

Policy Document ETQA2: Programme Evaluation & Management



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Policy Overview

Policy Purpose

The purpose of the policy is to outline the:

- Scope of programmes included and excluded from the Theta ETQA quality assurance
- Evidence criteria required for evaluation of learning programmes
- Process of evaluation for learning programme evaluation purposes
- Use of Evaluation teams in programme evaluation

Legal Basis

- SAQA Act
- Criteria and Guidelines for provider quality management
- Criteria and Guidelines for ETQA's

Policy Statement

THETA ETQA will perform an evaluation of all learning programmes within its legislated scope of learnerships, qualifications, skills programmes and unit standards, regardless of whether the provider is accredited by THETA, or not.

Terminology

All terminology used in this policy bears the implicit meaning as stated in the policy document: **ETQA0: Glossary of Terms and Acronyms**

Scope of the Policy

This policy covers the Theta mandated unit standard and qualifications framework. All unit standards and qualifications that has been allocated to Theta by SAQA as part of its quality assurance mandate, regardless of unit standards used in the rules of combination of the qualification.

Excluded from this policy is all unit standards and qualifications within the scope and domain of other SETA ETQA's, which may be part of the scope of provision of Theta accredited / licensed providers.

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Policy Overview, Continued

Exclusions from the Policy

The following learning programmes are considered inclusive / exclusive to the Theta scope:

<i>Included in Theta ETQA Scope</i>	<i>Excluded from Theta Scope</i>
<ul style="list-style-type: none"> • Theta qualifications • Theta Learnerships (registered with DoL) • Theta Unit Standard based learning programmes • Theta registered skills programmes • Theta registered short courses 	<ul style="list-style-type: none"> • Non-Theta standards learning programmes • Outcomes based learning programmes (not unit standard based)

Grounds for Appeal

Should the provider not be satisfied with

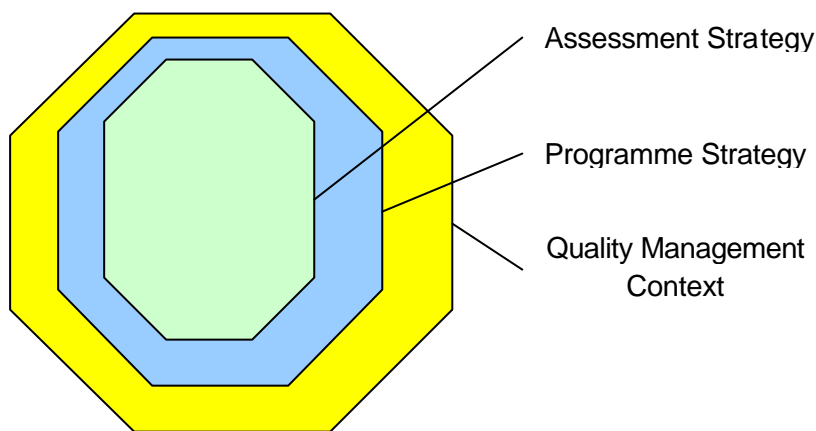
- the manner in which the evaluation was conducted
- the outcome of the evaluation of its programmes,
- the feedback regarding its programme status

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Programme Evaluation Model

Programme Evaluation Model

The following model of Programme Evaluation is followed in Theta to ensure a holistic, encompassing evaluation strategy and process:



Model Description

In order for any programme evaluation to take place, the provider needs to show evidence of **Environmental, institutional and contextual infrastructure** –

- Capacity of the provider / environment
- Sustainability of learning
- Quality of provision
- Learner Support entrenched in intervention
- Learning programme is unit standard based and aligned to the unit standards
- Learning programme falls within the Theta ETQA scope of evaluation
- All supporting documentation required by the ETQA has been submitted

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Programme Evaluation Model, Continued

Model Criteria The following documentation must be provided to the Theta ETQA for programme evaluation purposes

