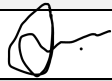


# WHOLESALE & RETAIL SETA

## QQA Monitoring and Auditing Policy

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<b>Current Version Number</b>	V7.0
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Qualifications and Quality Assurance	pp. 
<b>Policy Sponsor</b>	
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	V6.1	01/07/2020	Editing of Policy				QMS		
	V6.2	04/09/2020	Amendments based on input from G&S Committee				QQA		
	V7.0	07/09/2020	Policy Approval				Accounting Authority		

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APPROVED

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## 1. BACKGROUND

The W&RSETA is committed to fulfilling its mandate from the Quality Council for Trades and Occupations (QCTO). To this end, the W&RSETA QQA will undertake monitoring and auditing of accredited Skills Development Providers (SDP) to determine if they are operating in line with the submitted quality management system and requirements for accreditation.

## 2. PURPOSE

The purpose of this policy is to:

- Provide W&RSETA QQA monitoring and auditing framework to exercise its function
- Inform SDP's of the QQA approach in monitoring and auditing practice
- Clearly outline systems of monitoring and auditing that altogether assure quality of learning provisions

## 3. SCOPE

The policy applies to all practices and processes conducted by the W&RSETA staff, SDP's, and external moderators along with moderating bodies to ensure that the monitoring and auditing provision is of an acceptable standard. The W&RSETA QQA staff and or its representatives are responsible and accountable for managing and overseeing the implementation, maintenance, review, and improvement of the W&RSETA monitoring and auditing policy and procedures.

The responsibility for monitoring and evaluating SDP's rests with the Regional Quality Assurer, whilst auditing of W&RSETA QQA SDP` lies with the W&RSETA QQA Audit Team. The W&RSETA QQA Audit Teams authority includes arranging for audits of W&RSETA QQA accredited SDP's, conducting and or overseeing of the audits, and transmitting audit findings and recommendations to the W&RSETA Management.

## 4. RELATED INFORMATION AND LEGAL REFERENCE

This policy must be read in conjunction with the following supporting documents

### 4.1 Internal Documents

- W&RSETA monitoring and auditing tool
- Monitoring and auditing preparation checklist
- Site visit notification
- Terms and conditions
- Code of conduct
- Development plan

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- QCTO Service Level Agreement with W&RSETA (1 April 2020 – 31 March 2023)

#### 4.2 External Documents

- QCTO Policy on Accreditation of Skills Development Providers for qualifications and part qualifications on the OQSF- Revised Policy (March 2019);
- QCTO Policy for Verification for Trades and Occupational Qualifications on the OQSF- Revised Policy (November 2019).

#### 4.3 Legal Reference

- Section 26I (1) of the Skills Development Act (SDA) further specifies that the QCTO may, in writing and subject to such conditions as it may determine, delegate any of its functions to -
  - (a) the chief executive officer of the QCTO;
  - (b) a committee of the QCTO;
  - (c) the national artisan moderation body established in terms of Section 26A of the Skills Development Act 97 of 1998;
  - (d) a SETA; or
  - (e) any other suitable body
- Such delegation includes but is not limited to:
  - Accredit constituent providers for specific standards or qualifications registered on the NQF;
  - Register constituent assessors and moderators for specific registered standards or qualifications in terms of the criteria established for this purpose;
  - Take responsibility for the certification of constituent learners;
  - Take responsibility for the monitoring and auditing of providers
- Constitution of the Republic of South Africa (Act No 108 of 1996);
- Promotion of Administrative Justice Act (Act No. 3 of 2000);
- National Qualification Framework Act (Act No.67 of 2008);
- Skills Development Amendment Act (Act No. 37 of 2008);
- QCTO Policy on Accreditation of Skills Development Providers for qualifications and part qualifications on the OQSF- Revised Policy (March 2019);

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- QCTO Policy for Verification for Trades and Occupational Qualifications on the QQSF- Revised Policy (November 2019).

**5. ACRONYMS & DEFINITION OF TERMS USED**

Accreditation	The certification, usually for a particular period of time, body or an institution as having the capacity to fulfil a particular function in the quality assurance system set up by the South African Qualifications Authority
Accreditation Scope	The list of qualification(s) and/or unit standard(s) for which a body is accredited for a defined purpose
Assessor	The person who is registered by the relevant Education and Training Quality Assurance Body in accordance with criteria established for this purpose by a Standards Generating Body to measure the achievement of specified National Qualifications Framework standards or qualifications, and "constituent assessor" has a corresponding meaning
Audit	Systematic, independent and document process for obtaining audit evidence and evaluating it objectively to determine the extent to which the audit criteria are fulfilled
Audit conclusion	Outcome of an audit, provided by the audit team after consideration of the audit objectives and all audit findings
Audit evidence	Records, statement of facts or other information, which are relevant to the audit criteria and verifiable
Audit findings	The non-compliant results that have been identified because of the evaluation and collection of evidence against audit criteria. Findings are also known as non-conformities
Audit scope	An extent and boundaries of an audit
Audit team	One or more auditors conducting an audit supported if need by technical experts
Auditee	An organization / company being audited
Auditor	A person with the competence to conduct an audit
Competence	Demonstrated personal attributes and demonstrated ability to apply knowledge and skills
Corrective action	An action taken to eliminate the course of a detected non-conformity or other undesirable situation. Corrective action is

