

Unit Standard
SAQA ID: 255514 Conduct a disciplinary hearing

Credit Total: 15

MODERATOR GUIDE

Assessor Name: _____

Moderator Name: _____

Welcome to the Moderator Guide!

This document aims to provide the moderator with guidance towards the assessment process / evidence / competencies needed for the achievement of the outcomes in this module.

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Instructions to the Moderator

Verify and evaluate the assessment conducted by the assessor on the learner through the evidence collected in the Assessment Instrument.

- The moderator must moderate all of the outcomes / criteria of this unit standard.
- The moderator is required to mark comments (either sufficient / insufficient with supporting statement) where appropriate next to each outcome criteria based upon the evidence evaluated.
- The moderator is also required to check upon and evaluate the processes followed by the assessor during the assessment process to validate the assessment and ensure that all the assessment principles have been implemented a followed by the assessor.

Moderation Plan

Assessor's information

Name: _____
 Registration number: _____
 Employee number: _____
 Department: _____
 Telephone number: _____
 E-mail: _____

Moderator's information

Name: _____
 Registration number: _____
 Employee number: _____
 Department: _____
 Telephone number: _____
 E-mail: _____

Date of previous Moderation visit: _____
 Date of current Moderation visit: _____
 Venue: _____

Special Arrangements: _____

Role-players Informed: YES / NO

Comments: _____

Moderation process

Each moderation visit is carried out in exactly the same manner to ensure fairness, validity and reliability of the moderation process. Each moderation visit will cover the following moderation activities:

- ✓ Evaluation of the assessment documents. This will ensure that the documentation has been completed in accordance with the company's policies and ETQA requirements. It will also ensure that it is an accurate reflection of the assessor and learner's competence.
- ✓ Questioning the assessor to ensure that the process was fair, valid and reliable.
- ✓ Verification.
- ✓ Feedback to the assessor.

Pre-Moderation Planning / Evidence Preparation: Assessment / POE Evidence		YES	NO
<ul style="list-style-type: none"> ✓ Obtain US applicable to the job being assessed. ✓ Obtain copies of the Formative and Summative Assessment Instrument ✓ Obtain copies of the Assessment Guide ✓ Obtain copies of the Learner Guide ✓ Obtain copies of the Assessment Plan ✓ Obtain copies of the Assessment Report 			
DATE CHECKED / / 2015 <hr/> <hr/> MODERATOR SIGNATURE	COMMENTS:		
Pre-Moderation Evidence Preparation: Pre-Assessment Activities		YES	NO
Obtain documentation used by the assessor. Pre-Moderation meeting with Assessor, which includes the following: <ol style="list-style-type: none"> 1. Logistical arrangements with the assessor and relevant parties 2. Declaration letter agreeing to be assessed 3. Agenda and Minutes of meetings 4. Documents discussed which include: roles of assessor and moderator, <ul style="list-style-type: none"> - The appeals procedure, identified barriers of any kind, the US, implications of outcomes-based assessment and linkage to job profiles, discussion of the assessment and moderation process 5. Participation from the assessor 6. Level of confidentiality required from the assessor 7. Check for authenticity of all activities signed and dated 8. Assessment plan & guide distributed and discussed 9. Special needs noted 			
DATE CHECKED / / 2015 <hr/> <hr/> MODERATOR SIGNATURE	COMMENTS:		

Assessor Name:	Moderator Name:
Assessor Signature:	Moderator Signature:
Date:	Date:

