderators					
12. Completed declaration forms submitted to FoodBev SETA					
13. Copies of summary reports submitted to FoodBev SETA					

5. INTERVAL MODERATION: QUALITY OF ASSESSMENT PROCESS

Tool INT 04

(This document must be completed by the moderator)

Unit Standard Title		Assessed By				
US No		Learners Name				
Specific Outcome	Assessment Criteria	Compliance			Evidence Format	Moderator Comments
		Yes	No	NA		
Plan and prepare for assessment	1. Plans address all assessment requirements of the unit standard					
	2. Assessor has obtained all necessary assessment documentation					
	3. The plan is systematic and addresses all relevant contextual needs					
	4. The plan considers any special needs of the candidate					
	5. Assessment activities, instruments and resources selected are appropriate to the outcomes to be assessed					
	6. Application for Assessment has been made					
	7. Logistical Arrangements are made for the assessment					
	8. The candidate was prepared and ready for assessment					
	9. Clear explanations are made to the candidate of standard-based assessment within the context of the NQF					
	10. Candidate informed of assessment rights					
	11. Candidate agrees with the assessment plan. Opportunities are provided for input from the candidate.					

Specific Outcome	Assessment Criteria	Compliance			Evidence Format	Moderator Comments
		Yes	No	NA		
Conduct assessment	1. Assessment practices are ensured to be fair and safe assessment and, where applicable, in line with organisational standard operating procedures.					
	2. Assessment is carried out in accordance with the assessment plan. The assessment approach is adapted as required by the situation without compromising validity or fairness					
	3. Language and expressions used are at a level appropriate to the candidate and provide clear understanding of what is required without leading the candidate					
	4. Questioning techniques are appropriate and have the potential to successfully elicit appropriate responses					
	5. Sufficient evidence is gathered to enable valid, consistent and fair judgments to be made					
	6. The recording of evidence is sufficient for the purposes of making assessment judgments, giving meaningful feedback, moderation and possible appeals					
	7. Assessment judgments are justified by the quality and sufficiency of the evidence.					
	8. Evidence and judgements are stored in line with the Quality Assurance System used by the organisation.					

Specific Outcome	Assessment Criteria	Compliance			Evidence Format	Moderator Comments
		Yes	No	NA		
Provide feedback	1. Constructive Feedback is given to relevant parties candidate in accordance with confidentiality requirements and within agreed time frames					
	2. Feedback focuses on the quality and sufficiency of the candidate's performance in relation to the agreed outcomes and criteria					
	3. Development and action plans are agreed in order to assist the candidate in addressing shortfalls.					
	4. Feedback on the assessment process is obtained from the candidate					
	5. Disputes that arise are dealt with according to the assessment policy					
	6. Follow up assessments are scheduled					
Specific Outcome	Assessment Criteria	Compliance			Evidence Format	Moderator Comments
		Yes	No	NA		
Review assessment	1. Review identifies good and bad practice in assessment design and process, and are noted for assessment re-design					
	2. Feedback from relevant parties is used to influence future assessments positively					
	3. Weaknesses in the assessment design and processes that could have compromised the fairness of assessment are identified and dealt with in accordance with the assessment policy					
	4. Weaknesses in the assessment arising from poor quality of unit standards or qualifications are identified, and effective steps are taken to inform relevant bodies					

6. INTERVAL MODERATION: OBSERVATION CHECKLIST

Tool INT 05

(Checklist used by the moderator during Interactive moderation)

