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ETQA SKILLS DEVELOPMENT PROVIDERS MONITORING GUIDELINES

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1. Preamble

The South African Qualifications Authority regards the role of ETQAs in quality assurance as imperative. In line with the original mandate from the South African Qualifications Authority (SAETQA)[i], and now in line with the delegated functions through the newly formed Quality Council for Trades and Occupations (QCTO), Education and Training Quality Assurance Bodies (ETQAs) are required to promote quality among constituent Skills Development Providers and monitor provision of learning by such Skills Development Providers. In addition, the ETQA is required to have a Quality Management System which includes the following:

1.1 definition of the quality the ETQA wishes to achieve

1.2 review mechanisms which will enable the ETQA to ensure that quality management policies and procedures are applied and remain effective.

In response to these requirements, Insurance Sector Education Training Authority (INSETA) Quality Assurance (ETQA) Division has drafted this Monitoring Policy and Guideline.

2. Purpose

The purpose of this document is to set out clearly what the Skills Development Providers should expect and what the INSETA Monitoring Team should be doing as regards the Monitoring; to ensure maintenance if high quality of learning delivery across INSETA-Accredited Skills Development Providers and consistency of Monitoring practices by INSETA Monitoring Team members.

3. Definitions

The following definitions about quality and monitoring extracted from SAETQA's *Quality Management Systems for Education and Skills Development Providers,* determine how quality practice is defined; with specific reference made to external Monitoring.

Education and Training Quality Assurance Body (ETQA) means a body accredited in terms of section 5(1)(a)(ii) of the Act, ***responsible for monitoring and auditing achievements*** in terms of national standards or qualifications, and to which specific functions relating to the monitoring and auditing of national standards or qualifications have been assigned.

Quality Assurance means the sum of activities that assure the quality of products and services at the time of production or delivery. Quality assurance procedures are frequently applied only to the activities and products associated directly with the goods and services provided to external customers.

Quality Management Systems means the combination of processes used to ensure that the degree of excellence specified is achieved. A quality management system is the sum of the activities and information an organisation uses to enable it to better and more consistently deliver products and services that meet and exceed the needs and expectations of its customers and beneficiaries, more cost effectively and cost efficiently, today and in the future.

Primary Accreditation - Accreditation awarded to a Skills Development Provider by an Education and Training Quality Assurance Body (ETQA) that is the main ETQA for the Skills Development Provider; to offer training on qualifications that are quality-assured by the ETQA.

Secondary Accreditation - Accreditation awarded to a Skills Development Provider by an Education and Training Quality Assurance Body (ETQA) that is not the main ETQA of the Skills Development Provider; to offer training on qualifications that are quality-assured by the ETQA.

Quality Audits are activities undertaken to measure the quality of products or services that have already been made or delivered. In itself, a quality audit has no impact on quality.

Quality Control is undertaken by the person(s) who make the product (or deliver the service) for internal purposes.

Capacity building - The process to help bring about ability to comply with requirements for accreditation, programme approval and verification.

Memorandum of Understanding Programme Approval - The process of establishing a relationship with another ETQA's Skills Development Provider that offers learning programmes which are INSETA registered and for which INSETA certificates learning.

3. Scope of Work

The INSETA ETQA reserves the right to monitor all Skills Development Providers (with Primary and Secondary Accreditation). Refusal from a Skills Development Provider to be monitored could result in suspension of Accreditation and/or de-accreditation initiated by INSETA ETQA. Through the act of monitoring, the report can recommend:

- Re-accreditation of the Skills Development Provider;
- Extension of Secondary accreditation;
- Process of quality improvement, within a specified period of time;
- Suspension or withdrawal of accreditation.

The focus of the monitoring will most importantly be on, but not limited to:

- Quality Management System
- Delivery of learning
- Assessment processes and practice
- Exiting learners that have been trained from the system.

3.1 Monitoring of Secondary Skills Development Providers

In cases where there are learning quality discrepancies or concerns noted on monitoring, the Skills Development Provider's Primary ETQA and the INSETA Employer who contracted the Skills Development Provider in question will be notified.

