




## MONITORING POLICY

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## **1. INTRODUCTION**

- 1.1 The Quality Council for Trades Occupations (QCTO) has in terms of Section 26I (2) of the Skills Development Act No. 97 of 1998 (SDA), as amended and the Council's delegation policy delegated the quality assurance partner (QAP) functions to the Public Service Sector Education and Training Authority (PSETA).
- 1.2 The delegation was conferred to the PSETA as of 27 September 2012 and it is limited to the Public Service sector. The delegated functions are as follows:
- i. Accredit providers for the qualifications or part qualifications listed in the schedule in terms of criteria determined by the QCTO;
  - ii. Monitor the provision by providers of Learning Programmes leading to the qualifications or part qualifications in order to ensure that the criteria for accreditation contemplated in paragraph 4(a) are being complied with;
  - iii. Evaluate learner assessment and the facilitation of moderation of learner assessment by providers;
  - iv. Register assessors to undertake assessment for specified qualifications or part qualifications in terms of criteria determined by the QCTO;
  - v. Certify qualified learners in accordance with the policy determined by the Minister in terms of section 26F of the SDA;
  - vi. Maintain a comprehensive learner information management system;
  - vii. Upload learner data to the National Learner Records Database (NLRD) according to the NLRD load specifications; and
  - viii. Perform such other functions consistent with the National Qualifications Framework (NQF) Act and the SDA as the QCTO may from time to time allocate to the SETA in writing.
- 1.3 The delegation expires once the qualifications delegated to the PSETA are reviewed and replaced by qualifications developed and registered on the Occupational Qualifications Sub-Framework (OQSF) or until the qualifications

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reach their registration end date and teach out periods or when the qualifications are withdrawn by the QCTO.

- 1.4 The delegation is subject to the following terms and conditions:
- i. The QCTO may review the quality management policies and procedures of the PSETA and examine the activities of the Quality Assurance Partner (QAP) department;
  - ii. The PSETA must ensure the integrity of quality assurance by exercising its delegated functions separately and independently from any provision of education and training; and
  - iii. The performance by the SETA of its delegated functions must advance the objectives of the NQF as contemplated in section 5 of the NQF Act.
  - iv. Any changes to the delegation will be communicated through the QCTO/SETA Forum where PSETA has representation.


## 2. PURPOSE AND OBJECTIVES

The purpose of this Policy is to:

- 2.1. Provide clear policy provisions when conducting monitoring of accredited and Programme Approval Skills Development Providers (SDPs).
- 2.2. Ensure the promotion of quality provisioning amongst SDPs within the Public Service sector; and
- 2.3. Ensure that the PSETA implements its quality assurance delegation.

## 3. ABBREVIATIONS


Abbreviation	Description
AA	Accounting Authority
CEO	Chief Executive Officer
COO	Chief Operating Officer
DHET	Department of Higher Education and Training
ETD	Education and Development Training
MOU	Memorandum of Understanding

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Abbreviation	Description
<b>NQF</b>	National Qualifications Framework
<b>NLRD</b>	National Learner Records Database
<b>OQSF</b>	Occupational Qualifications Sub-Framework
<b>PSETA</b>	Public Service Sector Education and Training Authority
<b>QAP</b>	Quality Assurance Partner
<b>QCTO</b>	Quality Council for Trades and Occupations
<b>QMS</b>	Quality Management System
<b>RPL</b>	Recognition of Prior Learning
<b>SAQA</b>	South African Qualifications Authority
<b>SDA</b>	Skills Development Act
<b>SDP</b>	Skills Development Provider

#### 4. DEFINITIONS


Term	Description
<b>Accreditation</b>	The certification, usually for a particular period, of a person, a body or an institution having the capacity to fulfil a particular function in the quality assurance system.
<b>Assessment</b>	The process of collecting evidence of learners' work to measure and make judgements about the competence or non-competence of specified NQF registered occupational qualifications and part qualifications.
<b>Assessor</b>	Means a person registered by the QAP for the purposes of conducting external assessment for occupational qualifications.
<b>Code of Conduct</b>	Refers to a set of conventional principles and expectations that are considered binding to organisation/s that are accredited by PSETA.