Assessor's name	
Learner's name	
Unit Standard assessed	
Date of assessment	

	Criteria for Moderation	Yes	No	Comments
PREPARATION FOR ASSESSMENT				
1	Assessor welcomed learner(s) and put him/her at ease before commencing with assessment.			
2	Assessor explained details of the assessment to learner(s) clearly and constructively.			
3	Assessor provided sufficient opportunities for clarification questions and/or responses			
4	Assessor provided sufficient opportunities for input from the learner on special needs and possible sources of evidence, and adapted assessment on the basis of these inputs.			
5	Learner's readiness for assessment was confirmed.			
ASSESSMENT				
6	Assessment practices and environment promote effective, manageable, fair and safe assessment and are in line with codes of practice.			
7	Assessment is carried out in accordance with assessment design and plan.			
8	Were necessary, justified adjustments to the assessment were made without compromising validity or fairness.			
9	Questioning techniques were appropriate and have the potential to successfully elicit appropriate responses.			
10	Communication with learner(s) was non-leading and on the appropriate language level.			
11	Learner was given sufficient opportunity to explain him/her self and to display the appropriate understanding of specific issues.			
12	Assessment process was conducted in such a way as to enable valid, consistent and fair assessment judgements to be made.			
FEEDBACK				
13	Feedback on the assessment process is obtained from the learner.			
14	Opportunities are provided for clarification concerning entire assessment.			
15	Feedback on the outcomes of the assessment is clear and confined to strengths and weaknesses in performance and/or requirements.			
16	Feedback is constructive, culturally sensitive and related to the relevant party's needs and further decisions to be made.			

FEEDBACK TO ASSESSOR

Moderator's Name:	
Moderator sign:	
Assessor sign:	

7. INTERVAL MODERATION: COMPLIANCE TO ASSESSMENT PRINCIPLE

Tool INT 06

Principle Upheld	Score	Principle Compromised
1. VALIDITY		
The assessment focuses on the requirements laid down in the standard. The assessment is fit for purpose		
Comment:		
1. RELIABILITY		
The same assessment decision in a similar context would be reached again		
Comment:		
2. AUTHENTICITY		
The work being assessed is attributable to the person being assessed		
Comment:		
3. CURRENCY		
The assessment evidence reflects that the candidate is currently competent against the standard.		
Comment:		
5. SUFFICIENCY		
The evidence collected establishes that all criteria have been met and that the performance to the required standard can be repeated consistently		
Comment:		
6. APPROPRIATENESS		
The method of assessment is suited to the performance being assessed		
Comment:		
7. FAIRNESS		
The method of assessment does not present any barriers to achievements		
Comment:		
8. CONSISTENCY		
9. The same and different assessors would make the same judgement again in similar circumstances.		

Principle Upheld	Score	Principle Compromised
Comment:		
<p>10. SYSTEMATIC Planning and Recording is sufficiently rigorous to ensure that assessment is fair and credible</p>		
Comment:		

8. INTERVAL MODERATION: INTERVIEWING THE LEARNER

Tool INT 07

Candidate:
Assessors Name:
Date of
Assessment:
Unit Standard
Moderated:

Date of
Moderation:
Moderators Name:

Please evaluate the moderation exercise using the following scale:
 In the event that you are not able to respond to a question, please indicate NA

The moderator should facilitate the interpretation of the questionnaire content during the interview to ensure accurate responses from candidate	
Requirements Not Met	1
Requirements Met	2
Requirements Exceeded	3

ASSESSMENT PROCESS	
1. To what extent do you feel the assessor adequately prepared you for your assessment?	
2. How well did the assessor explain the assessment details to you?	
3. To what extent do you believe you were ready for assessment?	
4. Did the assessor provide you with the opportunity for input to the assessment?	
5. Did you know exactly what outcomes you were expected to demonstrate during the assessment?	
6. Did the Assessor conduct the assessment as per the plan?	
7. Was the assessor's questioning technique appropriate?	
8. Was the assessor flexible in terms of special needs during unforeseen circumstances?	
9. Did the assessment documentation used facilitate your preparation towards assessment?	
10. Are you comfortable with the assessment methods used?	
ASSESSOR	
1. Please evaluate the extent to which the assessor upheld the following principles during your assessment?	
a. Validity	
b. Fairness	
c. Reliability	
d. Consistency	
e. Openness	
2. In your opinion did the assessor give you sufficient opportunity to demonstrate competence?	