Reference: Assessment Strategy

Purpose of Assessment	The purpose of this assessment is to determine and recognise learner competence against the unit standard.		
Assessment Approach	Learners will undergo formative assessment and summative assessment. Evidence gathered during formative assessment will be used towards summative assessment. Formative Assessment will include activities. Summative Assessment will contain and Workplace Assignment, knowledge questionnaire and the completion of a personal narrative.		
Assessment Conditions	Formative Assessment: Classroom or boardroom.		
Learner Needs	<ul style="list-style-type: none"> ▪ Special needs are identified through the learner information form completed during enrolment and verified during the Assessment Preparation Interview which takes place at the end of the learning intervention. ▪ Assessment should be adjusted based on special needs requests, provided that the fairness, validity and reliability of the assessment are not compromised. Special needs include, but are not limited to: Hearing impairment, Physical impairment, Learning disabilities, Visual impairment, Speech impairment and Medical conditions 		
Learner Support	<ul style="list-style-type: none"> ▪ Learning facilitation ▪ Facilitator / Assessor guidance and support with completion of Summative Assessment 	<ul style="list-style-type: none"> ▪ Data Projector ▪ Flipchart stand 	<ul style="list-style-type: none"> ▪ Mentoring & Coaching (provided by supervisor) ▪ Facilitator guidance and support with workshop activities ▪ Laptop ▪ Pre-designed assessment instruments
Resources & Equipment	<ul style="list-style-type: none"> ▪ Training Venue ▪ PowerPoint Slides 	<ul style="list-style-type: none"> ▪ Data Projector ▪ Flipchart stand 	<ul style="list-style-type: none"> ▪ Flipchart paper ▪ Coloured Pens
Assessment Tools in relation to VARCS	Validity	The assessment tools cover all of the specific outcomes, assessment criterion, embedded knowledge (where applicable) and critical cross field outcomes of the unit standard. The tools measure the requirements of this unit standard.	
	Authenticity	The learners are required to sign a declaration sheet that states that they have submitted their own work. The assessor checks that this sheet is submitted in the learner's portfolio of evidence. In line with the principles of assessment, the assessor will ensure that they are satisfied that work being assessed belongs to the learner in question.	
	Reliability	Consistent results will be obtained with different assessors by making use of these assessment tools.	
	Current	The evidence presented will be current – not older than 3 years.	
	Sufficient	The assessment tools selected for this assessment provides enough evidence to show that the learners have met the criteria and specific outcomes required to be found competent against this unit standard. This performance can be repeated consistently with the same results.	

Reference: Assessment Process

Reference: Assessment Process		
1	Plan and Prepare for Assessment	Documents
	<ul style="list-style-type: none"> a) Plan & Prepare self for Assessment <ul style="list-style-type: none"> ▪ Understand all the requirements of the assessment in terms of evidence required to prove competence. ▪ Identify logistical arrangements that have to be made ▪ Familiarise self with assessment instruments and tools ▪ Identify any resources required for assessment ▪ Ensure that you are familiar with the Assessment, Moderation, RPL and Appeals policy. b) Plan & Prepare Learner for Assessment <ul style="list-style-type: none"> ▪ Discuss all aspects mentioned on the <i>Assessment Preparation Sheet</i> OR ▪ Provide the learner with a <i>letter</i> detailing all the specifications covered in the Assessment Preparation Sheet ▪ Complete the Assessment Plan with the learner. 	<ul style="list-style-type: none"> <input type="checkbox"/> Assessment Guide <input type="checkbox"/> Unit Standard <input type="checkbox"/> Assessment Policy <input type="checkbox"/> Moderation Policy <input type="checkbox"/> RPL Policy <input type="checkbox"/> Appeals and Disputes Policy <input type="checkbox"/> Assessment Preparation Sheet <input type="checkbox"/> Assessment Plan <input type="checkbox"/> Assessment Pack (Assessment Instruments and Tools)
2	Conduct Assessment	Documents
	<ul style="list-style-type: none"> a) Assist in Evidence Collection <ul style="list-style-type: none"> ▪ Assist in the Administration of the Formative Assessments b) Assessing Evidence <ul style="list-style-type: none"> ▪ Review evidence submitted using <i>model answers / memorandum</i> ▪ Advise learners of outstanding evidence ▪ Record the findings and feedback using the <i>Assessment Report</i> ▪ Inform learner of outstanding evidence via phone, fax or e-mail ▪ Record all communication with learners ▪ Record final judgement using the <i>Assessment Report</i> 	<ul style="list-style-type: none"> <input type="checkbox"/> Learner's Portfolio of Evidence <input type="checkbox"/> Assessment Report
3	Review Assessment	Documents
	<ul style="list-style-type: none"> a) Assessor to complete review questionnaire b) Learner to complete review questionnaire 	<ul style="list-style-type: none"> <input type="checkbox"/> Assessor's Assessment Review <input type="checkbox"/> Learner's Assessment Review
4	Record Keeping and Reporting	Documents
	<ul style="list-style-type: none"> a) Based on the Assessment Report an <i>Assessment Record</i> will be completed and sent to the learner. b) Assessment Results to be recorded on Learner Database by Administrator c) Submit Portfolio of Evidence and Reports for Moderation 	<ul style="list-style-type: none"> <input type="checkbox"/> Assessment Report <input type="checkbox"/> Assessment Record

