



Performance Auditing of Education and Training Quality Assurance Bodies

Version One

©SAQA, 2006, All Rights Reserved

PERFORMANCE AUDIT

BACKGROUND

SAQA has completed the first cycle of compliance audits of ETQAs. The compliance audits were aimed at establishing whether or not ETQAs have in place the necessary policies, procedures, infrastructure and capacity to fulfil their legal mandate. The performance audits are aimed at establishing how well ETQAs are fulfilling this mandate.

Although the focus of this next round of auditing is on performance, ETQAs must maintain the baseline of compliance. To prepare for performance auditing ETQAs need to determine for themselves their strategic objectives, plans and indicators in the form of performance monitoring plans. In order to engage in performance auditing the following are guidelines to create an enabling environment:

- The ETQA should have a clear implemented mission and vision
- Have set, implemented and reviewed strategic goals and objectives
- Owners have implemented and reviewed goals and objectives
- Strategies are developed, resources allocated and have subsequently been implemented and reviewed
- Customer needs are addressed, monitored and acted on
- Outputs and outcomes are defined, addressed and reviewed
- The activities of the ETQA should advance the objectives of the NQF and should be seen as an overarching criterion in addition to addressing the principles of the NQF

Performance auditing focuses on achievement of results and not on the number of activities.

INTRODUCTION

This tool is the result of research and consultative workshops. The tool was further refined through audit pilots with 6 ETQAs from different sectors. Although performance indicators have been identified, the preliminary audit meeting with each ETQA prior to the audit will provide an opportunity to discuss and agree on indicators applicable to the ETQA and its sector.

AUDIT PROCESS

Stage 1

ETQAs will receive a self-evaluation document from SAQA. The focus of the self-evaluation is to determine the compliance status of the ETQA. The self-evaluation will be submitted to SAQA. This submission will be evaluated to determine the level of compliance of the ETQA.

Stage 2

ETQAs will be notified of the Audit team, the preliminary meeting, date for submission of evidence and the date for the audit fieldwork.

PERFORMANCE INDICATORS

Performance Indicators are one important element in the development of quality service and improving quality. It is one of many tools to help answer the question: "How do you know what you are achieving?" Once a performance objective has been identified an indicator that will give an indication of whether the objective was met needs to be defined.

GENERIC INDICATORS

EFFECTIVENESS (capable, producing result, competence, able)

Measures performance in the context of:

- *What the planned objectives are (Are they clearly spelled out?)*
- *How the planned objectives are to be achieved*
- *What was the impact of achieving these objectives*

EFFICIENCY (in a condition to produce desired results with minimum waste, adequate, operative)

Measures the performance in the context of:

- *How well the available resources are used within the organisation to achieve planned objectives*
- *How efficient the processes are in achieving the planned objectives*

ECONOMY (wise expenditure of money, careful use of materials, management of resources)

Measures performance in the context of:

- *What resources are needed to deliver on planned objectives*
- *What resources the organisation has, and how/ where it was used*

RATING SCALE

0	Compliant in terms of the ETQA Regulations R1127, ETQA is maintaining delivery against Schedule C, however, no evidence of a formal performance based approach. No evidence of monitoring and evaluation of own systems for the purpose of improvement. No results, poor results or unpredictable results.
1	Room for Improvement: Some evidence of the setting of performance objectives is provided. Inconsistent follow through on plans to meet the performance objectives. Where data on improvement is noted, it is an unintended consequence of other activities. Reactive or corrective approach is followed instead of a pro-active or preventive approach.
2	Meets own performance targets: Performance objectives are set, planning is in place to meet performance objectives and evidence of implementation is evaluated. Data is available on improvement, early stage of consistent systematic improvement is evident.
3	Sustained continual improvement: Improvement processes are used and continuously evaluated in order to obtain good results and feed into sustained improvement trends.