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	reacting to a situation to avoid a recurrence
Document	Information relating to a policy, procedure or work instruction, and its supporting medium. This may include checklists and blank forms. Note that the medium may be paper, magnetic, electronic, or optical computer discs, master samples, photographs, or combination thereof
Evidence	Data supporting the existence or verify something. Data gathering as part of the assessment process is referred to as evidence of learning competence
Moderation	The process which ensures that assessment of the outcomes described in National Qualifications Framework standards or qualifications is fair, valid, and reliable
Moderator	Someone who is competent to conduct a moderation process
Monitoring	A systematic process of observing, tracking, and recording activities or data for the purpose of measuring SDP, program or project implementation and its progress towards achieving objectives
Monitoring / Audit plan	A description of the activities and arrangements for an audit
Non-conformity	Non-fulfilment of a requirement. This is also known as findings
OQSF	Occupational Qualification Sub-Framework
Preventive action	An action taken to eliminate the cause of a potential non-conformity or other potential undesirable situation. Preventive action is pro-actively taken to avoid an occurrence
Process/ Procedure	A procedure or process describes the steps necessary to complete a process. It may be a text document, a flow chart or any other format that is fit for purpose. The terms” process” and” procedure” are used interchangeably in this guideline
QCTO	Quality Council for Trades and Occupations
Qualifications and Quality Assurance (QQA)	To the Unit /Department within the W&RSETA. This is the unit that will carry out the delegated function of the W&RSETA in terms of section 32 of the NQF Act, SAQA and the Quality Councils (QCs) have the power to delegate any of their functions to a committee, any other body capable of performing the function

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Quality Assurer (QA)	A person who ensures that the degree of excellence is achieved
Quality assurance	The process of ensuring that the degree of excellence specified is achieved
Records	A document stating results achieved or providing evidence of activities performed. Note the records may be stored as any of the document mediums
Registered standards	Unit standards or qualifications registered on the National Qualifications Framework
Registration scope	The list of registered standards for which an assessor or moderator is registered with the SETA as an assessor or moderator
Review	Activity undertaken to determine the suitability, adequacy and effectiveness of the subject matter to achieve established objectives
SDP	A Skills Development Provider is a body that delivers learning programmes which culminate in specified National Qualifications Framework standards or qualifications and manages the assessment thereof

## 6. POLICY ON MONITORING

### 6.1 Foundational elements of Monitoring

W&RSETA has identified the following principles which will underpin the monitoring, and auditing of the quality of learning provision and assessment amongst SDP's:

6.1.1 W&RSETA QQA will adopt a reliable and comprehensive system of monitoring that will ensure the quality and credibility of programmes leading to achievement of unit standards and or qualifications.

6.1.2 Procedures for monitoring will be consistent with the functions set out for SETA's by the QCTO delegation; such procedures will be captured on the Standard Operating Procedure for QQA Monitoring and Auditing.

6.1.3 Monitoring will be designed to encourage and facilitate ongoing improvement in the quality of programmes and services offered to learners along with compliance to accreditation requirements and

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continuous development.

6.1.4 Adherence to procedural fairness as required by the Promotion of Justice Act (Act No. 3 of 2003) in terms of:

- reasonable notice (nature and purpose),
- a chance to make representations,
- a clear statement of the administrative action,
- advise as to review or internal appeal, and
- the right to request reasons.

6.1.5 Monitoring provision will be open to feedback from SDP's and will be undertaken in a consultative manner.

6.1.6 Each provincial office will be responsible for the monitoring of SDP's within its given region.

## 6.2 Planning for Monitoring

W&RSETA has identified the following aspects which will be undertaken prior to the monitoring of SDP's in each of its regions:

6.2.1 In keeping with the fact that monitoring needs to be undertaken in a systematic and planned manner, a quarterly monitoring plan will be produced identifying priorities for monitoring in terms of SDP types, validated programmes and learning achievements per region by the responsible QQA official.

6.2.2 The Monitoring Plan will identify priorities for the year in terms of:

- SDP Quality Assurance systems;
- Validated Programmes or learning programmes requiring specific attention;
- SDP capacity to manage assessments and moderation thereof, and
- Quality of learner achievement of national standards, i.e. consistency of outcomes across programmes of different SDP's leading to the same qualifications along with Workplace Integrated Learning (WIL) within Programmes.