QMS Context	Programme Strategy	Assessment Strategy
<ul style="list-style-type: none"> • Roll Out Strategy (Learnerships) • Workplace Plan • Assessors • Moderators • Partnerships / Roles • Learner Support • Policies: Assessment, Moderation, Learner Entry & Support 	<ul style="list-style-type: none"> • Unit Standard Alignment • Programme Context • Delivery Strategy • Target Population Analysis • Partnerships & Roles • Learner Material Samples 	<ul style="list-style-type: none"> • Overall Assessment Strategy • US / Instrument Matrix • Strategy Matrix • Assessment Guide

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Programme Evidence Matrix

Contextual Matrix

Depicted below is a matrix summary of the scope and possible contexts in which learning programme evaluation may exist in the Theta sector.

	Theta Qualification	Theta LShip	Theta Unit Std	Theta Skills Pgm	Theta Short Course	Non Theta / unit standard
Constituent Accredited full pgm	1.1	1.2	1.3	1.4	1.5	1.6
Non constituent accredited full pgm	2.1	2.2	2.3	2.4	2.5	Out of scope
Partnership: delivery only.	3.1	3.2	3.3	3.4	3.5	
Partnership: assessment only.	4.1	4.2	4.3	4.4	4.5	
Non accredited	Not in scope	5.1	5.2	5.3	5.4	

Matrix Description

Following is a description of evidence requirements *over and above the stated requirements* in the Programme Evaluation Model, depending on the *contextual application* of the programme:

Context No	Context Summary	Evidence Principle	Evidence Requirement
Context 1: Accredited constituent provider – full programme			
1.1	THETA qualification	Organizational capacity	Assessors, moderators
1.2	THETA learnership	Structured roll out (30/70 principle) & workplace component, to be completed within a limited time frame	<ul style="list-style-type: none"> Roll Out Strategy Workplace Guide Partnership Agreement – roles & responsibilities
1.3	THETA unit standard	No additional requirements	<ul style="list-style-type: none"> No additional requirements
1.4	THETA skills programme	Must be vocationally based	<ul style="list-style-type: none"> Registration of SP Show compliance to THETA registered matrix

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Programme Evidence Matrix, Continued

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Context No	Context Summary	Evidence Principle	Evidence Requirement
Context 1: Accredited constituent provider – full programme			
1.5	THETA short course	No additional requirements	<ul style="list-style-type: none"> • No additional requirements
1.6	Non THETA unit standard	Evaluation falls outside of the THETA ETQA scope.	<ul style="list-style-type: none"> • Relevant SETA evaluation process to be followed. THETA ETQA fulfils a submission and liaison role. • External SETA evaluation

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Programme Evidence Matrix, Continued

Matrix Description Continued ...

Context 2: Non constituent accredited – full programme			
2.1	THETA qualification	Organizational capacity, workplace component, subject matter expertise	Assessors & moderators, assessment strategy subject matter expertise
2.2	THETA learnership	Structured roll out (30/70 principle) & workplace component, to be completed within a limited time frame	<ul style="list-style-type: none"> • Roll Out Strategy • Workplace Guide • Partnership Agreement – roles & responsibilities
2.3	THETA unit standard	Workplace component, subject matter expertise	<ul style="list-style-type: none"> • Assessors & moderators, assessment strategy subject matter expertise
2.4	THETA skills programme	Must be vocationally based	<ul style="list-style-type: none"> • Registration of SP • Show compliance to THETA registered matrix
2.5	THETA short course	Workplace component, subject matter expertise	<ul style="list-style-type: none"> • Assessors & moderators, assessment strategy subject matter expertise
Context 3: Partnership - delivery only.			
3.1	THETA qualification	Relationship between delivery and assessment defined, roles of each party clear in full provision	<ul style="list-style-type: none"> • Delivery roll out / assessment points strategy • Partnership Agreement • Roles outlined in partnership
3.2	THETA learnership	Relationship between delivery, assessment and workplace defined, roles of each party clear in full provision.	<ul style="list-style-type: none"> • LShip roll out strategy reflects delivery roll out / assessment points • Partnership Agreement • Roles outlined in partnership
3.3	THETA unit standard	Relationship between delivery, assessment and workplace defined, roles of each party clear in full provision.	<ul style="list-style-type: none"> • Partnership Agreement • Roles outlined in partnership

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Programme Evidence Matrix, Continued

Matrix Description Continued ...

