



Working together for a skilled tomorrow

SKILLS DEVELOPMENT PROVIDER EXTERNAL MONITORING TOOL

For INSETA Office Use

Date Monitoring Scheduled for	
Date of Actual Monitoring	
Purpose of Monitoring <ul style="list-style-type: none"> • Three year Audit in line with SAQA • Discretion of the ETQA – Quality Monitoring/ Support • Investigation of Non-compliance 	
Date of last Verification	
Number of Verifications Not Endorsed by INSETA in the past Year	
Common reason for non-endorsement	
Ever applied for de-accreditation?	
Name of INSETA Monitoring Agent	
Date received by INSETA	

AUDIT CHECKLIST

1. SKILLS DEVELOPMENT PROVIDER DETAILS

Provider Legal Name			
Provider Trade Name			
Public Provider		Private Provider	
Initial Accreditation Date		Current Accreditation Status	
Provider Audit Representative Details	Name :		Position :
	Tel. No. :		Email Address:
Physical address of main site office or where an audit site visit will be conducted			
Postal Address of main site office			
Umalusi Registration Number (where applicable)			
Department of Higher Education and Training registration (where applicable)			

2. PROVIDER ACCREDITATION DETAILS AND SCOPE

Name of Provider's Primary ETQA		Accreditation Number		
Expiry Date of Primary Accreditation		Proof of Primary Accreditation provided	Yes	No
Current Accreditation Status with INSETA		INSETA Accreditation Number		
Scope (Qualification(s) Accredited to offer)				
Has ownership of the Organisation remained unchanged since date of Accreditation? If No, provide details.				

3. PROVIDER POLICY STATEMENT

EVIDENCE REQUIRED	EVIDENCE PROVIDED (Y/N)	DOCUMENT REVIEW NOTATION	COMPLIANCE NOTATION
Provider Policy statement spelling out the organisation's aims, objectives and purposes			

4. FINANCIAL/LEGAL STATUS & ORGANISATIONAL CAPACITY

EVIDENCE REQUIRED	EVIDENCE PROVIDED (Y/N)	DOCUMENT REVIEW NOTATION	COMPLIANCE NOTATION
1. Financial/Legal Status			
<ul style="list-style-type: none"> a) Audited Financial Statements for the last two years b) Letter from the Accounting Officer confirming financial viability c) Current Tax Clearance Certificate d) Current CIPC Certificate e) Current Business Plan relating to provision of training, including current year Budget/Funding Plan f) Financial Management Policies and Procedures 			
2. Organisational Capacity			
<ul style="list-style-type: none"> a) Current premises owned or leased? b) Contract with Landlord c) Availability of classrooms d) Availability of filing cabinets and desks for learners e) First Aid Box with required contents 			
3. Document, Data Management, Filing and Reporting Systems			
<ul style="list-style-type: none"> a) Learner Management System b) Document and Data Security Policy and Procedures 			
4. Compliance with legislative regulations			
<ul style="list-style-type: none"> a) Statement regarding Occupational Health and Safety and Basic Conditions of Employment Act compliance b) Health and Safety Officer available? 			

5. STAFF POLICIES AND PROCEDURES

3.1 EVIDENCE REQUIRED	EVIDENCE PROVIDED (Y/N)	DOCUMENT REVIEW NOTATION	COMPLIANCE NOTATION
a) Staff Job Descriptions & CVs			
b) Copies of the latest Performance Appraisals & Training Plans			
c) List of current contractors and their roles			
d) Copies of signed Services Level Agreements with contractors (including Facilitators, Assessors and Moderators)			
e) Staff turnover analysis for the last two years			
f) Plans for Training of new Admin Staff			

6. MANAGEMENT OF ASSESSMENT AND CERTIFICATION

EVIDENCE REQUIRED	EVIDENCE PROVIDED (Y/N)	DOCUMENT REVIEW NOTATION	COMPLIANCE NOTATION
a) Assessment and Moderation Guides and Plans			
b) List of registered constituent assessors (include current scope of assessors)			
c) List of registered constituent moderators (include current scope of moderators)			
d) Evidence that Assessors and/or Moderators are linked to the provider on INSETA INDICIUM			
e) Report on the status of Assessments and Internal Moderation conducted on current Learnerships /Skills Programmes			
f) Verification reports and evidence of development areas addressed			

g) Learner Appeals Policy			
h) Security Policy and measures to prevent fraud / illegal issuing of Certificates /Statements of Results			
i) Details of appeals and disputes involving learning, assessment process or outcome since Accreditation			
j) Evidence of compliance with the INSETA Logo Usage Policy			
k) Evidence of compliance with the certification process. How often and how soon after formative and summative assessments does the organisation request Verification from INSETA			
l) Generic Template of Provider's Statement of Results meets INSETA ETQA compliance requirements			

