



ENERGY SECTOR EDUCATION AND TRAINING AUTHORITY

ESETA MONITORING AUDIT CRITERIA

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DISCLAIMER

The ESETA will protect the confidentiality and intellectual property of information submitted by Providers.

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SECTION 1: INSTRUCTIONS TO MONITORING AUDITORS

- 1.1 Complete the document electronically (not hand written), except Section 6 where auditor and Provider signatures are required.
- 1.2 See Section 2 for definitions and clarification of terms.
- 1.3 Complete Section 3 regarding Provider Details.
- 1.4 Update Section 4: "Programmes / qualifications offered by Provider"
- 1.5 In Section 5, type in notes under column "Auditor Notes".
 - 1.5.1 Type your finding/s based on each criterion.
 - 1.5.2 Give an indication to the Eseta ETQA whether the Provider complies with each criterion or not.
 - 1.5.3 Type all the notes you deem necessary even if you have to enlarge the column.
 - 1.5.4 Use own discretion.
- 1.6 In Section 6:
 - 1.6.1 Agree with the Provider and summarise the findings as "Compliant" or "Non-compliant"
 - 1.6.2 Make a recommendation to the Eseta ETQA regarding further action to be taken.

SECTION 2: DEFINITIONS AND TERMS

ESETA ETQA – quality interventions	<p>The Eseta conducts 3 types of quality interventions with regard to Providers:</p> <ol style="list-style-type: none"> 1. Accreditation audit: An audit to verify compliance with the accreditation criteria when a Provider applies for accreditation the first time. 2. Monitoring audit: A compliance audit in order to verify the Provider’s compliance with the Eseta criteria after expiry of initial accreditation. A monitoring audit may also be conducted due to complaints of serious quality defects by a Provider. 3. External moderation: Moderation of the Provider’s internal assessments and moderations
Accreditation	The certification of a person, body or institution as having the capacity to fulfil a particular function in the quality assurance system set up by SAQA.
Apprenticeship	An apprenticeship is a non unit standard based registered qualification, which is governed by the sections 13 – 29 f the Manpower Training Act 56 of 1981. An apprenticeship comprises the integration of workplace and institutional learning and culminates in a national qualification.
Assessment	The pr ocess of i dentifying, g athering and i nterpreting i nformation about a l earner's achievement i n or der t o assi st t he l earner's development and improve the process of learning and teaching.
Assessor	A person registered by the ETDP Seta as well as the Seta representing his/her subject expertise for a fixed period, who makes assessment judgements on learner competence.
Contingency plans	Plans to deal with unforeseen events.
Learner special needs	Learners with physical or other handicaps which may impair or hamper their ability to learn.
Learnership	A Learnership is a programme, which combines work-based experience with structured learning. It is a unique route to obtaining a qualification. A Learnership combines theoretical knowledge with practical workplace experience and is intended as a route into a career or a way to further develop skills

Learning / training programmes or learning interventions	<p>May include one or more of the following types:</p> <ul style="list-style-type: none"> • Short course, unit standard based • Short course, non-unit standard based • Skills programme, completely unit standard based • Skills programme, mix of unit standard- and non-unit standard based • National qualifications (and Learnerships) • Apprenticeships
Moderator	A person registered by the ETDP Seta as well as the Seta representing his/her subject expertise for a fixed period, who verifies that consistent assessment has been conducted and that the assessment principles were applied.
Provider	A body which delivers learning programmes which may culminate in specified National Qualifications.
QMS	A quality management system: Policies, procedures and processes driving the quality of an ETD system.
Qualification	The formal recognition of the achievement of the required number and range of credits and such other requirements at specific levels of the National Qualifications Framework (NQF) as may be determined by the relevant bodies registered for such purpose.
Recognition of prior learning	The credit granted for a unit of learning on the basis of an assessment of formal and non-formal learning or experience to establish whether the learner possesses the competences specified in the outcome statement.
Trainers / Facilitators	The Education, Training and Development (ETD) practitioners who assist learners in achieving the learning outcomes.

