



**ENERGY SECTOR EDUCATION AND TRAINING AUTHORITY**

**EXTERNAL MODERATION PROCEDURE**

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## 1. Scope

It is a requirement that the ESETA must ensure that the standard applied amongst constituent providers of learning in the Energy Sector are consistent through conducting external moderation. This procedure describes the requirements in terms of the process.

### 1.1 Purpose

To ensure that the external moderation process is aligned to the delivery of learning in the energy sector.

### 1.2 Applicability

This procedure is applicable to all external moderation audits conducted by the ESETA with focus to energy and water sectors.

## 2. References

The reader must ensure that the latest revisions of the listed documents are used.

**APOL002:** ESETA RPL, Assessment, Internal and External Moderation Policy  
Criteria and Guideline for Assessment of NQF Registered Unit Standards and Qualifications Policy:  
Chapter 7 - Moderation

## 3 Definitions and Abbreviations

### 3.1 Definitions:

#### 3.1.1 External Moderation:

External moderation process is a means of ensuring that two or more constituent providers deliver the same "standard" of consistency when conducting assessment

**Portfolio of evidence:** The documented comprehensive evidence of learning and assessment activities gathered during the Learning programme or qualification with a view to attain certification.

### 3.2 Abbreviations

**ESETA:** Energy Sector Education and Training Authority

**ETQA:** Education and Training Quality Assurer

**NQF:** National Qualifications Framework

RPL: Recognition of Prior Learning

## 4 Procedure

### 4.1 Responsibilities

It is the responsibility of the ETQA Manager to ensure that external moderation is procedurally conducted in line with SAQA requirements.

### 4.2 Notification for Moderation

4.2.1 The ETQA Manager shall confirm with the appointed Moderator and the Client (Provider or Employer) of the intent to conduct external moderation, specifying the following detail:

4.2.1.1 Scope of the moderation to be conducted

4.2.1.2 The purpose of the moderation

4.2.1.3 Times and duration of the moderation process

4.2.1.4 Reporting process of findings

4.2.1.5 Consequences in terms of the possible outcomes in terms of cost recovery and follow-up process.

The Provider or Employer of the learners where moderation is to be conducted shall duly arrange for the presence of the learners – when required – and the portfolios of at the venue as agreed to by the Moderator.

### 4.3 Moderation conduct

4.3.1 The appointed Moderator arranges with the client (Provider or Employer) for a suitable venue to conduct the opening meeting

4.3.2 A standardized agenda will be used to facilitate the opening meeting

4.3.3 During the moderation process there will be no personal issues discussed and activities must be focused on the scope and purpose of the moderation process communicated

4.3.4 Should it become evident during the moderation process that there are blatant non-compliances, the appointed Moderator can conclude the moderation process and end off with a closing meeting.

4.3.5 At the end of the moderation process, the appointed Moderator shall arrange for a suitable venue for holding a closing meeting

4.3.6 A standardized agenda shall be used to facilitate the closing meeting

### 4.4 Reporting

4.4.1 All issues that are not complying with the requirements, must be recorded and copies handed to the Provider or Employer where the moderation was conducted during the closing meeting

4.4.2 The appointed Moderator shall issue a preliminary report to the Client (Provider or Employer) at the closing meeting

4.4.3 The preliminary report shall also be forwarded to the ETQA Committee for final ratification on the standard format as in Annexure A

4.4.4 The ETQA Committee shall confirm the final decision and outcome of the moderation to the Client (Provider or Employer). The final decision and outcome of the Moderation shall always be accompanied by possible corrective steps from the Provider or Employer

#### 4.5 Follow-up

- 4.5.1 The ETQA Manager shall confirm with the Client (Provider or Employer) of the follow-up actions required for the Client's side.
- 4.5.2 The ESETA Manager shall in good time arrange with the Moderator when close-out or follow-up actions needs to be verified.
- 4.5.3 The appointed Moderator shall issue a follow-up report to the ETQA Committee for ratification

#### 5 Documentation

All documentation used during the moderation process shall remain the property of the ESETA.

Copies of the **moderation reports must be kept for the duration** that the learners are not fully certificated

#### 6 Annexes

- 6.1 Moderation Report Format

### Annex A Moderation Report