3. To what extent did the assessor demonstrate good interpersonal skills?	
ASSESSMENT OUTCOME	
1. Did the assessor make it clear as to whether you had met the performance standard during the assessment?	
2. To what extent did the assessor provide adequate feedback on the assessment outcome?	
3. Did the assessor evaluate the evidence you provided for authenticity?	
4. Do you believe the assessment decision is justified?	
5. Do you feel confident that the assessment process has accurately measured your ability to apply your competence on the job?	

Additional Comments and Suggestions

Specifically, what as the candidate would you recommend to the assessor to improve the assessment process?

Many Thanks for your time and valuable feedback.

Name: _____

Signature: _____

Date: _____

9. INTERVAL MODERATION: INTERVIEWING THE ASSESSOR

Tool INT 08

Moderator:
Assessors:
Date of Interview:
Venue

1.	Explain what triggered the need for this assessment and describe how you went about establishing candidate's readiness for the assessment.
2.	Explain how you as the assessor went about planning for the assessment including details of choice of assessment documentation, resources, scheduled of events, communication strategies etc.
3	Explain what preparation guidelines and documentation you provided your candidate prior to the assessment.
4	As the assessor, do you believe that the assessment documentation provided by the prompts you as an assessor to conduct an effective evaluation of the candidate's competence? Please motivate your answer. What suggestions would you make for improvement
5	List possible unforeseen circumstances that could hamper the progress of the planned assessment and suggest ways in which you would overcome these issues. If relevant relate realistic issues that may have occurred.
6	Describe how and when you went about providing feedback to candidates. What reference documentation did you use to provide the feedback?
7	Identify how you captured the assessment outcomes in order to comply with provider policy.
8	Formulate your own opinion on where the design of the assessment rendered possible weaknesses thereby compromising the principles of assessment
9	Explain the approach you adopted to obtain feedback from your candidate on the process

10	Moderator to formulate additional questions that relate specifically to the assessment documentation and evidence presented in portfolios for moderation. e.g. "I noticed you rated your candidate competent against all written answers to knowledge questions posed in the assessment. How can you be sure the answers would be considered correct by a second assessor?"

10. INTERVAL MODERATION DECISION

Tool INT 9

(Due to the confidential nature of detailed reports, it may be more appropriate to document and store moderation findings on a single page for each unit standard moderated)

To be completed by Moderator			
Moderators Name:			
Assessors Name:			
Unit Standard Title:			
Unit Standard Number:			
Date:			
Use the rating scale to depict overall findings:			
1: Requirements Not Met	2: Requirements Met	3: Requirements Exceeded	
<ul style="list-style-type: none"> ▪ Assessment Processes are performed to Standard 			
<ul style="list-style-type: none"> ▪ Assessor reached the correct decision in a fair valid and reliable manner 			
<ul style="list-style-type: none"> ▪ Assessors Behaviour 			
<ul style="list-style-type: none"> ▪ Relevance of the Unit Standards 			
<ul style="list-style-type: none"> ▪ Assessors upheld the principles of assessment 			
Overall Moderation Decision: tick the appropriate boxes			
Assessors Decision	<i>Competent</i>	<input type="checkbox"/>	<i>Not Yet Competent</i>
Moderators Decision	<i>Uphold Decision</i>	<input type="checkbox"/>	<i>Overturn Decision</i>
Overall Comment to Assessor: <i>(Immediate Action)</i>			
General Comment on further action: <i>(Future Action)</i>			

Moderator Sign:

Assessor Sign:

11. INTERVAL MODERATION: EVALUATING THE MODERATOR

Tool INT 10

(Must be completed by the provider and forwarded to the Foodbev SETA)

Note: Foodbev SETA will only forward the moderation report to the provider upon receipt of this response form.

Provider Name:
Provider Representative or Assessors
name:
Date of Moderation:
Qualification:
Date of Evaluation:
Moderators Name:

Please evaluate the moderation exercise using the following scale:
 In the event that you are not able to respond to a question, please indicate NA

Requirements Not Met	1
Requirements Met	2
Requirements Exceeded	3

The word “assessor” refers to the Provider as an assessment body or an Individual Assessor. Either or should be in an objective position to complete this form.