SECTION 3: PROVIDER DETAILS

Provider Name:					
Physical Address of monitoring audit:			Postal Address of contact person:		
Name of Contact Person:				Position of the contact person	
Telephone No:		Fax No:		E-mail:	

Provider details have changed: (Delete non-applicable option)	YES	NO
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Monitoring auditor name/s:					

Monitoring audit date:	
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SECTION 4: PROGRAMMES / QUALIFICATIONS OFFERED BY PROVIDER

NAME/S OF UNIT STANDARD BASED COURSES / SKILLS PROGRAMMES OFFERING	UNIT STANDARD ID(s)	Number of learners currently enrolled
1.		
2.		
3.		
4.		
5.		

NAME/S OF NATIONAL QUALIFICATION OR LEARNERSHIP OFFERING	QUALIFICATION / LEARNERSHIP ID(s)	Number of learners currently enrolled
1.		
2.		
3.		

NAME/S OF NON UNIT STANDARD BASED COURSES OFFERING	Number of learners currently enrolled
1.	
2.	
3.	
4.	

AND /OR

NAME OF APPRENTICESHIP/S OFFERING	Number of learners currently enrolled
1.	
2.	
3.	
4.	

Programmes / qualifications offered by Provider have changed since previous ETQA audit/monitoring: (Delete non-applicable option)	YES	NO
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SECTION 5: MONITORING AUDIT CRITERIA

ETD AREA	QUALITY CRITERIA	MONITORING CRITERIA FOR AUDITOR	AUDITOR NOTES
1. PROVIDER VIABILITY	1.1 The provider has adequate capacity, is well governed and financially viable.	1.1.1 Identify the number of learners the provider accommodated in the various training focus areas the past year. Review Attendance Registers and/or Electronic Database	
		1.1.2 Identify the number of trainers the provider utilised the past year. “Trainers” includes permanent-and contracted trainers.	

ETD AREA	QUALITY CRITERIA	MONITORING CRITERIA FOR AUDITOR	AUDITOR NOTES
2. QUALITY MANAGEMENT SYSTEM (QMS)	2.1. The provider has an implement-table quality management system (QMS) which includes policies, procedures and mechanisms to sustain these.	2.1.1 Verify that the Quality Management System (QMS) including policies, procedures and other documentation, is current and updated.	

ETD AREA	QUALITY CRITERIA	MONITORING CRITERIA FOR AUDITOR	AUDITOR NOTES
3. MANAGE- MENT OF LEARNING PRO- VISIONING	3.1 Learning interventions are identified and outcomes-based.	3.1.1 Verify that only registered programmes (in line with initial Accreditation Application) are offered.	
	3.2 Learning interventions are offered in line with customer needs.	3.2.1 Identify evidence that the Provider is involved with the customer / industry / learner representatives.	
	3.3 Learning interventions are planned and sustainable.	3.3.1 Check that learning activity planning documents, for instance lesson plans, facilitator manuals and/or schedules are available and used correctly.	
		3.3.2 Check that plans are available and implemented to cater for contingencies.	

ETD AREA	QUALITY CRITERIA	MONITORING CRITERIA FOR AUDITOR	AUDITOR NOTES
3. LEARNER SELECTION AND SUPPORT	4.1 Adequate learner guidance is given to ensure optimal learning.	4.1.1 Verify that learners, where applicable, are registered with the ESETA (Learnerships & Apprenticeships)	
		4.1.2 Learners are informed of scope, duration and general requirements of the programme	
	4.2 Learners are entered at correct starting levels.	4.2.1 Manual and/or electronic data reflects the learner's background and current competence.	
		4.2.2 Identify the drop-out rate over the last year.	
	4.3 Learner special needs are catered for	4.3.1 Proof is given that learners with special needs are informed of special training arrangements	