4. Monitoring Principles

Monitoring is conducted on the performance of the Provider against following SAQA's 8 Core-Criteria for Accreditation and information requested within the audit tool is linked or labeled according to these criteria.

SAETQA's 8 core criteria	
Policy Statement	The organisation's aims, objectives and purposes are spelt out
Quality Management System	Outlines policies and procedures that regulate the quality of learning implementation
Policy Review Mechanisms	Outlines the ways in which and timelines at which the existing policies would be reviewed
Programme Delivery	Outlines how learning programmes would be developed, delivered and evaluated
Staff Policies	Outlines policies and procedures for staff selection, appraisal and development
Learner Policies	Policies and procedures for learner selection, guidance and support
Assessment Policies	Outlines policies and procedures for forms of assessments and how they are managed
Management Systems and Policies	Indicates the financial, administrative and physical structures and resources of the organisation, as well as procedures of accountability within the organisation

Monitoring is conducted at the discretion of the INSETA ETQA Division for the following reasons:

- To build the capacity of Skills Development Providers
- In cases where Skills Development Providers have not requested verification of enrolled learners beyond the lifespan of a learning programme
- To investigate non-compliance reported by a stakeholder
- On receipt of Voluntary de-accreditation notification from Skills Development Provider
- Routinely during the period of provisional primary or secondary accreditation
- On application for re-accreditation (primary or secondary)
- On de-accreditation of a Skills Development Provider to ensure that learners are exited from the system
- New host employers offering QCTO Qualifications

4.2 Monitoring Role Players

Monitoring activities will always be conducted by an INSETA ETQA team or a body appointed by INSETA.

4.3 Outcome of Monitoring

Monitoring activities may result in the following outcomes:

- Accreditation recommended

  The Skills Development Provider's accreditation status will change from provisional to full accreditation, provided all conditions are met

- Re- Accreditation Recommend

  Subject to Skills Development Provider having addressed all learning delivery concerns raised;

- Motivation for De-Accreditation

  SETA-initiated monitoring for de-accreditation will be linked to activity which has compromised SAQA's 8 Accreditation core-criteria.

- Exiting of Learners

  Where Accreditation is due to expire and the Skills Development Provider does not request re-accreditation; but voluntarily allows their accreditation to lapse (noticed by INSETA ETQA based on Skills Development Provider accreditation expiry date), monitoring will be conducted to ensure that all learners who were learning through the Skills Development Provider are exited from the system.

No member of the INSETA ETQA Division can make unilateral decisions regarding the fate of any Skills Development Provider. All monitoring recommendations are subject to the validation of the INSETA ETQA Division Manager and Monitoring Team.

4.4 Frequency of Monitoring

- Monitoring will be conducted for all Skills Development Providers who were awarded Provisional Accreditation at the end of the Provisional Accreditation period.
- Monitoring of Skills Development Providers who were awarded full accreditation will be conducted twice during the accreditation period.
- Ad hoc where there are concerns surrounding the performance of the Skills Development Provider.

5 Post- Monitoring Activities

- **Quality Improvement Plan identified for development**

  Considering a developmental approach, the Skills Development Provider is given a developmental plan to meet quality criteria and areas of development. All development areas recommended for improvement or implementation as noted in the monitoring report must be concluded within a negotiated period not exceeding 90 calendar days or sooner, at the discretion of the INSETA.

- **Performance Hearing**

  Where monitoring was conducted as a result of non-compliance reported by a stakeholder; and the result of monitoring confirms non-compliance on the part of Skills Development Provider, a performance hearing will be conducted to determine the extent of non-compliance and decide on the appropriate action to be taken.

- **De-Accreditation**

  It is possible that a motivation for de-accreditation could be submitted for a Skills Development Provider who could not meet the developmental recommendation given after Monitoring, or the extent or severity of the non-compliance warrants de-accreditation.