Evidence principles and requirements within the contexts in which learning programme evaluation (continued)

Context No	Context Summary	Evidence Principle	Evidence Requirement
Context 3: Partnership – delivery only.			
3.4	THETA skills programme	Relationship between delivery, assessment and workplace defined, roles of each party clear in full provision. Vocational base identified	<ul style="list-style-type: none"> • Registration of SP • Show compliance to THETA registered matrix
3.5	THETA short course	Relationship between delivery, assessment and workplace defined, roles of each party clear in full provision.	<ul style="list-style-type: none"> • Partnership Agreement • Roles outlined in partnership
Context 4: Partnership – Assessment only			
4.1	THETA qualification	Relationship between delivery and assessment defined, roles of each party clear in full provision	<ul style="list-style-type: none"> • Assessment Strategy • Roll out strategy • Resources & environment of assessment outlined • Partnership Agreement • Roles outlined in partnership
4.2	THETA learnership	Relationship between delivery, assessment and workplace defined, roles of each party clear in full provision.	<ul style="list-style-type: none"> • LShip roll out strategy reflects delivery roll out / assessment points • Partnership Agreement • Roles outlined in partnership
4.3	THETA unit standard	Relationship between delivery, assessment and workplace defined, roles of each party clear in full provision.	<ul style="list-style-type: none"> • Assessment Strategy
4.4	THETA skills programme	Must be vocationally based	<ul style="list-style-type: none"> • Assessment Strategy • Workplace component
4.5	THETA short course	Relationship between delivery, assessment and workplace defined, roles of each party clear in full provision.	<ul style="list-style-type: none"> • Assessment Strategy

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Programme Evidence Matrix, Continued

Matrix Description Continued ...

Evidence principles and requirements within the contexts in which learning programme evaluation (continued)			
Context 5: Non accredited			
Context No	Context Summary	Evidence Principle	Evidence Requirement
5.2	THETA learnership	Workplace provision only, Learnership Monitoring issue. Not certifiable	<ul style="list-style-type: none"> • Accredited managing partnership • Proof or roll out strategy & workplace management • Partnership for QMS and certification
5.3	THETA unit standard	Not certifiable	<ul style="list-style-type: none"> • Accredited managing partnership • Partnership for QMS and certification
5.4	THETA skills programme	Must be vocationally based Not certifiable	<ul style="list-style-type: none"> • Show compliance to THETA registered matrix • Accredited managing partnership • Assessment Strategy • Workplace component • Partnership for QMS and certification
5.5	THETA short course	Relationship between delivery, assessment and workplace defined, roles of each party clear in full provision.	<ul style="list-style-type: none"> • Accredited managing partnership • Partnership for QMS and certification

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ETQA Operational Principles

Programme Management Principles

All programme will be managed with due consideration of the following principles¹:

No	Principle	Description
1	Transparent, fair and equitable	The programme evaluation process will be open, equitable, fair, transparent and as simple as possible while at the same time being efficient and cost effective
2	Inclusive, accessible and flexible	The programme evaluation process encourages flexibility that allows for inclusion and access to the NQF system for providers and practitioners, thereby creating flexible options of learning for stakeholders of Theta
3	Consistent, relevant and compliant	All programme evaluation decisions will be made against appropriate and clearly stated criteria and conforming evidence requirements in direct alignment to the SAQA policy and criteria guidelines
4	Validation and Verification	Continuous, rigorous validation and verification of programme evaluation will be followed in order to ensure provider ethics, thereby protecting the interest of the learners and the sector at large
5	Development for quality and continuous improvement	The programme evaluation process is a supportive, developmental process that encourages continuous improvement of provider practices towards total quality provision