ETD AREA	QUALITY CRITERIA	MONITORING CRITERIA FOR AUDITOR	AUDITOR NOTES
5. MANAGE- MENT OF ASSESSMENT	5.1 Assessments are based on national standards and principles.	5.1.1 Verify whether the assessment process is in accordance with the national assessment principles.	
		5.1.2 Check that the dates for the following sequence are realistic and that time has not been wasted: Learner completed assessment → completion of assessor sign off → completion of internal moderation & sign-off → results submitted to Seta.	
		5.1.3 Verify that the following assessment documents are used during assessment, that they are correct, appropriate, updated and complete	
		5.1.3.1 Assessment Guides	
		5.1.3.2 Learner Portfolios	
		5.1.3.3 Assessment instruments	
		5.1.4 Check that assessment appeals, if any, are handled in accordance with the national assessment principles	
	5.2 Provision is made for internal moderation and requirements for external moderation are adhered to.	5.2.1 Moderation Reports are updated for assessments.	
		5.2.2 The ESETA ETQA Moderation Policy is applied.	
	5.3 Only registered assessors and moderators may sign off competence	5.3.1 Verify that present assessors and moderators are registered at relevant Seta/s.	

	5.4 Assessment results are recorded.	5.4.1 Proof is given of consistent, current and reliable recording of assessment results	
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ETD AREA	QUALITY CRITERIA	MONITORING CRITERIA FOR AUDITOR	AUDITOR NOTES
6. STAFF	6.1 Sufficient numbers of practitioners are available to perform the required training tasks.	6.1.1 Check attendance registers to verify that the trainer:learner ratio does not exceed 1:25	
	6.2 ETD practitioners (ETDPs) are competent to perform their roles.	6.2.1 Verify that trainers are both subject experts and competent facilitators.	
		6.2.2 Check that previous students are not immediately used as trainers	
		6.2.3 Scrutinise learner evaluation of trainer / facilitator competence (Feedback Forms)	
	6.3 Staff sourcing and utilisation are effectively planned	6.3.1 Verify that evidence is available for this criteria	

ETD AREA	QUALITY CRITERIA	MONITORING CRITERIA FOR AUDITOR	AUDITOR NOTES
7. AGREEMENTS AND CONTRACTS WITH STAKEHOLDERS	7.1 The provider formally determines the stakeholder requirements and executes and reviews stakeholder services	7.1.1 Look at a sample of a contract or agreement and check that stakeholder requirements are clarified	

ETD AREA	QUALITY CRITERIA	MONITORING CRITERIA FOR AUDITOR	AUDITOR NOTES
8. DOCUMENTATION, DATA AND RECORDS	8.1 Access to documents, data and records is controlled.	8.1.1 Ensure that learners and unauthorised people: <ul style="list-style-type: none"> ➤ cannot access assessments ➤ cannot copy another's Portfolios and submit it as his/her own (authenticity) 	
		8.1.2 Check that manual record keeping system is well-organised	
	8.2 Changes to, and dissemination of documents and data are controlled.	8.2.1 Verify that version numbers and/or dates of latest documents have changed	
		8.3 Documentation system is configured	8.3.1 Check that page numbers of training manuals are correct
	8.3.2 Check that overall numbering system used, is logical		
8.4 Relevant learner information is recorded.	8.4.1 Verify that current learner results on database are up to date		

ETD AREA	QUALITY CRITERIA	MONITORING CRITERIA FOR AUDITOR	AUDITOR NOTES
9. LEARNING MATERIAL, EQUIPMENT, MEDIA AND FACILITIES	9.1 Learning materials are user-friendly and address the learning outcomes.	9.1.1 Check that learning materials comply with the Eseta's "Minimum criteria for Learning Material"	
	9.2 Learning equipment, tools and consumables sufficiently support the learning outcomes.	9.2.1 Check that equipment, media and tools address the needs of the learning programme/s offered	