7. PROGRAMME DELIVERY AND DETAILS

EVIDENCE REQUIRED	EVIDENCE PROVIDED (Y/N)	DOCUMENT REVIEW NOTATION	COMPLIANCE NOTATION
1. Learning and Assessment Materials			
Evidence of the following for each accredited learning programme: <ul style="list-style-type: none"> • Learning Materials per qualification offered • Structured curriculum • Compliant alignment documentation • Assessment and Moderation guides • Assessment instrument (formative and summative) • Facilitator guides • Master file with model answers • Notion Hour compliance 			

2. Learnerships Offered			
a) List of Learnerships offered in the last 24 months			
b) Number of learners per Learnership Programme			
c) Verification reports to exit learners from Learnership			
d) Number of NYC Learners in Learnerships the last 24 months. Provide overall reason(s)			
e) Plan to improve this trend			
f) Confirmation of loading of learner credits on the INDICIUM			
3. Skills Programmes/unit Standards Offered and Details			
a) List of Skills Programmes/unit Standards offered in the last 24 months with details			
b) Number of learners per Skills Programme			
c) Number of NYC Learners in Skills Programmes in the last 24 months. Provide overall reason(s)			
d) Plan to improve this trend			
4. Fundamental Unit Standards			
a) Evidence of the Delivery and Assessment methodology employed to teach and assess fundamentals, if applicable			
b) Names and INSETA registration numbers of Assessors and Moderators used for Fundamentals, where applicable			
c) List of other Providers involved in delivery /Assessment and Moderation			
d) Provide a short description of the formal learning procedures used by your organisation (eg. Formal classroom lectures &/or Distance education methods)			
e) Provide a short description of workplace/off-site learning procedures used (if applicable)			

f) Where concessions have been granted, proof of concession evaluations approved by INSETA Verifier in the last 24 months.			
a) Copies of signed NLRD Upload forms for learners that have previously been enrolled in Learnerships/Skills Programmes/Unit Standards			
5. Learning Delivery Statistics			
a) Analysis of learning delivery according to learner declared NYC in the last 24 months			
b) Type of support offered to employers regarding completion of Logbooks for learners on Learnerships			
c) Proof of follow-up done on Moderator report in support of Assessors			
d) Describe the mechanisms used by your organisation to ensure the maintenance of high quality of programmes, learning materials and delivery			

8. LEARNER POLICIES, PROCEDURES AND STATISTICS

EVIDENCE REQUIRED	EVIDENCE PROVIDED (Y/N)	DOCUMENT REVIEW NOTATION	COMPLIANCE NOTATION
6.1 Learner Statistics:			
b) Number of learners currently enrolled in the Learnerships/ Skills Programmes/ Unit Standards			
c) Names of learners awaiting verification in the Learnerships/Skills Programmes/Unit Standards			
d) Number of Learners who successfully completed Learnerships/Skills Programmes			
e) Number of learners who terminated without having credits uploaded in Learnerships/Skills Programmes			

6.2 Learner Policies and Procedures:			
a) Selection Criteria and procedures for Learnerships/ Skills Programmes/Unit Standards			
b) Learner guidance and support policies, procedures and evidence of application			
c) Proof of Learner Orientation regarding the qualification and its level			

9. QUALITY MANAGEMENT SYSTEM (QMS)

EVIDENCE REQUIRED	EVIDENCE PROVIDED (Y/N)	DOCUMENT REVIEW NOTATION	COMPLIANCE NOTATION
a) QMS Policies and Procedures			
b) Name and title of responsible person			
c) QMS implementation evidence			
d) Evidence of QMS policies and procedures communicated to staff			
e) Report on the measures taken to regularly review policies and procedures			
f) Proof of updates made to the QMS since accreditation			

10. MONITORING AGENT'S COMMENTS/RECCOMENTATIONS

ETQA recommendations for Improvements	Provider's Action Plan to implement recommendations	Provider's expected closure date

Please Note:

If the developmental recommendations as agreed are not met within the negotiated timeframe and without any written explanation from the Training Provider, the developmental outcome noted in the report may be changed to a motivation for de-accreditation.

Monitoring Agent's Comments on the monitoring Exercise	
Training Provider's Comments on the monitoring Exercise	

11. CONCLUSION

MONITORING OUT COME/ JUDGEMENT AND COMMENTS

Full Accreditation Recommended	Yes		No		
Re- Accreditation Recommended	Yes		No		
Motivate for Performance Hearing	Yes		No		
Motivate for De Accreditation	Yes		No		
Motivate for Further Monitoring	Yes		No		
Motivate for further Development	Yes		Yes		

12. SIGNATURES

Monitoring Agent

Name & Surname

Signature

Date: _____

ACCEPTED/ NOT ACCEPTED BY (ETQA Manager)

Name & Surname

Signature

Date: _____

ACCEPTED BY (Provider Representative)

Name & Surname

Signature

Date: _____