  The INSETA will remove the de-accredited Skills Development Provider from the list of accredited Skills Development Providers and block the access of the de-accredited Skills Development Provider to the INDICIUM system.

- **Winding-up of the Skills Development Provider's Business**

   Where a Skills Development Provider has to cease operating for whatever reason and the INSETA ETQA is made aware of such, an audit will be conducted to determine the work that still needs to be done so as to exit the affected learners from the system. Where possible, INSETA will contract with Assessors and/or Moderators to ensure completion of learning and certification of learners.

6. Rights and Obligations regarding Monitoring

A Declaration of Understanding is communicated to the Skills Development Providers on commencement of Monitoring and will cover the following minimum points:

- Explanation of the Process by INSETA ETQA Monitoring Team
- Skills Development Provider's right to an objective audit
- All intellectual property will be returned to the Skills Development Provider
- The Skills Development Provider has the right to appeal the outcome of the report in writing within 7 calendar days of receipt of the Monitoring report
- The Skills Development Provider has the right to lodge a written complaint about any unprofessional behavior of the monitoring team
- INSETA ETQA Division Monitoring Team is subject to a confidentiality agreement.

7. Monitoring Methodology

All monitoring activities must support the establishment of whether SAQA's 8 Accreditation core criteria are met, in whole, in part or not at all. Thus, the monitoring audit will be run as a formal process and any decision must be supported by traceable, verifiable and valid evidence. The monitoring audit of the Skills Development Provider is supported by the following two main elements:

- desk top evaluation and document review (step 1)
- on-site monitoring visit (step 2)

During the document review INSETA will evaluate the Audit File submitted in order to determine whether a criterion has been met, partially met or not met at all. The on-site monitoring audit is used for validation of information seen during the document review (desktop evaluation). If necessary, information or documents not available at the time of the desktop evaluation will be required to be submitted by the Skills Development Provider during the remedial phase and will then be evaluated accordingly by the INSETA Evaluator.

The Skills Development Provider is supplied with an audit tool which is based on the monitoring requirements of INSETA ETQA Division and the accreditation criteria originally set by SAQA. The Skills Development Provider is required to prepare the evidence to meet the eight compliance criteria mentioned under section 4 above.

7.2 Monitoring Process

Stage 1

The Skills Development Provider is notified of the monitoring process in writing via email.

Stage 2

A Monitoring tool will be sent electronically to the Skills Development Provider in order to guide compilation and preparation of the evidence. The evidence file will be prepared by the Skills Development Provider and submitted to INSETA ETQA Division at least 30 days prior to the agreed date, in order for the desktop evaluation to be conducted. The Desktop evaluation will include a review of all reports, documents and evidence related to the Skills Development Provider. This will include the number of learners currently in learning and those that have completed but not yet exited from the system.

Stage 3

A formal on-site monitoring visit will be conducted by the INSETA Monitoring Team at the Skills Development Provider's premises on the scheduled date. Where required, copies of additional documents may be requested for the Evidence File, to supplement evidence already presented for the preliminary evaluation.

Stage 4

After due process, the INSETA monitoring representative will compile a Monitoring report which will include recommendations regarding the Skills Development Provider, and submit it for consideration of the INSETA ETQA Division Manager.

Stage 5

The Monitoring report recommendations will be considered and upheld or overturned by the INSETA ETQA Division Manager and Evaluation Team.

Stage 6

The Skills Development Provider will be informed in writing of the result of the monitoring intervention and be provided with a developmental action plan for remediation (where applicable), the period of which will not exceed 90 days, at the discretion of the INSETA.

8. Review

This Policy and Guideline will be reviewed annually or as required.

9. References

South African Qualifications Authority. (2001a). *Quality Management Systems for Education and Skills Development Providers.* SAETQA, Pretoria.

South African Qualifications Authority. (2001b). *Quality Management Systems for ETQA's.* SAETQA, Pretoria.

South African Qualifications Authority. (2001c). *Criteria and Guidelines for Providers.*