



# **SOUTH AFRICAN QUALIFICATIONS AUTHORITY**

## **OPERATIONAL PLAN FOR THE 2011/12 FINANCIAL YEAR**

***September 2010***



**INVESTOR IN PEOPLE**

# OPERATIONAL PLAN FOR THE 2011/12 FINANCIAL YEAR



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## OPERATIONAL PLAN:

### Programme 1: Administration and Support

This programme covers the activities of the *Executive Office* and the following Directorates: *Finance and Administration, Human Resources, Information Technology, Strategic Support, International Liaison, Advocacy, and Career Advice Services.*

#### Programme 1.1: Executive Office:

The Executive Office (EO) is responsible for the overall performance of the organisation, but is also specifically responsible for programmes relating to management of relationships with the NQF partners both nationally and internationally, providing a career advice service, as well as effective corporate governance throughout the organisation.

#### ***Strategic Objectives linked to the Executive Office:***

- 3.1 Advise the Minister, and inform policy-makers and make recommendations on all NQF matters [Section (13) (1) (b)];
- 3.2 Position SAQA as the oversight body and guardian of NQF values and coordinate an effective public NQF advocacy and communication strategy [Sections (13) (1) (a), (f) and (n) and (11) (a-c)];
- 3.3 Engage proactively, and coordinate the work of NQF partners to ensure systemic coherence, articulation and implementation [Section (13) (1) (e – f)];
- 3.10 Advance lifelong learning through credit accumulation and transfer, recognition of prior learning, and career advice services [Section (13) (h)(3)];
- 3.13 Ensure effective governance and the aligned development of human, financial and infra-structural resources, to support the achievement of the organisational objectives [Section (13) (n) (iii) PFMA, legislative and governance requirements]

	KEY OBJECTIVE	ACTIVITIES	PERFORMANCE INDICATORS	TIME-FRAME
1.	Advise the Minister, inform policy-makers , make recommendations on all NQF matters, position SAQA as the oversight body and guardian of NQF values and coordinate an effective public NQF advocacy and communication strategy; Engage proactively, and coordinate the work of NQF partners to ensure systemic coherence, articulation and implementation.	Encourage and engage key stakeholders in the new NQF landscape, to ensure critical and constructive debate of alternatives that will ensure that the benefits of the NQF are available to all learners in South Africa.	Maintain at least three formal partnerships with key stakeholders.	Quarterly.
		Build strategic relationships and allies through lobbying relevant stakeholders to ensure that the benefits of the NQF are understood and advanced.	Host / participate in at least 3 events aimed at ensuring constructive debate.	Quarterly.
		Support and engage the principal i.e. the Department of Higher Education and Training to ensure SAQA's support in the delivery of their strategic objectives and prevent unnecessary emergence of conflict.	Have at least 3 interactions with the Department of Higher Education and Training, aimed at supporting them in the delivery of their mandates.	Quarterly.
		Strengthen the NQF through representation on bodies that can build and support SAQA's initiatives effectively.	Represent SAQA effectively on at least 3 key bodies.	Quarterly.
2.	Advance lifelong learning through the establishment of an independent career development helpline to support the implementation of the National Qualifications Framework, the National Skills Development Strategy and the National Human Resource Development Strategy.	Enhance the contact management system and expand staff by at least 50%.	The contact management system operates at optimal level.	Quarterly.
			The staff complement in the helpline is expanded by at least 50 %.	Quarterly.
		Build an initial network of career advisors that will advise the deep rural and poor communities.	The career advice network is initiated with Limpopo being the focus area.	End 4 <sup>th</sup> quarter.
		Create and distribute offline (media) materials to at least 50% of the FET Colleges.	Offline (media) materials are developed and ready for distribution.	End 2 <sup>nd</sup> quarter.
			Materials are distributed to at least 50% of the FET Colleges.	End 4 <sup>th</sup> quarter.
		Enhance the content of the website through enhanced web technologies.	The website is enhanced, is user friendly, and functions at optimal level.	Quarterly.
		Provide selected exhibitions, attended by SAQA, with Career Advice support.	Staff from the helpline assists during SAQA selected exhibitions and Career Advice	Quarterly.