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¹ Refer to SAQA Criteria & Guidelines of providers for further information

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ETQA Operational Principles, Continued

Confidentiality Agreement

- Theta ETQA recognizes the provider's right to confidentiality and protection of intellectual property.
 - Theta ETQA Evaluation Team Members will, at the discretion of the provider, be willing to sign Confidentiality Agreements prior to the Programme Evaluation Review.
 - The confidentiality agreement will list the document/product/services that is sensitive and as such the ETQA Team will treat it with absolute confidence.
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Foundational Principles

Foundational Criteria for Evaluation:

1. Programme Evaluation criteria, evidence and process must always reflect the **ETQA mandate** to ensure learner support, sustainability, and quality of learning.
 2. It is an underlying principle to all programme evaluation in whatsoever partnership that a **unit standard is an indivisible unit**, and programmes will not be approved or registered for parts of a unit standard, irrespective of the relationship and /or purpose of the learning programme.
 3. Although the Theta ETQA advocates a **standard set of evidence criteria and process of evaluation**, we also recognize the complexities and diverse needs of the sector in the application of learning interventions. It is therefore necessary to recognize the nuances of evidence that may be needed in the evaluation process.
 4. Programme evaluation is **results focused, not process focused**. Should evidence be presented in forms alternative to the guidelines and formats of the ETQA, such evidence will be evaluated against the criteria for programme evaluation.
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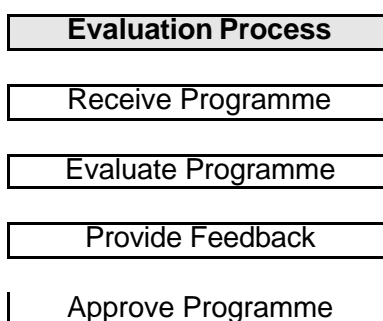
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ETQA Operational Principles, Continued

Process of Evaluation

The following process of programme evaluation will be followed in Theta:



No	Process	Procedure	Resource	Who
Application Process				
1	Prepare Programme	1. Complete programme evaluation documents	<ul style="list-style-type: none"> Criteria & Guidelines for Programme Evaluation Self Evaluation Checklist 	Provider
		2. Compile programme evaluation pack	<ul style="list-style-type: none"> Application Form 	Provider
2	Submit programme	3. Submit to ETQA	<ul style="list-style-type: none"> Comm. Log 	Provider
Evaluation Process				
3	Receive Programme	4. Acknowledge receipt of programme	<ul style="list-style-type: none"> Standard Letter 	Personal Assistant
		5. Submit to Programme Administrator	<ul style="list-style-type: none"> 	Personal Assistant
4	Evaluate programme	6. Review programme evidence	<ul style="list-style-type: none"> Self Evaluation Checklist Evaluation Checklists 	Programme Administrator

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ETQA Operational Principles, Continued

Continued ... Process of Evaluation

No	Process	Procedure	Resource	Who
		7. Draft Evaluation Reports	<ul style="list-style-type: none"> Programme Evaluation Reports 	Programme Administrator
		8. Log programme status	<ul style="list-style-type: none"> Database 	Programme Administrator
5	Provide feedback to provider	9. Forward report to provider	<ul style="list-style-type: none"> Programme Evaluation Reports 	Programme Administrator
		10. Request additional evidence, where required	<ul style="list-style-type: none"> Standard letter 	Programme Administrator
		11. Review additional evidence, where required	<ul style="list-style-type: none"> Programme Evaluation Reports 	Programme Administrator
6	Approve programme	12. Add programme scope to provider scope	<ul style="list-style-type: none"> Standard letter 	Programme Administrator
		13. Communicate additional scope to provider, web-site and database	<ul style="list-style-type: none"> Web-site 	Personal Administrator

Use of Evaluation Teams

Evaluation teams may be contracted at the discretion of the Programme Administrator at an hourly rate and / or per programme to evaluate programmes and recommend an appropriate status.

