



P.A.B.

Professional Accreditation Body

Monitoring Audit Tool

MONITORING AND EXMOD 2009

Provider details

Provider name	
Principal name	
Date	
Person responsible at audit	

Registered qualifications

--	--

Registered assessors

Registered moderators

Learners registered 2008

First years	
Second years	
Modular	
Other	

Document Title	Monitoring & Ext moderation tool (AMAA04)		
Document No	AMAA04	Date compiled: 2008/10/15	
Page number	7 Pages	Revision Date: 2009/10/15	
Revision No	1	Access	
Reviewed by: Marlie Spencer	Approved by : Madeleine Gericke		
Electronic copy home	F:\PAB DOCS\Criteria, Guidelines and policy documents\Accreditation, monitoring and audits\2009		

MONITORING

PROVIDER PERFORMANCE, GROWTH AND IMPROVEMENT	Yes/No	Notes
SECTION 1 GENERAL		
QMS POLICIES ON FILE/AVAILABLE ELECTRONICALLY		
Level 1		
Evidence of QMS on file, signed by all staff members		
Level 2		
Policies review ed up to date		
Level 3		
Policies review ed according to review policy		
Level 4		
Evidence of policies review ed as per review policy, based on findings during internal evaluation of own performance. Staff members are given opportunity to give input		
Level 5		
Provider has measured impact of changes made to policies in order to verify and justify		
DOE REGISTRATION		
Supply proof of application to DOE for registrator		
FINANCIAL VIABILITY		
Audited financial statements are available for private companies		
Letter from auditor stating financial viability is available for closed corporation:		
SECTION 2 POLICY IMPLEMENTATION		
ASSESSMENT MANAGEMENT		
Assessment policy:		
Assessment policy is available		
Assessment policy has been review ed and is current		
Assessment policy correlates with actual assessment practice		
Assessment policy contains all information regarding purpose and procedures to adequately and effectively address this function		
Assessment policy and practice includes		
- Information and guidelines given to learners after enrolment		
- Pre-assessment meeting conducted with learners to communicate procedure and agree upon assessment arrangements. Learners receive assessment plan as agreed upon		
- Assessment guidelines given to assessors		
- Assessment feedback given to learners (group and individual)		
- Assessment feedback received from learners		
- Assessment review		
MODERATION MANAGEMENT		
Moderation policy:		
Moderation policy is available		
Moderation policy has been review ed and is current		
Moderation policy correlates with actual moderation practice		
Moderation policy contains all information regarding purpose and procedures to adequately and effectively address this function		
Moderation policy and practice includes		
- Information and guidelines given to moderators		
- Selection of and agreements with external moderators		
- Pre-moderation meetings and planning		
- Moderation of assessment documents (theory papers and practical assessments)		
- Moderation of assessment practice		
- Moderator's review of assessments		
- Moderation feedback to assessors		
- Assessor's feedback to moderator		
- Moderator's review of moderating practice		
- Identification of gaps and weaknesses in assessment practice, and implementation of rectifying procedure		
- Identification of gaps and weaknesses in moderation practice, and implementation of rectifying procedure		
- Measuring impact of rectifying procedures and review thereof		

HUMAN RESOURCE MANAGEMENT		
Selection policy and procedure		
Job descriptions available		
Staff adequately qualified		
Induction of staff		
Staff trained on provider's QMS and has access to provider's policies and procedure:		
Appraisal policy and procedure with timeframes		
Appraisals done according to policy		
Appraisal information used for staff development		
Staff development plans drawn up per staff member		
Staff development conducted according to plan		
New appraisal indicates actual improvement in staff members		
RPL POLICY		
RPL policy and procedure available		
RPL administration forms available		
RPL has been conducted and shows proper RPL procedures including assessment practice		
RPL is marketed and communicated		
APPEALS POLICY		
Appeal policy shows explicit procedure to be followed indicating correct and appropriate administration and parties involved, including the relevant authority level		
LEARNER MANAGEMENT		
Learner entry, guidance and support		
National Senior Certificate pre-requisite for full qualification		
Learner induction/Learner information pack		
Contains assessment, appeals, language and refund and withdrawal policy:		
Contains information on course requirements		
Contains information on assessment requirements		
Contains code of conduct		
Contains information with regards to infrastructure, rules and regulations, guidance and support		
Learner refund and withdrawal policy		
Contains information on withdrawal procedure including relevant forms to be completed		
Contains information on refund policy and procedure (ensure learners are not treated unfairly, but provider adequately protected)		
Language policy		
Indicate official language/s in which education is provided		
Reflect stance of non-discrimination with relevant possible support for languages not catered for		
SECTION 3 ADMINISTRATIVE PROCEDURES AND SECURITY	Yes/No	Notes
GENERAL ADMINISTRATIVE SECURITY		
Confidentiality		
Access correlate to policy		
Electronic system available, able to upload to PAE		
ASSESSMENT DOCUMENTATION SECURITY		
Confidentiality		
Access correlate to policy		
ADVERTISING AND MARKETING		
Material adhere to regulations		
DISCIPLINARY PROCEDURES		
Learners informed of expected conduct		
Learners informed of rules and regulations		
Explicit procedure in place with relevant administrator		
Staff informed of expected conduct		
Staff informed of rules and regulations		
Explicit procedure in place with relevant administrator		

SECTION 4 SELF-EVALUATION	Yes/No	Notes
Self-evaluation questionnaire available		
Self-evaluation questionnaire completed annually		
Report compiled from questionnaire stating strengths and weaknesses		
Report contains action plan for improvement		
Action plan/s were implemented		
Impact from previous action plan implementation measured with questionnaire		
Results compared with analysis and new plans formulated		
SECTION 5 COMMUNITY ENGAGEMENT	Yes/No	Notes
Charity projects		
Community projects		
SECTION 6 ACADEMIC RESOURCES	Yes/No	Notes
Computer access		
Internet access		
Library		
Old question papers / answer sheets		
Support to learners with learning disabilities and counseling services for emotional trauma/concern		