CATEGORY 2

2.3. There is no unnecessary duplication of the functions or parts of the functions of another ETQA

EFFECTIVENESS

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
The ETQA has identified possible areas of duplication with other ETQAs/existing professional bodies/ existing stakeholders in the sector and indicated possible reasons for this duplication	Minutes of discussions, List of possible areas of duplication. Memorandum of Understanding (MoU) Monitoring Report		
ETQA has formulated a way of dealing with the possible overlaps to prevent unnecessary duplication of functions.	Set objectives and devised a plan to achieve these Detail within agreements defining areas of responsibility MoUs/cooperation agreements Stakeholder Satisfaction Survey Provider Workshop minutes		
ETQA has implemented the way of dealing with the possible overlaps to prevent unnecessary duplication of functions.	Records that show implementation of areas of responsibility as identified in the agreements.		
The ETQA has measured the impact of arrangements made to deal with possible overlaps	Customer satisfaction survey, minutes of workshops/meetings ETQA Internal audit reports		
Arrangements have been made to deal with any adverse impacts identified and these improvements are validated.	Minutes of meetings Corrective action plans Validation records/audit records		
Arrangements to prevent duplication of functions are reviewed and improved.	Management review minutes, Implementation plans		

2.3. EFFICIENCY

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
The process of dealing with overlaps clearly indicate which resources will be required	MoUs/cooperation agreements including roles responsibilities and processes		
The objectives and outcomes of this process are clearly stated and implemented	MoUs/co-operation agreements Minutes of meetings		
The ETQA has evidence that it understands the impact of the arrangements made in terms of resource utilisation, such as time, cost, human resources, infrastructure and equipment.	MOU's, Business/operational plans, cost benefit analysis, scenario plans, research studies, meeting minutes		
The ETQA has optimised its processes to make best use of available resources.	Cost benefit analysis, scenario plans, research studies, implementation plans		
The ETQA reviews its decisions and seeks improvement of resource utilisation	Management review minutes Auditor General (AG) reports		

2.3. ECONOMY

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
MoUs include a cost recovery clause in terms of agreed parameters (constraints).	MoUs		
ETQA has identified the impact on its resources by having MoUs for non levy paying providers where applicable	Cost Analysis. Variance Reports		

2.4 The ETQA has the capacity and the resources to perform its designated functions

EFFECTIVENESS

Performance Indicator	Possible evidence	Actual evidence to be identified/ supplied by the ETQA	RATING
The Organisation's business plan has clearly identified resources required for the delivery of mandated functions.			
<ul style="list-style-type: none"> staff 	Organisation Charts Identified staff requirements (Human Resource plan) Job profiles for each designation (with KPA's/KPI's) Performance Agreements		
<ul style="list-style-type: none"> infrastructure 	Identified infrastructural resources Facilities review		
<ul style="list-style-type: none"> equipment 	Capital Expenditure Plan/Analysis Asset Register Purchase Requisition Process Demonstration		
<ul style="list-style-type: none"> financial 	Business Plan and budget Income and Expenditure Statements Financial policies and procedures Internal and External Audit Reports		
The organisation business plan reflects the allocation of resources to the ETQA appropriate to ETQA function.	ETQA Departmental / Divisional budgets and income and expenditure analysis Performance appraisal showing objectives met, Reports on number of providers accredited, monitored, etc. showing objectives met, Reports on no. of PC's/no. of person Reports on m2 / person		
The ETQA has identified monitoring criteria to determine whether the identified resources have contributed to the achievement of the objectives.	ETQA Divisional Report / ETQA Meeting Minutes (Action oriented) / ETQA Committee Minutes Management Review Minutes Performance Reviews & Development Plans Stakeholder Surveys Staff appraisals, self assessment evaluating ETQA processes DOL/SETA Service Level Agreement and related		

	measurement results / Budget reports with variance Investors In People (IIP) recognition		
--	---	--	--

2.4. EFFICIENCY

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
The job descriptions and KPI of the staff indicates the efficient use of human resources, i.e. qualifications related to job requirements	Job profile, Job Descriptions Key Performance Indicators (KPIs) Performance Agreements / Performance Reviews Development Plans Performance appraisal, stakeholder surveys, competence records, training records, Training Needs Analysis Selection Criteria		
The organisation has assessed its resourcing options relative to the stated objectives, selected the most efficient option and implemented these arrangements.	AG's report on fruitless and wasteful use of resources.		
Other resources are efficiently utilised and the objectives are clearly stated.	Business Plan and Budget External Audit Report / AG Report		

2.4. ECONOMY

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
ETQA has identified the staffing capacity, finances, infrastructure and equipment to fulfil requirements as identified in the strategic plan	Strategic Plan Business Plan Financial Forecast Internal & External Audit Reports Human Resource Plan		