The Evaluation Team will perform its contracted duties under the supervision of the Programme Administrator, and will not act in an independent capacity by:

- Deciding on the final evaluation of a learning programme
- Liaising with providers and/or stakeholders on programme status
- Signing off an final evaluation status report

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Provider Operational Principles

Accreditation Requirements Requirements of accreditation for learning programme interventions are as follows:

<i>Intervention Activity</i>	<i>Accreditation Status Required</i>
<ul style="list-style-type: none"> • Design of learning programmes 	<ul style="list-style-type: none"> • Registration or licensed status
<ul style="list-style-type: none"> • Development of learning programme material 	<ul style="list-style-type: none"> • Registration or licensed status
<ul style="list-style-type: none"> • Management of a learning programme 	<ul style="list-style-type: none"> • Registration or licensed status
<ul style="list-style-type: none"> • Delivery 	<ul style="list-style-type: none"> • Accredited as a delivery provider, in partnership with an assessment provider
<ul style="list-style-type: none"> • Assessment 	<ul style="list-style-type: none"> • Accredited as an assessment provider, in partnership with a delivery provider
<ul style="list-style-type: none"> • Deliver and assess learning programme 	<ul style="list-style-type: none"> • Accredited as a full provider with an accredited ETQA
<ul style="list-style-type: none"> • Licensed Use of an approved programme 	<ul style="list-style-type: none"> • Licensed as a provision partner

Evidence Requirements The following evidence requirements are standard and generic across the evaluation of all learning programmes in Theta - regardless of provider, context or purpose:

- Programme Strategy / Assessment Strategy
- Implementation Evidence (curriculum, facilitators guide, learner guide etc.)
- Assessment Guide
- Samples of learner material

Additional, supporting evidence may be required at the discretion of the Programme Administrator, depending on the context within which evaluation is required.

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Policy Maintenance

Quality Assurance

All provider management processes must be documented within the ETQA. All Phase B provider application evaluations must be completed within 60 days of initiation with the ETQA.

Indicators	Description
<p>Quarterly Report (Quantitative & Qualitative Data): Stats Analysis of time taken & totals approved</p> <p>Exec Summary of provider feedback, analysis between self & ETQA evaluation, appeals stats and results,</p> <p>Stats Moderation Reports</p>	<ul style="list-style-type: none"> • Number of provider appeals and/or complaints • Number of provider programme evaluation refusals, and reasons thereof • Time frames for programme evaluations, extensions, appeals and de-registration

Policy Review

An annual review will be done of the policy and position stated herein by the ETQA Manager, and recommendations will be reviewed, documented and implemented.

Non-Conformance

The following actions will be regarded as a non-conformance:

Provider:

- Non-conformance to the criteria requirements of the programme evaluation policy
- Provision in contradiction to the scope and evidence approved by the THETA ETQA

ETQA:

- Non-conformance to the practice, process and evidence requirements as stipulated within this policy

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Policy Maintenance, Continued

Continuous Improvement

Purpose / Goal

Continuous improvement will be aimed at ensuring the following:

- Creating a streamlined, user-friendly process of evaluation that
- complies to SAQA requirements
- Provides the ETQA all relevant evidence for evaluation purposes
- Upholds the quality of provision

Sources of Information

Provider requests and complaints / appeals
Yearly / 6 monthly review of appeals and reports
20% structured provider feedback

A yearly audit will be conducted by the ETQA Advisor and Programme Administrator, and random input for the improvement of processes will be obtained from key stakeholders.

The nature of the Audit and Input will be to determine:

- problems encountered in the Programme Evaluation and Management System of Theta,
- Possible improvements in system, documents, staff expertise and turn around times

Process of Change

- Initiate change request
- Present change for consensus
- Make changes
- Re-distribute
- Implement

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