

Policy Document SSM1 : SGB Management



Table of Contents

Policy Overview.....	2
ETQA Operational Principles.....	3
SGB Operational Principles.....	3

Issue Date	28 November 2003	Version	1	Page 1 of 11
Review Date	28 November 2004	Last Review	22 November 2003	Created by Leone Whateley

Policy Document SSM1 : SGB Management



Policy Overview

Policy Purpose The purpose of this policy document is to inform all THETA staff, SGB members, and external stakeholders of the management relationship between THETA and its related SGB's, and the roles, responsibilities, duties and expectations of each party within the relationship.

Legal Basis ETQA Regulations
Facilitate standard setting

Policy Statement In order to facilitate standard setting and generation within the THETA constituency, THETA shall **assist** in the **facilitation and funding** of the SGB's operating within its legislated sector scope.

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

Legislative Role and Mandate¹ **An SGB shall:**

- generate qualifications and standards
- update and review standards
- recommend qualifications and standards to NSBs
- recommend criteria for the registration of assessors and moderators or moderating bodies
- perform such other functions as may from time to time be delegated by its NSB

Continued on next page

¹ NSB Regulations, SGB Regulations

Issue Date	28 November 2003	Version	1	Page 2 of 11
Review Date	28 November 2004	Last Review	22 November 2003	Created by Leone Whateley

Policy Document SSM1 : SGB Management



Policy Overview, Continued

Roles and Responsibilities The following roles and responsibilities are applicable to each party within the SGB/THETA relationship:

No	THETA	SGB
Management Activities		
1.	Facilitate drafting and approval of Business Plan	Draft and submit Business Plan for funding approval
2.	Monitor and report to THETA on SGB Business Plan activities and budget	Manage SGB Business Plan activities & budget
3.	Manage SGB expenditure requests as per approved budget	Manage and approve SGB expenditure within the THETA allocated budget
Operational Activities		
4.	Facilitate set up and induction of approved working groups	Determine need for, set up and induction of approved working groups as per requirements of the SGB brief
5.	Facilitate liaison between SGB and approved Working Groups	Manage approved SGB Working Group activities and expenditure
6.	Facilitate appeals on behalf of the SGB	Manage appeals through the THETA ETQA Appeals Process
Standard Setting Activities		
7.	Manage Consultants' contracts, payments and Terms of References where applicable	Manage Consultants' work progress and deliverables as per Terms of Reference
8.	Facilitate submission of standards and qualifications to the NSB for registration purposes	Recommend standards and qualifications for registration to NSB
9.	Facilitate public comment on submissions between the SGB and SAQA	Respond on public comments to NSB and SAQA
Communication Activities		
10.	Maintain THETA qualifications framework	Maintain SGB draft working documents
11.	Communicate registration of new standards and qualifications to the relevant ETQA's	Make recommendation as to the standards and qualification ownership on registration
12.	Maintain SGB Web page on THETA web-site	Advise on and monitor SGB web page communication

Continued on next page

Issue Date	28 November 2003	Version	1	Page 3 of 11
Review Date	28 November 2004	Last Review	22 November 2003	Created by Leone Whateley

Policy Document SSM1 : SGB Management



Policy Overview, Continued

Continued Roles and Responsibilities

No	THETA	SGB
Administrative Activities		
13.	Facilitate logistics around meetings on behalf of SGB	Record and distribute minutes of meetings
14.	Facilitate process of defunct member replacements and new member appointments	Manage member attendance and work performance, and recommend new member appointments to NSB

Recognised SGB's

The following registered SGB's are included in this operational policy:

1. Tourism, Travel and Hospitality
 2. Tourism and Adventure Guiding
 3. Conservation
 4. Sport
 5. Recreation and Fitness
-

Extension of SGB's

Any other SGB's forming within the THETA legislated scope, will not automatically be included by the THETA in its **facilitation and funding** assistance.

Formal application for consideration to be included in facilitation and/or funding must be made to THETA in this regard, to be considered by the THETA Board.

Appeals

Issue Date	28 November 2003	Version	1	Page 4 of 11
Review Date	28 November 2004	Last Review	22 November 2003	Created by Leone Whateley

ETQA Operational Principles

SGB Autonomy

THETA recognizes the autonomy of the SGB as a legislated body² separate from THETA, governed by its own operational principles.

THETA therefore shall not at any time:

1. Own the **standard setting** or **qualification scoping** process apart from or on behalf of the SGB
 2. Prescribe to the SGB in terms of its **operations** or **content** related matters regarding **standard setting**,
 3. Override an **SGB process or decision** in terms of its legislated brief and Business Plan activities
-

Principles of Operation

Role of management and facilitation

Once a standard is registered on the framework, the SGB liaison officer will inform the ETQA advisor accordingly. The application process to place the new qualification on the ETQA scope will then be followed

² NSB Regulations, SGB Regulations

Issue Date	28 November 2003	Version	1	Page 5 of 11
Review Date	28 November 2004	Last Review	22 November 2003	Created by Leone Whateley

SGB Operational Principles

Business Plan Submission In order to access funding from the THETA Business Plan, an SGB Business Plan must be submitted to the THETA ETQA Manager on a yearly basis, outlining the following:

1. Outstanding SGB Brief
2. Progress Report of the previous year's activities in relation to eth brief
3. Implementation Plan for the new year in relation to the outstanding brief
4. Proposed cost of the SGB activities
5. Plans for additional funding

Principles of Operation The SGB Business Plan must be submitted before February of each year in order to access funding through the THETA in the financial year.