			material is available for distribution during exhibitions.	
	<b>KEY OBJECTIVE</b>	<b>ACTIVITIES</b>	<b>PERFORMANCE INDICATORS</b>	<b>TIME-FRAME</b>
3.	Facilitate effective and good corporate governance throughout the organization and provide support to the Board and Management of SAQA.	<u>Establish and implement systems to ensure the effective functioning of the Board</u> Compile a Board Plan and associated budget with due regard of reporting requirements (PFMA) as well as operational requirements.	The Board Plan and associated budget is compiled with due regard of reporting requirements (PFMA) as well as operational requirements, submitted to and approved by the Board.	End 2 <sup>nd</sup> quarter.
		Provide the Board and Board Committees with effective and accurate documentation as well as appropriate logistical support	The Board and Board Committees are provided with effective and accurate documentation (Agendas, Minutes and Decision and Action Lists) as well as reliable, appropriate, and cost-effective logistical support	Monthly.
		<u>Facilitate good corporate governance</u> Ensure the induction of newly appointed directors	Newly appointed directors are initiated into the governance structures and operations of SAQA.	As required.
		Facilitate an annual assessment of the Board, Board Committees as well as individual directors	A review of the performance of Board, Board Committees as well as individual directors is conducted	3 <sup>rd</sup> quarter.
		Ensure that an annual review the Charters and Terms of reference of the Board and Board Committees is conducted.	The Charters and Terms of reference of the Board and Board Committees are reviewed	4 <sup>th</sup> quarter.
		<u>Provide support to Management</u> Communicate and monitor implementation Board decisions and actions.	Board decisions are implemented and actions are taken as required	Monthly.
		Compile text for the quarterly report and facilitate timeous submission to DHET	The quarterly report is compiled and submission to DHET is facilitated	Quarterly.
		Maintain the Policy Review Schedule and facilitate maintenance and review of SAQA Policies.	SAQA Policies are reviewed prior to expiry in accordance with the Policy Review Process Schedule.	According to Policy Review Process schedule.
		A register is established and maintained according to which all the Executive Office Contracts are managed and if applicable re-negotiated prior to expiry.	All SAQA Contracts are registered on the Contracts schedule, are managed, and re-negotiated prior to expiry, if applicable.	Monthly.

		Monitor and report on Enterprise Risk Management twice during the year	A report with regard to the progress with regard to Enterprise Risk Management is prepared and submitted to the relevant structures.	End 2 <sup>nd</sup> and 4 <sup>th</sup> quarters.
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The International Liaison Directorate contributes to the development of a world class NQF for South Africa through collaboration with international partners on matters concerning qualifications frameworks.

**Strategic Objectives linked to International Liaison:**

- 3.1 Advise the Minister and inform policymakers and make recommendations on all NQF matters [Section (13) (1) (b)];
- 3.3 Engage proactively, and coordinate the work of NQF partners to ensure systemic coherence, articulation and implementation [Section (13) (1) (e – f)];
- 3.6 Conduct or commission research together with research partners, and publish reports on issues of importance to the development and implementation of the NQF, including periodic studies of the impact of the NQF [Section (13) (1) (k)]; and
- 3.8 Collaborate with SAQA’s international counterparts regarding qualifications frameworks and keep its NQF partners informed regarding international practices [Section (13) (1) (j)].

	KEY OBJECTIVE	ACTIVITIES	PERFORMANCE INDICATORS	TIME-FRAME
1.	Strengthen the NQF through representation on international bodies that can build and support SAQA’s initiatives effectively.	SAQA is represented on the SADC qualifications technical committee and makes a meaningful contribution to the development of the SADC regional qualifications framework.	SAQA makes a meaningful contribution to the development of the SADC regional qualifications framework.	End of 4 <sup>th</sup> quarter.
			Pilot on SADC Qualifications Portal is completed.	End of 2 <sup>nd</sup> quarter.
		Explore the potential to collaborate with a BRIC Country.	SAQA participates in the SADC technical committee meetings.	End of 4 <sup>th</sup> quarter.
		Explore the potential to collaborate with a BRIC Country.	Explore the potential to collaborate with a BRIC Country.	End of 4 <sup>th</sup> quarter.
2.	Inform SAQA, the QCs, and other interested parties about international practice in the development and management of	Develop a system of sharing leading practice with the QCs to inform them on a regular basis about international developments, including	The NQF Forum is briefed at its quarterly meetings regarding international leading practice.	Quarterly.

	KEY OBJECTIVE	ACTIVITIES	PERFORMANCE INDICATORS	TIME-FRAME
	qualifications frameworks, including quality assurance and standards setting.	the NQF Forum and at least one workshop/symposium.	At least one workshop/symposium is arranged to brief NQF partners on current and relevant international developments.	End of 4 <sup>th</sup> quarter.
3.	Identify and contribute to new and critical thinking related to qualifications frameworks.	SAQA is involved in at least one international qualifications framework research initiative in Africa.	SAQA conducts international research, at the request of international agencies, or at the request of the NQF Forum.	End of 4 <sup>th</sup> quarter.
3. ( <i>ctd</i> )	Identify and contribute to new and critical thinking related to qualifications frameworks ( <i>ctd</i> ).	SAQA contributes to the international NQF discourse through participation in at least two international conferences.	SAQA delivers papers at, at least two, international conferences.	End of 4 <sup>th</sup> quarter.
		At least two papers are published in accredited journals.	SAQA publishes two papers in accredited journals.	End of 2 <sup>nd</sup> quarter and End of 4 <sup>th</sup> quarter.
4.	Collaboration with countries and regions requesting assistance in developing qualifications frameworks.	SAQA co-operates with at least two international qualifications agencies to do capacity building and share leading practice.	SAQA, on request, provides technical support to two international qualifications agencies.	End of 4 <sup>th</sup> quarter.
		A programme is developed to host study visits, including support to SADC countries by hosting at least one attachment / secondment per year.	SAQA hosts at least one attachment / secondment in support of SADC Countries.	End of 4 <sup>th</sup> quarter.