MODERATION PROCESS	
1. To what extent was the moderation plan made clear to you as the assessor?	
2. Was the plan in accordance with your company’s moderation policy and procedure?	
3. Did the moderator provide adequate communication using appropriate techniques?	
4. Were the appropriate parties informed of the moderation exercise?	
5. Was the selected moderation technique appropriate to deal with the types of evidence gathered?	
6. To what extent did the tools used by the moderator facilitate the purpose of the moderation exercise?	
7. Was the moderation conducted in accordance with the moderation plan?	
8. To what extent do you believe the internal moderation system is aligned to the external moderation process?	
MODERATOR	
1. Did the moderator demonstrate competence within the field of the moderation exercise?	
2. During the interviews did the moderator demonstrate good interpersonal skills?	
3. Do you believe the moderator was able to be objective?	
4. Did the moderator provide you as the assessor with additional opportunities to clarify evidence gathered?	
5. Do you agree that the moderator reached the correct moderation decision?	

6. Was the moderator open to suggestions of how their moderation process can be improved?	
7. How well did the moderator maintain confidentiality with regards the assessment?	
ADVICE AND SUPPORT	
1. To what extent did you as the assessor agree with the moderator's findings on how well you upheld the assessment process?	
2. To what extent did you as the assessor agree with the moderator's findings on how well you upheld the assessment principles?	
3. To what extent do you believe the moderator's advice will promote quality in accordance with good assessment procedures?	
4. To what degree will the moderator's advice enhance the formulation of a good Quality Management System within you company?	
5. To what extent do you believe changes will be implemented within your company due to the external moderation?	
6. Was advice and support coherently documented in the moderation report?	
7. To what extent has this prompted you as an assessor to adapt your assessment style?	
8. Were the moderation outcomes communicated to the appropriate parties?	

Additional Comments and Suggestions

Specifically, what as the assessor would you recommend to the moderator to improve the moderation process?

Many Thanks for your time and valuable feedback.

Please forward this evaluation to both the moderator and ETQA manager.

Name: _____

Signature: _____

12. AGENDA

Tool INT 11

(This is a proposed agenda used by the Moderator and the provider)

Retrospective Agenda	Responsibility
1. Introduction	All
2. Evaluate implementation of recommendations made during induction moderation.	Moderator
3. Evaluate up to date learner progress tracking system	Moderator
4. Evaluate up to date assessor and moderator database	Moderator
5. Obtain selected 20% sample as per Tool INT 02 (A). (Moderator to request samples 3days prior to moderation if portfolios are off-site)	Moderator
6. Evaluate selected samples by using Tool INT 04	Moderator
7. The main focus areas of evaluation are: <ul style="list-style-type: none"> • Learner information. • Learner induction. • Learner preparation for assessment. • Sufficient evidence aligned with unit standard. • Feedback to the learner. • Development plan. • Feedback from the learner. • Assessor review. 	Moderator
8. Evaluate the compliance to assessment principles by using Tool by using Tool INT 05	Moderator
9. Evaluate completed internal moderation tools and reports	Moderator
10. Evaluate completed declaration forms and summary reports submitted to Foodbev SETA	Moderator

Interactive Agenda	Responsibility
1. Introduction	All
2. Observe and evaluate assessment by using Tool INT 05 <i>(The moderator should also have the assessment tools used by the assessor prior to the observation of assessment)</i>	Moderator
3. Interview the learner by using Tool INT 07	Moderator and Learner
4. Interview the assessor by using Tool INT 08	Moderator and Assessor
5. Feedback Session (To the assessor and completion of Tool INT 09)	Moderator and Assessor
6. Overall Moderation Decision and report writing	Moderator

13. INTERVAL MODERATION REPORT FORMAT

Tool INT 12

(This reporting template must be completed by the Moderator and forwarded to the FoodBev SETA)

1. Executive Summary
2. Content Page
3. Introduction
4. Moderation Scope
5. Purpose of the Moderation
6. Moderation Process
7. Moderator's Findings
8. Moderator Decision
9. Moderator's Recommendation(s)
10. Conclusion
11. Acronyms and Abbreviations