No funding will be released by THETA in the absence of an approved Business Plan, or for activities not stipulated in the Business Plan.

Facilitators The SGB may budget for the use of Facilitators in its annual Business Plan.

No additional costing for SGB Facilitators outside of the approved Business Plan will be funded by THETA.

Procurement *Criteria for Procurement:*

- Cost, quality and value for money will be taken into account when evaluating
- Applications for procurement of a service provider from the SGB
- Preference will be given to small, medium and micro enterprises, as well as independent Practitioners not attached to an organization
- Prior experience and recognized expertise of the service provider in standard setting activities.

Procurement of service providers are subject to the THETA Procurement Policy, as per the following stipulations:

No	Level of Procurement	Evidence Requirements
1	No quotes are required for orders of up to R 5,000.00	SGB Request for procurement Terms of Reference and Contract

Issue Date	28 November 2003	Version	1	Page 6 of 11
Review Date	28 November 2004	Last Review	22 November 2003	Created by Leone Whateley

Policy Document SSM1 : SGB Management



2	Three quotes are required for orders from R 5,000.01 to R 150,000.00	Request for Quotation and three quotes in response Authorization by Executive Officer and Chairperson of the Authority
3	For orders from R 150,000.01 to R 750,000.00, three vendors must tender, and the Executive Officer may decide to advertise more widely	Three tenders Tender Committee review Executive Officer Authorization
4		

Meetings

The SGB will meet at least 4 times a year to:

- Review its activities in terms of the Business Plan
- Consolidate working group activities

Working groups

1. Working Groups are **not a recognized, legislated extension** of the SGB.
2. THETA therefore will not fund Working Group activities outside of the approved SGB budget
3. Working Groups will be set up on the discretion of the SGB in accordance with requirements of their brief
4. The SGB will remain responsible at all times for the **activities and expenditure** of the Working Groups under their legislated operational area.

Continued on next page

Issue Date	28 November 2003	Version	1	Page 7 of 11
Review Date	28 November 2004	Last Review	22 November 2003	Created by Leone Whateley

SGB Operational Principles, Continued

Principles of Standard Generation

Process of Standard Generation

SGB Composition

The **appointment of SGB members** and **composition of the SGB** is an NSB regulatory activity³, and as such is excluded from THETA's scope of activities.

THETA will not influence or recommend the appointment of SGB members, but rather assist in facilitating the process through the NSB channels.

³ NSB Regulations, SGB Regulations

Issue Date	28 November 2003	Version	1	Page 8 of 11
Review Date	28 November 2004	Last Review	22 November 2003	Created by Leone Whateley

Policy Document SSM1 : SGB Management



SGB Funding Principles

Principles of Funding

1. The Authority shall provide **limited funding** for the activities of specified Standards Generating Bodies:
 - where such requirements exist,
 - subject to the availability of funds and a method of financing
 - developed in conjunction with the relevant Standards Generating Body
 - agreed to between the THETA and the SGB
 2. In essence, **SGBs are self-funded**, and will remain responsible for securing additional funds for their activities.
 3. THETA will **not** be responsible for **all funding activities** of the SGB's,
 4. Any **procurement** of external services to be funded by THETA in terms of the SGB Approved Business Plan shall be managed through the **THETA Procurement Policy**
 - 5.
-

Exclusions from THETA Funding

The following **areas of expenditure falls outside** of the **THETA scope of expenditure**:

1. Attendance fees for meetings will be paid by THETA.
2. Bar accounts and private telephone calls
3. Consultants procured without THETA approval or outside of THETA procurement process
- 4.

Funding Approval

The following **criteria** will be used to evaluate SGB funding applications:

No	Funding Principle
1.	Expenditure relating to the following deliverables during the start-up, consultation, application and production phases will be considered for funding: <ol style="list-style-type: none"> 1. advertising the proposed establishment of an SGB and its brief, 2. calling for nominations to serve on the SGB 3. capacity building regarding writing of standards and qualifications 4. scoping exercise and systems analysis to decide on proposed standards and qualifications 5. consultation with key stakeholders and interest groups and experts

Issue Date	28 November 2003	Version	1	Page 9 of 11
Review Date	28 November 2004	Last Review	22 November 2003	Created by Leone Whateley

Policy Document SSM1 : SGB Management



2.	Expenditure relating to the following administrative expenditure will be considered for funding: 1. Accommodation expenses 2. Transport and subsistence 3. Postage 4. Advertisements 5. Consultancy Fees: Training 6. Consultancy Fees: Qualification Scoping 7. Printing
3.	

Issue Date	28 November 2003	Version	1	Page 10 of 11
Review Date	28 November 2004	Last Review	22 November 2003	Created by Leone Whateley

Policy Document SSM1 : SGB Management



Policy Maintenance

Quality Assurance

This particular process will be monitored annually by the ETQA Department, using the following indicators

Indicators	Description
<ul style="list-style-type: none"> Number of sector appeals and/or complaints 	<ul style="list-style-type: none"> Annual SGB Status Report
<ul style="list-style-type: none"> Number of THETA complaints 	
<ul style="list-style-type: none"> Time frames for standard generation, standard review, standard 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.

Continuous Improvement

A yearly audit will be conducted by the **ETQA Advisor and SGB Co-ordinator**, 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 Standards generating process and Management System of Theta,
 - Possible improvements in system, documents, staff expertise and turn around times
-

Non-Conformance

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

Provider:

-

ETQA:

-
-

Issue Date	28 November 2003	Version	1	Page 11 of 11
Review Date	28 November 2004	Last Review	22 November 2003	Created by Leone Whateley