2.5 The ETQA has an acceptable QMS

EFFECTIVENESS

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
The ETQA has identified monitoring criteria to determine whether the identified resources have contributed to the achievement of objectives	Stakeholder Satisfaction Surveys Performance Agreements DoL Scorecard Internal Audit Reports SAQA Audit Reports		
The policies are aligned with the organisation's purpose, vision and mission.	Quality Policy Statement including purpose, vision and mission		
The issues addressed by the policies can clearly be linked to objectives set and planned arrangements are specified.	Quality Policy Statement, with quality objectives Strategic/Business Plans Divisional Reports Management Review Meetings National Skills Development Strategy (NSDS) Targets		
The organisation has measurable quality objectives at all relevant levels and functions	Business Plan Divisional/Functional Plans KPIs Internal Audit Reports Management Review Minutes Performance review reports – organisation, function, individual, performance agreements and job profiles, IIP		
The processes identified to consistently achieve objectives (indicators) and all staff understands their contribution to these.	Business Plan Divisional/Functional Plans Management Review Meeting Minutes Internal Audit Reports Performance Agreements Investors in People		

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
The ETQA monitors, measure and analyse the identified processes to consistently meet the needs of stakeholder	Internal audits Management review meetings		
The ETQA has implemented actions necessary to achieve planned results fed into the continual improvement of the identified processes.	Action plans flowing from management review meetings, corrective action, preventive action		
The monitoring of impact and the improvement in impact has been reviewed and included into the management systems of the ETQA	Management Review Meeting Minutes Internal Audit Reports Variation Reports / Action Plans Internal audit reports. Evidence of achieving improvement targets set above.		

2.5. EFFICIENCY

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
The organisation has ensured the availability of resources and information necessary to support the operation and monitoring of the identified processes	Budget Divisional plans		
ETQA has identified criteria for evaluating/monitoring the efficient use of resources when implementing the policies and procedures for reaching the intended / identified outcomes	Management Review Meeting Minutes Internal Audit Reports Quality Management System (QMS) Review Minutes		
The decision-making processes giving effect to procedures are efficient	Management Review Minutes ETQA Committee Meeting Minutes		
Changes to the QMS are planned and implemented in a timely manner	Management Review Meeting Minutes Internal Audit Reports QMS Review Minutes ETQA Committee Meeting Minutes		

2.5. ECONOMY

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
Processes and procedures are designed, implemented and reviewed for the most cost effective outcome	Business Plan and Budget Cost Benefit Analysis Variance Reports Management Review Meeting Minutes Internal and External Audit Reports Document and version control		

CATEGORY 3

3.1 Processes for the accreditation of constituent providers are effective and efficient and clearly relate to the primary focus of the ETQA

EFFECTIVENESS

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
Providers are accredited against qualifications registered on the NQF, and these qualifications are within the primary focus area of the ETQA. There is uptake by providers and learners, with clear structures to protect the Learner.	Management Information System (MIS) Reports showing accredited providers / qualifications / learner achievements. Accredited Providers records showing accreditation for current qualifications for which there is uptake. National Learners Records Database (NLRD) Report indicating uploads against qualifications and unit standards.		
Evidence that the ETQA has reviewed the process of provider accreditation with the aim of improving the quality of provision.	Revised Policies & Procedures (with document / version control) Minutes of Meetings to review Policies and Procedures Management Review Meetings Correspondence with Providers		
The Provider Accreditation evaluation tool and process are consistent with the aims of the NQF	Accreditation criteria Provider QMS		

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
ETQA criteria for accrediting providers require providers to have measurable quality objectives and has systems to consistently achieve these. This is clearly defined	Provider Accreditation Guidelines Accreditation & Monitoring Tools Accreditation and Monitoring Reports Provider Development Plans		
ETQA has clearly stated what it wants to achieve in terms of accreditation and identified how it will monitor the implementation and achievement thereof	Accreditation and Monitoring policy and procedures Guidelines for Accreditation Accreditation and Monitoring Tools and checklists		
The ETQA has measured the impact of provider accreditation process on stakeholders and identified possible actions to meet stakeholder requirements	Stakeholder surveys Operational plans Project plans		