6.2.3 SDP's will be notified of the date for the monitoring visit at least 4 weeks prior to the visit. The SDP is responsible to avail themselves for such monitoring and make all operational records available to the W&RSETA QQA official.

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6.2.4 Cancellations by the SDP must be facilitated no less than two weeks prior to the monitoring date and must be accompanied by a written motivation. Two consecutive cancellations will result in an unannounced visit by the W&RSETA QQA.

6.2.5 A primary source of preparatory material for the monitoring visit will be the SDP’s own self-evaluation report(s), full quality management systems, prior and current developmental plans, range of learning materials along with business and legal/regulatory documents.

### 6.3 Conducting of Monitoring

W&RSETA has identified the following aspects which will be undertaken during the monitoring of SDP’s in each of its regions:

6.3.1 Monitoring will be undertaken at the registered offices of each SDP. However, the QQA official may also visit training delivery and or assessment sites to monitor current practice. When monitoring an SDP with multiple sites, the W&RSETA QQA official may select a sample of delivery and assessment site to visit.

6.3.2 All accredited SDP’s by W&RSETA will be monitored at least once annually. This sustained monitoring will also serve as a foundational element for recommending any renewal of accreditation status.

6.3.3 All monitoring will culminate in the completion of a monitoring tool by the respective QQA official. It is important to note that monitoring will focus on the following broad categories:

- Quality assurance systems and review of same;
- End to end management of assessment and moderation;
- Validation of assessment/learning programme design and instruments;
- Learner Results / achievements and uploads on the W&RSETA system;
- Provider self-evaluation reports and developmental plans;
- Issues arising/reported to W&RSETA.

6.3.4 Provisionally accredited SDP’s who have not complied with the development plan as evidenced during the monitoring visit will need to motivate in writing why the W&RSETA QQA official should consider recommending the extension of their provisional accreditation. The SDP must indicate within this letter, a plan on how they propose to comply with the development plan within one year which follows the date when the original provisional accreditation term expires. Failure

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to comply with such a plan will lead to recommendation of de-accreditation.

6.3.5 During a monitoring visit, the W&RSETA QQA official will gather information through a combination of activities including meetings with management, staff, and learners, checking of records and evidence, observation of facilities and resources. Any updates in this regard must be facilitated during such a monitoring visit.

#### 6.4 Reporting of Monitoring

W&RSETA has identified the following aspects which will be undertaken during the reporting of monitoring activities for SDP's in each of its regions:

6.4.1 The information generated by monitoring processes will be used by W&RSETA QQA to recognize and disseminate good practice and to recommend quality improvements where necessary. The W&RSETA QQA will collect and disseminate qualitative and quantitative information about SDP's quality of learning provisions on an ongoing basis for the purpose of assuring and improving the quality of learning in the sector.

6.4.2 W&RSETA QQA will evaluate information gathered through the monitoring activities and produce a report on the SDP / programme(s) monitored.

6.4.3 The report will be completed by the QQA official undertaking the monitoring using the official template provided by W&RSETA QQA.

6.4.4 The SDP will receive a report within 7 working days from the QQA official conducting the monitoring visit. The SDP may request amendments to any factual inaccuracies and may also have other comments appended to the report once received.

6.4.5 The W&RSETA QQA will require the SDP concerned to implement all the remediation actions identified in the monitoring report. The SDP's implementation of the recommendations will become one of the focus areas of the subsequent monitoring.

6.4.6 Reports of improvements / initiatives arising from the monitoring visit in response to W&RSETA QQA's recommendations will have to be adhered to within agreed specified timeframes.

6.4.7 Outcomes of monitoring reports will contain the following recommendations:

- Continuation of the existing SDP's quality assurance system and/or renewal of accreditation status.
- Review of mechanisms of the SDP's quality assurance system with a

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developmental plan linked to the renewal of accreditation status.

- Recommendation for withdrawal of accreditation by the W&RSETA QQA with a further requirement that the SDP resubmit its quality assurance system for evaluation. This recommendation would only be made following sustained monitoring activity evidencing poor quality assurance with continuing failure by the SDP to address historical issues raised.

6.4.8 In line with QCTO Service Level Agreement, reporting from monitoring activities must be collated and submitted to the QCTO in the form of a Quality Assurance Partner (QAP) report.

## 7. POLICY ON AUDITING

### 7.1 Reasons for conducting Audits on SDP's

Audits of SDP's will occur in the following cases:

- After a provisionally accredited SDP has met the deliverables of the developmental plan, successfully exited learners on its programmes and completed a full cycle of provisional accreditation, the QQA official may make a recommendation for a provisionally accredited SDP to be audited prior to being awarded with full accreditation status.
- In the event of non-compliance, discrepancies, complaints, appeals and/or risks identified.