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Term	Description
<b>ETD Practitioner</b>	Refers to an individual registered as an Assessor and/or Moderator by the QAP.
<b>Extension of scope</b>	Means the addition of qualification(s) and/or part qualifications following the Learning Programme approval processes by an accredited/programme approval Skills Development Provider to own current scope of accreditation as defined above.
<b>External Moderation</b>	Means the process through which internal assessment is monitored to ensure that it meets required standards and through which adjustments to marks are made where required to compensate for any differences in standards that are encountered.
<b>Moderator</b>	Means a person, who has achieved competence against moderator standard and is registered with PSETA as a qualified moderator. The PSETA constituent moderator is the latter who is registered to moderate against the PSETA part or full qualifications in line with the PSETA assessment policy.
<b>Organisations</b>	Refers to legally established entities which may include but not limited to, national and provincial government departments and agencies, institution/organisation, company, centre, collaborative partnership, or consultancy) established in line with relevant statutory body requirements and currently in good standing.
<b>Part qualification</b>	Means an assessed unit of learning that is registered on the NQF as a part qualification.
<b>Primary focus</b>	Means that activity or objective within the sector upon which an organization or body concentrates its efforts.

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Term	Description
<b>Programme Approval</b>	Means secondary accreditation of organisations through a Memorandum of Understanding (MoU) process signed between SETAs. A provider accredited by another QAP can apply for extension of scope on unit standard/s or qualification/s falling within the primary focus of another QAP. The Provider is required to notify the primary QAP of the intention to extend scope. The primary QAP will on behalf of the Provider liaise with the secondary QAP to take the process forward.
<b>Quality Assurance Partners</b>	Means a body delegated by the QCTO 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 in terms of section 5(1) (b) (i) of the SAQA Act.
<b>Quality Management System</b>	Means the combination of policy, processes and procedures used to ensure that the degree of excellence specified is achieved.
<b>Registered Qualifications</b>	Means qualifications registered on the NQF.
<b>Scope of Registration</b>	Means the list of registered unit standards and/or qualifications for which an assessor or moderator is registered with the SETA to assess and/or moderate.
<b>Skills Development Provider</b>	Means a body that delivers learning programmes which culminate in specified National Qualifications Framework standards or qualifications and manages the assessment thereof.

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## **5. SCOPE OF APPLICATION**

This Policy applies to:


- 5.1. PSETA accredited (Primary and Secondary) SDPs;
- 5.2. PSETA QAP staff members;
- 5.3. ETD Practitioners in the sector; and
- 5.4. PSETA contracted external consultants where applicable.

## **6. LEGISLATIVE AND REGULATORY PRESCRIPTS**

- 6.1. Skills Development Act, No. 97 of 1998, as amended
- 6.2. South African Qualifications Authority Act
- 6.3. National Qualifications Framework Act, No. 67 of 2008
- 6.4. The National Archives and Records Service of South Africa Act (Act No. 43 of 1996, as amended)
- 6.5. QCTO Policy on Delegation to Development Quality Partners and Assessment Quality Partners
- 6.6. Protection of Personal Information Act, No.4 of 2013
- 6.7. PSETA Accreditation Policy
- 6.8. PSETA Learning Programmes Evaluation Policy
- 6.9. PSETA Appeals Policy
- 6.10. PSETA Management of Assessment Policy
- 6.11. PSETA Certification Policy
- 6.12. PSETA External Moderation Policy
- 6.13. PSETA Recognition of Prior Learning Policy
- 6.14. PSETA Records Management Policy
- 6.15. PSETA E-learning Policy
- 6.16. PSETA POPI Policy

The highlighted legislation is not meant to be an exhaustive list.



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## **7. POLICY PROVISIONS AND CONTENT**


- 7.1. The PSETA shall monitor all primary and secondary providers in line with this Policy.
- 7.2. The PSETA shall ensure that qualified QAP staff are employed to carry out this function.
- 7.3. Monitoring tools will be developed to ensure uniformity in implementing this policy.
- 7.4. A developmental approach shall be adopted and will be communicated to all responsible personnel. It is also used to check performance levels of the different SDPs and provide targeted support where required.

## **8. ROLES AND RESPONSIBILITIES**

- 8.1. The Accounting Authority (AA) grants approval of this Policy to be implemented and exercises its fiduciary duties of provisions of the Policy and Delegations of Authority.
- 8.2. The Chief Executive Officer (CEO) assisted by the Chief Operations Officer (COO) is accountable for establishing and maintaining systems to manage the Monitoring function.
- 8.3. The QAP Manager is accountable for implementation and management of this Policy.
- 8.4. The QAP staff implements the Policy by communicating and conducting monitoring activities.
- 8.5. SDPs implement training in line with their PSETA approved policies and procedures and the training implementation will be monitored by PSETA to ensure adherence to the accreditation requirements.