3.1. EFFICIENCY

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
The ETQA has identified criteria for evaluating the efficient use of resources for provider accreditation and the process meets set objectives	Accreditation and Monitoring Policies and Procedures Process Maps Guideline Documents for Providers Moderation and Verification Policy and Procedures Internal Audit Reports, which include measurement against targets set.		
The accreditation process meets the needs of the sector timeously	Feedback from Providers Stakeholder Satisfaction Surveys		
Implementation of provider accreditation is efficient in that the provision needs of the sector are met, by the ETQA's strategy and operational plans	Internal Audit Reports DoL Reports/Scorecard Stakeholder Satisfaction Surveys		

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
Data from provider accreditation is used in other departments of the organisation, e.g. quality promotion, research	Inter-departmental correspondence, meeting minutes, plans etc		
The process of accreditation is not unnecessarily onerous on providers or duplicates functions within the ETQA.	Procedures and instruments/tools for accreditation, Provider survey results		
The allocation of resources to the activities are being done in an efficient manner	Analysis of Resource utilisation Procedures and instruments/tools for accreditation		
3.1. ECONOMY			
Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
ETQA has determined that the most cost efficient combination of inputs, e.g. the use of internal staff vs. subject matter experts (consultants) is being done in the most cost efficient way. and the ETQA has done a cost benefit analysis	Cost Benefit Analyses DoL Scorecard Internal Audit Reports External Audit / AG Reports Stakeholder Satisfaction Surveys Minutes of governance meetings that reflect deliberations regarding best use of financial resources. AG's full report showing no fruitless and wasteful expenditure		

Analysis, of improvements in quality must also take as a starting point the principles of the NQF and how provider accreditation underwrite, speak to, promote the principles of the NQF.

Integration
 Relevance
 Coherence
 Standards
 Access
 Recognition of Prior Learning
 Guidance of learners

3.2 Quality amongst providers is effectively and efficiently promoted

EFFECTIVENESS

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
Quality Promotion Objectives to be achieved are clearly spelled out and this is in line with the strategic objectives.	Business Plan Quality/Marketing Promotion Policy and Procedure Divisional / Functional Plans DoL Scorecard DoL SLA		
The quality promotion of the ETQA has positively impacted on the sector	Evidence of Stakeholder Workshops Stakeholder Satisfaction Surveys Correspondence and Feedback from Stakeholders DoL Scorecard Internal Audit Reports		
The ETQA has clear criteria of the impact, which its quality assurance system is intended to have.	Levels of desired competent 'graduate' performance Levels of desired Provider performance. Stakeholder satisfaction, Feedback, evaluation sheets		
ETQA has evidence of the extent to which quality assurance is achieving impact.	Reports that show progress against set criteria Feedback from employers regarding competence and quality of performance. Provider nonconformities closed out.		

	<p>Evaluation of Continuous Professional Development (CPD). Statistics that provide insight of professional misconduct. Provider Action plans Monitoring/ External Moderation Reports Stakeholder Satisfaction Surveys Provider Development Plans Internal Audit Report Quality indicators</p>		
<p>Evidence that Quality Promotion has taken place in line with the need of stakeholders / sector</p>	<p>Stakeholder Satisfaction Surveys DoL Reports Reports to SAQA</p>		
<p>Areas of best practise are shared with other providers</p>	<p>Workshop Agendas Magazine Articles Minutes of Meetings Development Plans Monitoring Reports</p>		
<p>Quality Promotion Activities promote:</p> <ul style="list-style-type: none"> • Legitimacy • Relevance <p>and show evidence that results compare well with inputs</p>	<p>Stakeholder Satisfaction Surveys</p>		
<p>ETQA has set specific, measurable targets for improving the impact which quality assurance has under the mandate of the ETQA.</p>	<p>Stakeholder Satisfaction Surveys, Analysis and Action Plan Provider Development Plans and follow up. Internal Audit Reports SAQA Audit reports Management Review Meeting Minutes</p>		

3.2. EFFICIENCY

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
The process of planning for quality promotion does not happen in isolation but takes into consideration the strategic objectives of the organisation	Business Plan Business Plan Review Meeting minutes Management Review Meeting Minutes Internal Audit Reports Stakeholder Satisfaction Surveys ETQA Calendar		
Quality Promotion has reached the Providers through an efficient process and efficient implementation of planning.	Business Plan ETQA Divisional Plan Process Maps Internal Audit Reports Management Review Meeting Minutes DoL Scorecard DoL SLA		
Budget allocation for Quality Promotion is in line with the needs of the sector.	Stakeholder Satisfaction Surveys Internal Audit Reports Strategy Matrix – showing match between SSP and 5 Year Strategic Plans Sector Skills Audit Research Reports NSDS Target Achievement Analysis and Reports / Comparisons		
Spending of the budget is in line with planning.	Business Plan and Budget Functional and Operational Plans Variance Reports Internal Audit Reports External / AG Reports		