MODERATION INSTRUMENT

Assessor Name:		Learner Name:	
Moderator Name:		Date of Moderation:	
Qualification to be moderated:	N/A	Unit Standards:	SAQA ID: 255514

CRITERIA PRE - ASSESSMENT	Evidence Found where	Competent Y / N	Comments
1. The is an assessment plan is in place and valid			
1. Purpose of assessment has been established			
2. The plan addresses all the assessment requirements of the unit standards or qualification to be addressed			
3. Performance to be assessed has been established			
4. Types of evidence to be collected has been established			
5. Appropriate methods of assessment has been selected			
6. Timing of the assessment			
7. Accountabilities have been established			
8. Resources required has been identified			
9. Sequence of activities has been established			

10. Deadlines have been established			
11. Arrangements have been made for reviewing the assessment plan			
12. Planning addresses the need for cost effectiveness			
13. Plan takes into account the results of previous assessments			
14. Plan addresses the special needs of the learner			
15. Plan addresses the assessment context			
16. Plan addresses the accessibility of the environment			
17. Plan addresses the safety of the environment			
18. Plan takes into account for contingencies			
19. Appropriate assessment activities and instruments has been selected			
20. Assessment documentation has been prepared providing details of the assessment process			
21. Assessment documentation has been prepared providing instructions to the learner			
22. Assessment documentation has been prepared providing instructions to the assessor			
23. Assessment documentation has been prepared providing instructions to the relevant parties			
24. Potential unfair barriers to achievement by learner have been identified			
25. Plans have been made to address such barriers			

26. Plans do not compromise the validity of the assessment			
27. Logistical arrangements have been discussed with learner			
28. Logistical arrangements have been discussed with relevant parties			
29. The required physical & human resources have been identified & made ready/available for use			
30. Provision for moderation is made in accordance with relevant assessment policies and ETQA requirements.			
31. A variety of assessment methods are described and compared in terms of strengths, weaknesses and applications.			
32. Situations for gathering evidence of abilities in problem solving			
33. Situations for gathering evidence of abilities in knowledge			
34. Situations for gathering evidence of abilities in understanding			
35. Situations for gathering evidence of abilities in practical and technical skills			
36. Situations for gathering evidence of abilities in personal & attitudinal skills			
37. Situations for gathering evidence of abilities in values			

CRITERIA PREPARING LEARNER	Evidence Found where	Competent Y / N	Comments
38. Discussion has been held with learner			
39. Discussion has been held with relevant parties			
40. Assessment details are made explicit			
41. Discussion held in language level appropriate to learner			
42. Learner has been prepared for the assessment			
43. Assessment process has been explained to learner			
44. Appeals procedure has been explained to the learner			
45. Purpose of assessment has been explained to the learner			
46. Method of assessment has been explained to the learner			
47. Documents used in assessment has been explained to the learner			
48. The learners learning requirements has been identified			
49. The learners prior knowledge has been identified			
50. The learners experience has been identified			
51. Opportunities for clarification are provided			