	<p>9.3 Learning facilities conform to legislative safety requirements.</p>	<p>9.3.1 Check that OHS Act is displayed.</p>	
		<p>9.3.2 Check that general safety is applied.</p>	
	<p>9.4 Use of learning material, equipment and media is effectively planned and controlled.</p>	<p>9.5.1 Check if this criterion is catered for within Facilitator Guide or lesson plans.</p>	
	<p>9.6 OFF-SITE, IF APPLICABLE: Off-site, on-the-job training is well managed Off-site materials, facilities and equipment are conducive to effective learning. Off-site learners are constructively engaged in learning activities based on the learning outcomes.</p>	<p>9.6.1 Verify that Service Level Agreements are updated and that effective communication is maintained between the Provider and off-site Management</p>	

SECTION 6: AUDITOR'S SUMMARY AND RECOMMENDATION

ETD AREA	QUALITY CRITERIA	AUDITOR RECOMMENDATION	PROVIDER SIGNATURE
1. Provider viability	1.1 The provider has adequate capacity, is well governed and financially viable.		
2. QMS	2.1. The provider has an implement-table quality management system (QMS) which includes policies, procedures and mechanisms to sustain these		
3. Management of learning provisioning	3.1 Learning interventions are identified and outcomes		
	3.2 Learning interventions are offered in line with customer needs.		
	3.3 Learning interventions are planned and sustainable.		
4. Learner selection and support	4.1 Adequate learner guidance is given to ensure optimal learning.		
	4.2 Learners are entered at correct starting levels		
	4.3 Learner special needs are catered for		
5. Management of assessment	5.1 Assessments are based on national standards and principles.		
	5.2 Provision is made for internal moderation and requirements for external moderation are adhered to		
	5.3 Only registered assessors and moderators may sign off competence		
	5.4 Assessment results are recorded.		
6. Staff	6.1 Sufficient numbers of practitioners are available to perform the required training tasks.		
	6.2 ETD practitioners (ETDPs) are competent to perform their roles.		
	6.3 Staff sourcing and utilisation are effectively planned		

ETD AREA	QUALITY CRITERIA	AUDITOR RECOMMENDATION	PROVIDER SIGNATURE
7. Agreements and contracts with stakeholders	7.1 The provider formally determines the stakeholder requirements and executes and reviews stakeholder services		
8. Documentation, data and records	8.1 Access to documents, data and records is controlled.		
	8.2 Changes to, and dissemination of documents and data are controlled.		
	8.3 Documentation system is configured		
	8.4 Relevant learner information is recorded.		
9. Learning material, equipment, media and facilities	9.1 Learning materials are user-friendly and address the learning outcomes.		
	9.2 Learning equipment, tools and consumables sufficiently support the learning outcomes.		
	9.3 Learning facilities conform to legislative safety requirements.		
	9.4 Equipment and media are fit for purpose and in good working order.		
	9.5 Use of learning material, equipment and media is effectively planned and controlled.		
	9.6 OFF-SITE, IF APPLICABLE: Off-site, on-the-job training is well managed Off-site materials, facilities and equipment are conducive to effective learning. Off-site learners are constructively engaged in learning activities based on the learning outcomes.		

IT IS RECOMMENDED THAT THE PROVIDER:

(Mark with X)

1. Complies with the overall monitoring criteria - the accreditation period may be extended.	
2. Partially complies with the overall monitoring criteria - the accreditation period may be extended once the non-conformances have been closed out. See date below.	
3. Does not comply with the monitoring criteria. It is recommended that the Provider is de-accredited.	

DATE FOR CLOSING OUT NON-CONFORMANCES:

NOTES BY THE AUDITOR

NOTES BY THE PROVIDER

PROVIDER SIGNATURE: _____

AUDITOR SIGNATURE: _____

DATE: _____