## **9. PURPOSE OF MONITORING**

Monitoring shall be conducted in order to verify whether SDPs adhere to PSETA requirements, the provider code of conduct, are implementing their own quality management systems, and to ascertain learner satisfaction. The following types of monitoring will be conducted:

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**9.1. Monitoring of training provision:**

- i. The purpose for monitoring of training provision is to quality assure training delivery against submitted policies and procedures and training manual stipulations and offer support on the identified gaps. The Primary SDPs and Programme Approval SDPs will be monitored for this purpose.

**9.2. Monitoring for change of status(re-accreditation):**


- i. Providers whose accreditation status is about to expire will be monitored prior to the extension of accreditation status. The following will be observed during this type of monitoring site visit:
  - a. Verify policy implementation, reviews and offer support where required;
  - b. Verify newly occupied offices (where applicable); and
  - c. Determine whether anything has changed since approval of accreditation and verify whether the changes made meet the legal requirements of the relevant regulations and legislation.

**9.3. Monitoring of QMS implementation:**

- i. The purpose of this monitoring site visit is to verify evidence against the implementation of the policies and procedures as approved by the PSETA QAP and offer guidance on the identified gaps. The PSETA QAP will also use this opportunity to capacitate the SDP. Primary accredited SDPs and Programme Approval SDPs will be monitored.

**9.4. Unannounced monitoring:**

- i. The PSETA AQP will conduct the unannounced monitoring site visits to the primary accredited and Programme Approval SDPs to monitor compliance of SDPs to skills development policies and procedures.


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## **10. PRINCIPLES**

- 10.1 This Policy is underpinned by the NQF Act principles as enshrined in Section 5 of the NQF Act as the Act's objectives.
- 10.2 This Policy dictates that all persons involved in the process observe the PSETA values, which are: honesty, integrity, accountability, service excellence, fairness and transparency.
- 10.3 In conducting the process, the PSETA is providing a service to the sector therefore Batho Pele and Ubuntu core principles must be equally observed.

## **11. NON-COMPLIANCE**

- 11.1 Non-compliance with this Policy or any applicable regulatory requirements through any deliberate or negligent act or omission, including allowing any staff, either expressly or impliedly, not to comply with this Policy or any applicable regulatory requirements, will be considered serious and be dealt with in terms of PSETA's disciplinary policies and procedures.
- 11.2 Should the SDP fail to honour the proposed site visit for any of the mentioned types of monitoring purposes, the following may be implemented at the discretion of the PSETA QAP in consultation with the QCTO given the intensity of the issue/background of the SDP:
- 11.2.1 Six (6) months of accreditation suspension. This means that the SDP will not be allowed to do the following during this period:
- i. Train or exit learners; and/or
  - ii. Apply for extension of scope or referral to another SETA; and/or
  - iii. Apply for any PSETA funded projects.
- 11.2.2 De-Accreditation. This means that the SDP will be deregistered from the PSETA MIS and will not be allowed to deliver learning programmes which culminate in specified NQF qualifications and or part qualification which falls within the PSETA scope.

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## **12. APPEALS**


The appeals will be handled as per the approved PSETA Appeals Policy.

## **13. RECORDS MANAGEMENT**

- 13.1. The accredited SDPs are required to maintain records in a manner that will ensure that long-term evidential records are retained in accordance with the National Archives of South Africa Act.
- 13.2. The records kept or to be kept must be of value in terms of general SDP business operations, governance, decision making and accountability.
- 13.3. The records can be kept on or off-site and access to them must be controlled, and where possible a responsible person must be identified.
- 13.4. The documents must be maintained in both the soft and hard copies.
- 13.5. A clear and unambiguous disposal arrangement must be documented and followed when any archived documents are to be disposed of.
- 13.6. SDPs are to retain documents for a minimum of five (5) years after which they can be destroyed. The records of the documents destroyed must be kept.
- 13.7. Some or part of the documents may require to be maintained for life. Such documents can be kept beyond the five (5) year period.
- 13.8. The PSETA will monitor the archiving system of each SDP during site visits.
- 13.9. PSETA will maintain and manage all records in line with the PSETA Records Management Policy.

## **14. POLICY IMPLEMENTATION**

This Policy comes into effect on the date of signature and the relevant owner shall ensure that it is communicated to staff using various modes, not limited to email, intranet, workshops etc. However, this shall not have any bearing on the effective date for implementation.

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**15. MONITORING, REVIEW AND UPDATING OF THE POLICY**

This Policy has to be reviewed and the outcome of such process may either require the author to maintain the status quo or update/amend it.

**16. APPROVAL OF THE POLICY**

The Policy shall be approved by the AA and signed by the Chairperson subsequent to the Resolution taken.