3.2 ECONOMY

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
Quality Promotion activities increase: <ul style="list-style-type: none"> – the quality of the organisation, – and the quality of provisioning. 	Base line and improvement data. (Results of meeting improvement objectives) Customer satisfaction. Learner placement statistics		
The advantages / impact of the quality promotion strategy/activities can be clearly linked to the resources spent on these activities.	Business Plan Divisional Plans Internal & External Audit Reports Variance Reports		
Quality promotion cannot happen outside the principles of the NQF. Clearly provide evidence how quality promotion support, enhances the principles of the NQF.			
Relevance Credibility Legitimacy			

3.3 Provision by constituent providers is effectively and efficiently monitored

EFFECTIVENESS

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
ETQA has clearly stated what it wants to achieve in terms of monitoring of providers	Monitoring Policy and Procedures Monitoring Tool		
Areas of compliance vs. non-compliance identified and plans put in place how to address the non-compliances. This is not separate from the organisation's Quality Assurance activities. (This may extend beyond the ETQA division)	Monitoring / Verification /External Moderation Visit Reports Development Plans Follow up correspondence. Process Maps Evidence of implementation of monitoring procedures and records of using instrument / tool.		

	Records of Provider non-compliance, corrective action and preventive action. Evidence of implementation of monitoring procedures and records of using instrument / tool. Records of Provider non-compliance, corrective action and preventive action Provider Improvement/development plans		
Provider monitoring has been effective in identifying trends from Provider achievements and potential problems.	Monitoring / Verification /External Moderation Visit Reports Development Plans Follow up correspondence. De-Accreditation Records		
ETQA systematically tracks the improvement solution of the problems identified	Monitoring / Verification /External Moderation Visit Reports Development Plans Follow up correspondence. Process Maps		
Trends within the provider constituency and areas of best practise are shared with other providers.	Feedback & communication reports, evidence of workshops Baseline and improvement data Customer satisfaction surveys		
Monitoring has been effective in ensuring that education and training provision meets stakeholder (employer) and learner requirements	Stakeholder Satisfaction Survey. Correspondence		
The monitoring instrument is effective in measuring <ul style="list-style-type: none"> - implementation of requirements as set out in criteria for accreditation - the quality of delivery 	Accreditation Policy and Procedure Monitoring Policy and Procedure Monitoring Tool Monitoring instruments, improvement actions resulting from research		
Accredited Providers records showing accreditation for current qualifications for which there is uptake. NLRD Report indicating uploads against qualifications and unit standards.	Monitoring Visit Schedules Monitoring Reports Provider Development Plans and follow up		

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
The ETQA systematically documents or tracks what improvements in quality providers are achieving	Reports that track Provider achievement of results and outstanding issues from audits and non-compliance Tracking reports that are relevant to each milestone toward accreditation.		

3.3. EFFICIENCY

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
Evidence is gathered in an efficient manner during the process of monitoring.	Monitoring Tool Process Maps Stakeholder Satisfaction Survey.		
Staff conducting the monitoring have been trained and are knowledgeable.	Job Descriptions Skills Profiles Development Plans Stakeholder Satisfaction Surveys		
Monitoring of providers does not happen in isolation from other possible visits to providers	Travel Plans & Schedules Divisional Business Plan Internal/External Audit Reports		
Procedure clearly indicates performance on a strategic level in terms of output and turnaround time	Monitoring Policy and Procedure Process Maps Divisional Plans & Quality Indicators Performance Agreements		

3.3. ECONOMY

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
The monitoring schedule for the year indicates that resources have not been duplicated for the same activities	Business Plans Monitoring Schedule External Audit/AG Reports		

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
The ETQA has considered different combinations of application of resources to monitor providers	Monitoring procedure, Monitoring schedule, Monitoring instrument, Business and operational plans Records of deliberation at management meetings		

The monitoring in its totality must provide the developmental support to providers and further promote and enhance the principles of the NQF. Specific reference to the following NQF principle.