### 7.2 Selection of audit teams

The W&RSETA shall appoint an audit team and audit team leader for each audit of a selected SDP. Audit teams will consist of two or more QQA representatives, and or selected from an organised pool of available and qualified people.

### 7.3 Qualification of audit teams

QQA representatives selected to serve as auditors shall have the following skills and or qualifications:

- Experience in, and knowledge of, the requirements for W&RSETA QQA accreditation, including SAQA/QCTO criteria and guidelines for SDP accreditation;
- General knowledge of auditing principles and methods obtained through any combination of experience, education, or quality auditing;
- The ability to act objectively and independently; and
- The ability to analyse information and to express findings clearly,

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concisely, and in a timely manner.

#### 7.4 Process for audits

7.4.1 SDP's will receive notice of audits in the manner indicated in 6.2.3-6.2.5.

7.4.2 Upon completion of the audit, the completed audit report shall be forwarded by the audit team leader to the relevant head within thirty (30) working days.

7.4.3 The relevant head shall review the audit material transmitted to it by the audit team and take appropriate action. The relevant head or audit team must notify the SDP of its action and make such reports available within 30 working days from the date of the audit being conducted. The action taken may include a finding that the conditions upon which accreditation was granted has been satisfactorily or unsatisfactorily maintained.

7.4.4 If the action taken includes a finding that the conditions upon which accreditation was granted has been satisfactorily maintained, the relevant head may make the following recommendations:

- Full accreditation in the case of a provisionally accredited SDP.
- Continuation of the accreditation status of the SDP as is.

All the above will be further reported to the relevant authority/Quality Council.

7.4.5 If the action taken includes a finding that the conditions upon which accreditation was granted has been unsatisfactorily maintained, the relevant head may make the following recommendations:

- Suspension, withdrawal or de –accreditation of an SDP
- Reduce full accreditation status to provisional accreditation status

All the above will be further reported to the relevant authority/Quality Council.

7.4.6 All audit information and audit reports shall remain confidential and shall not be disclosed to any person other than the SDP, appropriate QQA staff, the auditors, and, as appropriate, members of the reviewing bodies including but not limited to the QCTO.

### 8. APPEALS FOR MONITORING AND AUDITING

8.1 An SDP has a right to appeal any monitoring or audit decision/report.

8.2 An SDP wishing to appeal against any monitoring or auditing

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report/decision may make a written submission to the respective regional office of W&RSETA to that effect together with reasons for the appeal within one calendar month of such decision/report being received.

8.3 Should the W&RSETA regional office uphold the decision that lead to an appeal from an SDP, the W&RSETA QQA shall –

- a) amend the decision accordingly;
- b) record such amendment in all the relevant documentation where the original decision was recorded;
- c) make the necessary amendments to all the relevant documentation; and
- d) issue revised versions of all relevant documentation.

8.4 Should the W&RSETA regional office not uphold the decision that lead to an appeal; the SDP may escalate the appeal within two weeks to the QQA head. Should the W&RSETA QQA head uphold the decision that lead to an appeal from the SDP, Steps a – d under 8.3 will be followed.

8.5 Should the QQA head not uphold the decision that lead to an appeal, the SDP may escalate the appeal within two weeks to the office of the Chief Operations Officer (COO) of the W&RSETA. Should the W&RSETA COO uphold the decision that lead to an appeal from an SDP, Steps a – d under 8.3 will be followed.

8.6 Should the W&RSETA COO not uphold the decision that lead to an appeal from an SDP, the SDP may escalate the appeal within two weeks to the QCTO.

## 9. EXCLUSIONS

None.

## 10. REQUEST TO DEVIATE FROM POLICY

Requests to deviate from any provision of this policy may be made to the Accounting Authority in writing. The Chief Executive Officer has powers to grant such request in whole or in part or refuse it. Unauthorised deviations may result in disciplinary action.

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# Policy Approval & Sign-off

## 1. POLICY INFORMATION

<b>Policy Name</b>	
<b>Policy Reference Number</b>	

## 2. RECOMMENDATIONS/ ENDORSEMENTS

Recommended  Not Recommended

Comments...The Governance and Strategy Committee considered the Policy and was satisfied that it can be recommended for approval by the Board

.....

Name of Committee ...Governance and Strategy Committee .....

Committee Chairperson ...Lucas Ramatlhodi.....

  
 \_\_\_\_\_  
**Signature** \_\_\_\_\_  
**Date**

## 3. APPROVAL BY W&RSETA ACCOUNTING AUTHORITY

Approved  Not Approved

Comments.....  
 .....  
 .....

  
 \_\_\_\_\_  
**Reggie Sibiya** 04/10/2020  
**Date**  
**W&RSETA Board Chairperson**

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