52. Roles and responsibilities of each person is discussed			
53. Expectations are discussed with learner			
54. It has been explained to the learner of the key elements and implications of standards-based assessment within in the context of the NQF			
55. Has it been ascertained if the learner is ready for assessment			
56. If learner is not ready what actions will be implemented			
57. Do these actions fall in line with the assessment policies			
58. Has input been gathered from the learner with regards to other possible sources of evidence			
59. Do these sources lead to valid assessment			
60. Has modifications been made to the assessment			
61. Do these modifications maintain and/or improve the validity of the assessment			

CRITERIA	Evidence Found where	Competent Y / N	Comments
ACTUAL ASSESSMENT			
62. The environment and assessment practices are			

ensured to be conducive to effective, fair and safe assessment			
63. The environment is in line with recognized codes of practice and learning site or work-site standard operating procedures			
64. Has the learner been put at ease			
65. Has the assessment been conducted according to the assessment principles			
66. Has the assessment been conducted according to the assessment plan			
67. Has the collected evidence been evaluated against the assessment criteria			
68. The assessment approach is adapted as required by the situation			
69. Unforeseen events are addressed without compromising the validity or fairness of the assessment			
70. Language and expressions used are at a level appropriate to the candidate and provide for clear understanding of what is required without leading candidates.			
71. Questioning techniques are appropriate and have the potential to successfully elicit appropriate responses.			
72. Sufficient evidence is gathered			
73. Evidence has been gathered over a period of time			
74. Has the assessment decision been made and recorded			
75. Has the assessment outcomes been recorded as per the organizational & national requirements			
76. The recording of evidence is sufficient for the			

purposes of making assessment judgments, meaningful feedback, moderation and possible appeals			
77. The key principles of assessment have been covered			

CRITERIA Evaluation of Evidence	Evidence Found where	Competent Y / N	Comments
78. Evidence is evaluated for authenticity, validity and sufficiency.			
79. The quality and type of evidence is evaluated in terms of the assessment outcomes, against the criteria in the relevant unit standard or qualifications.			
80. The evaluation of evidence includes making allowances for contingencies beyond the control of the candidate without compromising the fairness or validity of the assessment.			
81. Assessment judgements are justified by the quality and sufficiency of the evidence			
82. Judgements can be substantiated in terms of the consistency and repeatability of the candidate's performance and evidence from various sources and time periods.			
83. Evidence and judgements are stored in line with the Quality Assurance system used by the organisation			
CRITERIA FEEDBACK OF ASSESSMENT	Evidence Found where	Competent Y / N	Comments
84. Has feedback been given to the learner			

85. Was feedback given timeously to the learner			
86. Was feedback given timeously to the relevant parties			
87. Was feedback given to the learner in an appropriate environment			
88. Was feedback given to the relevant parties in an appropriate environment			
89. Was feedback given to the learner in an affirming, constructive and interactive way			
90. Was feedback given to the relevant parties in an affirming, constructive and interactive way			
91. Was feedback given in terms of special needs of learner			
92. Was feedback given in terms of learner meeting all requirements			
93. Was feedback given in terms of learner not meeting all criteria			
94. Was feedback given in terms of learner meeting some but not all criteria			
95. Was feedback given in terms of more evidence being required before a judgment can be made			
96. Feedback has been given to the learner according to confidentiality requirements			
97. Feedback has been given to the relevant parties according to confidentiality requirements			
98. Feedback focuses on the quality and sufficiency of the candidate's performance in relation to the agreed outcomes and criteria.			
99. Sufficient information is provided to enable the purpose of the assessment to be met, and to enable parties to make further decisions with regards to further decisions include awarding of credit and redirecting candidates to learning or re-assessment.			