Integration
Relevance
Credibility
Standards

3.4 Assessment and facilitation of moderation among constituent providers are effectively and efficiently evaluated

EFFECTIVENESS

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
ETQA has clearly stated what it wants to achieve in terms of evaluation of assessment and moderation	Moderation/Verification Policy & Procedures Assessment Policy & Procedures Assessment & Moderation Guidelines Recognition of Prior Learning Policy		
There has been evaluation of assessment and moderation by the ETQA, which has identified areas requiring intervention in ensuring valid, reliable and practicable assessments	Moderation Policy and Procedure Guidelines for Assessment and Moderation External Moderation, Verification and Monitoring Visit Reports on Assessment		
The ETQA has identified possible actions for the areas requiring interventions and has implemented the actions	Annual Moderator reports & Trends Analyses Analysis of moderator reports to draft interventions and implement the interventions		
The ETQA has measured the impact of the interventions	Baseline and improvement data from monitoring activities		

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
There has been improvements in the quality (validity, reliability and practicability) of assessment and moderation	Internal Moderation, External Moderation, Verification and Monitoring Reports MIS/ Statistical Records Management Review Reports ETQA Committee Meeting Minutes		
ETQA records development and improvement results i.t.o. assessment and moderation and set specific quality indicators	Internal & External Moderation, Verification and Monitoring Reports MIS/ Statistical Records Management Review Reports ETQA Committee Minutes Stakeholder Satisfaction Surveys Baseline and improvement data typically from monitoring activities and corrective action plans and reports Annual Moderator reports & Trends Analyses Analysis of moderator reports to compare and understand improvement		
Areas of best practise are shared with the sector	Assessor & moderators workshop, newsletters, communication updates, website, RPL projects		

3.4. EFFICIENCY

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
The processes of assessment and moderation are efficiently measured against intended criteria and outcomes according to policy with no or limited deviation.	Assessment and Moderation Guidelines External Moderation / Verification Policy and Procedures Moderation/ Verification Tools Process Maps External Moderation Reports Internal Audit Reports		
Evaluation of Moderation is not carried out in isolation from other visits to providers.	Travel Schedules/Requisitions Trip Reports		

3.4. ECONOMY

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
The ETQA has done a cost benefit analysis of outsourcing moderation vs. using ETQA staff	Budgets Variance Reports Cost benefit analysis (motivation) AG's report indicating an absence of fruitless and wasteful expenditure		

Assessment and moderation in the sector must promote the principles of the NQF. Specific reference on how the following principles are promoted through assessment and moderation.

Integration	Access
Relevance	Progression
Credibility	Legitimacy
Coherence	Guidance of Learners
Standards	
Articulation	
Portability	
Recognition of prior learning	

3.5 Constituent assessors are registered for specified registered standards or qualifications according to established criteria

EFFECTIVENESS

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
ETQA has clearly stated what it wants to achieve in terms of registration of assessors	Assessor Policy and Procedure		
ETQA has clearly stipulated how it will achieve its stated objectives	Assessor Policy and Procedures Process Map Divisional Plans and Objectives		
The code of conduct/ethics is made available and processes are in place to establish whether assessors adhere to this	Code of Conduct Moderation Reports		
Registered assessors have the competence required to conduct valid, reliable and practicable assessment against active Qualifications and Unit Standards	Assessor Registration Forms Assessor Registration Process/ Process Map Letters to Applicant Assessors MIS Reports Stakeholder Satisfaction Surveys		
ETQA improves the processes and tools through which assessors are registered	Revised Policies Procedures and documents. Revised Application Forms		
The ETQA has identified areas of interventions required to improve quality of assessment as part of registration requirements	Continuous professional development Criteria to ensure currency of assessor competence		

3.5. EFFICIENCY

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
Constituent assessors are registered and the process is seen as efficient by end users	MIS Reports Stakeholder Satisfaction Surveys Correspondence		

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
Performance indicators for this process are in congruence with the requirements of the process	Assessor Registration Policy Procedure and Process/Process Map. Divisional Plans Performance indicators		
Process requirements are clearly outlined to minimise delays in output.	Process Map with turn around targets		
Staff registering assessors are knowledgeable and do not operate in isolation from provider accreditation and upload of learner achievements	Job Descriptions & CVS MIS Reports Process Maps		

3.5. ECONOMY

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
Budgeted costs for the registration of assessors are not exceeded. Where applicable.	Budgets Variance Reports		
Fees charged to assessors to register are limited to cost recovery at most. Where applicable.	Budgets Variance reports Assessor Application Forms, including fees		

Process of registration of assessors must as process and outcome promote the principles of the NQF

Relevance
Credibility

3.6 Constituent learners are effectively and efficiently certified

EFFECTIVENESS

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
ETQA has clearly stated what it wants to achieve in terms of certification of learners	Certification Policy and Procedure		
Learners who are eligible for certification have received certificates within a reasonable turnaround time	Certification Policy and Procedure Process Map, including turnaround target		
ETQA continuously improves the certification processes and tools	Revised Certification Policy and Procedure (incl document / version control) Revised Certificates		
Where certification is devolved ETQA has strict control criteria / measures in place. <i>Can devolve but not abdicate responsibility..</i>	Certification Policy and Procedure Process Map Monitoring Policy and Procedures Development Plans Correspondence		
ETQA has evidence of quality control in issuing certificates and has implemented strict control measures for the use of <ul style="list-style-type: none"> - SAQA hologram (where applicable) - SAQA and ETQA Logo 	Logo Application Process List of Organisations approved to use the logos Licence Agreement Security Policy & Procedure Hologram Register Record of Spoilt Holograms MIS Reports Correspondence		
Validation is in place to ensure authentic certificates	Certification Policy and Procedure, including validation process Process Maps Certification Records		

3.6. EFFICIENCY

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
All learner achievements uploaded reflect a corresponding certificate has been issued	MIS Reports Learner Records Register of Certificates Issued		
All other control related processes have met requirements for stakeholders	Stakeholder Satisfaction Survey Overall Functional Process Map		

3.6. ECONOMY

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
The most cost effective process of certification is implemented in meeting SAQA requirements	Budget & Variance against budget Internal & External Audit Reports Revisions to Policy and Procedure		

Certification of learners against NQF registered qualifications cannot stand outside and separate from the principles of the NQF

Relevance
Credibility
Coherence
Standards
Access
Progression
Portability

3.7 Cooperation with moderating and other bodies takes place effectively and efficiently in appropriate cases

EFFECTIVENESS

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
ETQA has established and implemented Agreements with other organisations, including Professional Bodies where the need has arisen and has clearly stated what it wants to achieve in terms of co-operation.	Co-operative Agreements with ETQAs and Professional Bodies, where no duplication exists, but where co-operation is beneficial.		
Continuous improvement of the implementation of the Agreements.	Revised Agreements Process Maps		
ETQA presents evidence that services rendered under the Agreements address quality	Co-operation agreements.		

3.7. EFFICIENCY

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
Agreements are implemented where need exists with the services been rendered by the responsible party	Co-operation Agreements		
Stakeholders are receiving the intended benefits from the signed Agreements	Stakeholder Satisfaction Surveys Letters/Correspondence		
Duplication of activities are identified and addressed in the Agreements to allow for efficient application of resources	Co-operation Agreements		

3.7. ECONOMY

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
The resource requirements for the implementation of Agreements have been evaluated and costs have been minimised.	Business Plan Human Resources Plan Organisation Charts Job Descriptions Stakeholder Satisfaction Surveys Internal and External Audit Reports		

Cooperation between stakeholders should promote the principles of the NQF

Integration
Credibility
Coherence
Legitimacy

3.8 Recommendations regarding standards and qualifications (new or existing) are made to the appropriate SGB's

EFFECTIVENESS

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
ETQA has clearly stated what it wants to achieve in terms of standards setting	ETQA and SGB Meeting Minutes		
Evidence that ETQAs made inputs and suggestions on increasing the quality and appropriateness of unit standards and qualifications	Minutes of ETQA and SGB Meetings Correspondence		
ETQAs improve the processes and tools through which it contributes to improvements in the quality of standards and qualifications	Revised Procedures Process Maps Evidence of submissions from Providers and to SGB Applications for Extension of Accreditation		

The standards and qualifications reflect the requirements of relevant stakeholders	MIS Report on Qualifications Sector Skills Plan (SSP) Stakeholders Satisfaction Surveys		
--	---	--	--

3.8. EFFICIENCY

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
The availability of registered qualifications and unit standards in the sector is efficient to address needs	SSP Critical Skills Strategy & Plans Stakeholder Satisfaction Survey Chamber minutes		
The process of making an input into the standard setting process meets the required outcomes timeously	SGB Meeting Minutes Correspondence with SAQA Chamber minutes		

3.8. ECONOMY

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
The budget to make inputs into standard setting is realistic and cost effective in terms of the desired outcomes.	Budget Variance Report Internal Audit Reports		

Standard generation cannot stand outside and apart from the principles of the NQF, any activities should promote the principles of the NQF.