100.	Feedback on the assessment process is obtained from the candidate and opportunities are provided for clarification and explanation.		
101.	Disputes that arise are dealt with in accordance with the assessment policy.		
102.	Agreements reached and key elements of the feedback are recorded in line with organisational quality assurance systems.		
103.	The feedback process and models are described in terms of the potential impact on candidates and further learning and assessment.		

CRITERIA ASSESSMENT EVALUATION	Evidence Found where	Competent Y / N	Comments
104. Has the assessment been evaluated			
105. Were strengths and weaknesses identified in the assessors own performance			
106. Has plans been made to integrate lessons learned in future assessments			
107. The review identifies good and bad practice in assessment design and process, and notes these for incorporation in assessment redesign.			
108. Feedback from relevant parties is used to effect future assessments positively.			
109. Weaknesses in the assessment design and			

process that could have compromised the fairness of assessment are identified and dealt with in accordance with the assessment policy.			
110. Weaknesses in the assessment arising from poor quality of unit standards or qualifications are identified, and steps are taken to inform relevant bodies.			

Moderator Decision: Competent / Not yet competent / further evidence required **Decision Upheld:** YES / NO

Comments for corrective actions: _____

Acknowledgements

Moderator Name: _____ Moderator Registration No: _____

Moderator Signature: _____ Date: _____

The Assessor acknowledges that feedback has been received and that he is in agreement with decision made

Assessor Name: _____ Assessor Registration No: _____

Assessor Signature: _____ Date: _____

MODERATION REPORT

Unit Standard Name	Conduct a disciplinary hearing	SAQA ID	255514	NQF Level	5	Credits	15
Specific Outcome 1:	Explain organisational and legal policies, procedures for instituting disciplinary action.						
Specific Outcome 2:	Investigate the allegation.						
Specific Outcome 3:	Prepare for a hearing.						
Specific Outcome 4:	Conduct a disciplinary hearing.						

Findings / Result

General:	Assessment Practices Accepted	Yes / No
	Assessment Principles Applied	Yes / No
	Changes suggested to Assessment	Yes / No
	Additional comments made on reports	Yes / No
	Assessment Decision Upheld	Yes / No
Comments:		

Moderator Name and Signature:		Date:
Assessor Name and Signature:		Date:

FEEDBACK AND JUDGEMENT RECORD

FEEDBACK
Comments from Assessor:

JUDGEMENT	
Meet the requirements: <input type="checkbox"/> Requires additional evidence: <input type="checkbox"/> Can continue to the next assessment: <input type="checkbox"/> Action required:	Do not meet the requirements: <input type="checkbox"/> Requires another assessment: <input type="checkbox"/> Requires another assessment by another assessor: <input type="checkbox"/> By when:

Moderator's feedback remarks

Declaration by Assessor		
I, _____ declare that I am satisfied that the feedback given to me by the Moderator was relevant, sufficient and done in a constructive manner. I accept the moderation judgment.		
Assessor Name & Signature Date	Moderator Name & Signature	Date

EVALUATION OF MODERATION					
Moderator Name		Assessor name			
Module		Date			
Review dimension	Learner		Assessor		Action
	Yes	No	Yes	No	
Were the principles / criteria for moderation achieved?					
Did the moderation relate to the assessments?					
Was the moderation practical?					
Was it time efficient and cost-effective?					
The moderation did not interfere with my normal responsibilities?					
Was the moderation instrument fair, clear, and understandable?					
The moderation judgment was made against set requirements?					
Was the venue and equipment functional?					
Were special needs identified and the plan adjusted?					
Was feedback and communication constructive?					
Was an opportunity to appeal given?					
Was all evidence recorded?					
Were the review / evaluation process apparent and user friendly?					

Declaration of Understanding			
I am aware of the moderation process and understand that the moderator could declare the assessment decision invalid			
Assessor Name & Sign	Date	Moderator Name & Sign	Date