Integration	Access
Relevance	Articulation
Credibility	Progression
Coherence	Portability
Standards	Recognition of prior learning
Legitimacy	Guidance of learners

3.9 An acceptable database is maintained

EFFECTIVENESS

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
ETQA has clearly stated what it wants to achieve in terms of its MIS and there are clearly defined quality or performance objectives	NLRD Load Specifications MIS / IT Policy and Procedure Brief to Service Provider Service Level Agreement MIS Manual		
The database maintained by the ETQA contains all the information required for ensuring performance and for continuously improving quality	Database Demonstration MIS Reports NLRD League Tables		
Data requirements are clearly communicated to providers	Correspondence with Providers Provider Workshops		
Data uploaded is accurate and up to date	Demonstration MIS Reports NLRD League Tables		

3.9.EFFICIENCY

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
Uploading of data done by knowledgeable staff.	NLRD League Reports Job Descriptions/CVs Development Plans KPIs Performance Reviews Service Level Agreement		
All data is made available in an efficient manner.	NLRD League Table MIS Reports Service Level Agreement and Correspondence Database Demonstration SETA Management System and Reporting		
Providers consider the process to be efficient to address their and learners' needs.	Stakeholder Satisfaction Survey Correspondence		
Data is uploaded not only for use by the NLRD, but to assist in planning and reporting of other departments within the organisation and SAQA	Database Demonstration re interface availability MIS Reports		
Data required by other departments and SAQA can be supplied without unnecessary duplication	Process maps or procedures for various departmental processes. MIS demonstration		
Processes include checks and balances related to the certification of Assessors, Moderators and Learners	Process maps and procedures that identify checks and balances Database demonstration		

3.9. ECONOMY

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
An efficient and effective MIS is implemented for the best possible price.	Purchasing Policy and Procedure MIS/IT Policy and Procedure Service Level Agreement Budget And/or Variance Reports		

Maintenance of the system is done in a cost effective way	Service Level Agreement Budget Variance Reports Internal & External Audit Reports		
---	--	--	--

The information requirements of the NQF incorporates and supports the principles of the NQF

Relevance Portability Access	Flexibility Coherence
------------------------------------	--------------------------

3.10 Reports are submitted to SAQA according to established requirements

EFFECTIVENESS

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
There has been consistently and timely and comprehensive reporting done, as required by SAQA	SAQA Quarterly reports Correspondence with SAQA		

3.10 EFFICIENCY

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
All reporting is done through an efficient process that ensures accurate, relevant and timely reporting.	MIS Reports SAQA Reports Reporting Policy and Procedure Schedule of Reports		

3.10 ECONOMY

Performance Indicator	Possible evidence	Actual evidence identified/ supplied by the ETQA	RATING
Use of the correct staff for the level of reporting and maximum use of flexible MIS report generation facilitates time & cost-effective reporting	MIS Reports SAQA Reports		

NQF Principles	Processes for the accreditation of constituent providers are effective, economic and efficient and clearly relate to the primary focus of the ETQA	Quality amongst providers is effectively, economically and efficiently promoted	Provision by constituent providers is effectively, economically and efficiently monitored	Assessment and facilitation of moderation among constituent providers are effectively, economically and efficiently evaluated	Constituent assessors are effectively and efficiently registered for registered standards or qualifications	are effectively and efficiently certified Constituent learners	Co-operation with moderating and other bodies takes place effectively, economically and efficiently in appropriate cases	Recommendations regarding standards and qualifications are effectively, economically and efficiently made to the appropriate NSB	An effective, economic and efficient database that is acceptable to SAQA is maintained.	Reports are submitted to SAQA according to established requirements
Integration										
Relevance										
Credibility										
Coherence										
Flexibility										
Standards										
Legitimacy										
Access										
Articulation / Progression / Portability										
Recognition of Prior Learning										
Guidance of										

Learners										
----------	--	--	--	--	--	--	--	--	--	--