**Programme 1.2: Finance and Administration:**

The Finance and Administration Directorate is responsible to ensure effective governance and the aligned development of financial and infrastructural resources to support the achievement of organisational objectives

**Strategic Objectives linked to Finance and Administration:**

3.13 Ensure effective governance and the aligned development of human, financial and infra-structural resources, to support the achievement of the organisational objectives [Section (13) (n) (iii) PFMA, legislative and governance requirements)].

	KEY OBJECTIVE	ACTIVITIES	PERFORMANCE INDICATORS	TIME-FRAME
1.	Support strategic decision making through financial scenario planning, budgeting and maintaining effective and efficient financial management.	Generate 3 budget scenarios for the strategic plan.	Generate 3 budget scenarios for the strategic plan.	2 <sup>nd</sup> qtr.
		Receive an unqualified audit report.	Receive an unqualified audit report.	1 <sup>st</sup> qtr.
		Produce Monthly Management Accounts.	Produce Monthly Management Accounts.	Monthly.
		Ensure that Finance Policies and procedures are in place and reviewed regularly, with a minimum of at least once in every three year cycle.	Ensure that Finance Policies and procedures are in place and reviewed regularly, with a minimum of at least once in every three year cycle.	According to Policy Review Process schedule.
		Annually facilitate, in accordance with the rolling three year internal audit plan, a risk based internal audit.	A risk based internal audit is conducted in accordance with the internal audit plan	2 <sup>nd</sup> and 4 <sup>th</sup> quarter.
2.	Effectively operate a cash management system that ensures adequate cash flow that enables the organisation to meet all commitments in respect of the execution of operations timeously.	Maintain a positive cash flow at all times.	Maintain a positive cash flow at all times.	Daily.
		Maintain good relationships with donors and departmental finance officials.	Maintain good relationships with donors and departmental finance officials.	2 <sup>nd</sup> quarter 4 <sup>th</sup> quarter.
		Additional funding secured for specific projects.	Additional funding secured for specific projects.	As required.
		Creditors are paid timeously as per National Treasury Regulations.	Creditors are paid timeously as per National Treasury Regulations.	Monthly.
3.	Effectively monitor and control the procurement operations to ensure that proper authorisation has been obtained and the correct procedure followed in the procurement of goods and services.	Procurement Policies and procedures are in place and monitored regularly, with a minimum of at least once in every three year cycle.	Procurement policies and procedures are in place and monitored regularly, with a minimum of at least once in every three year cycle.	According to Policy Review Process schedule.



	KEY OBJECTIVE	ACTIVITIES	PERFORMANCE INDICATORS	TIME-FRAME
3. (ctd)	Effectively monitor and control the procurement operations to ensure that proper authorisation has been obtained and the correct procedure followed in the procurement of goods and services (ctd).	CFO is to ensure that all documentation is in place prior to payment of suppliers.	CFO is to ensure that all documentation is in place prior to payment of suppliers.	Monthly.
		Receive unqualified audit reports.	Receive unqualified audit reports.	1 <sup>st</sup> quarter.
		Review major contracts with service providers on an annual basis.	Review major contracts with service providers on an annual basis.	Quarterly.
4.	Facilitate the occupational health and safety of SAQA staff and the SAQA House.	SAQA meets health and safety requirements. Annually review health and safety issues in the SAQA house building.	Annually review health and safety issues in the SAQA house building.	End 4 <sup>th</sup> quarter
			Occupational Health and Safety Committee meets twice per annum.	2 <sup>nd</sup> quarter 4 <sup>th</sup> quarter.
			Regular maintenance of assets takes place.	Monthly.
5.	Facilities management and safeguarding the staff and assets of SAQA.	SAQA's assets are secure and operational.	Maintenance of fixed assets register on a monthly basis.	Monthly.
			Ensure working access control system.	Daily.
6.	Maintain an effective and efficient system that ensures accurate recording of financial information and relevant and timeous reporting of the results of operational activities, meeting all legislative requirements and donor relationships.	Segregation of duties between capturing and posting of transactions on the accounting system to ensure accuracy.	Segregation of duties between capturing and posting of transactions on the accounting system to ensure accuracy.	Daily.
			Outstanding Purchase Order reports printed and followed up on at least quarterly.	Quarterly.
			Monthly and quarterly financial information and reports are produced and presented.	Monthly.
			Quarterly reports to JIP Funded projects.	Quarterly.
7.	Train and assist staff to understand and use financial systems, information and reports (includes King III, PFMA, PPPFA, & Treasury regulations and updates).	Senior staff is able to prepare annual budgets and explain budget variances on a monthly basis.	Senior staff is able to prepare annual budgets and explain budget variances on a monthly basis.	2 <sup>nd</sup> quarter.
			Conduct appropriate training for both financial and non-financial staff at least twice per year.	2 <sup>nd</sup> quarter 4 <sup>th</sup> quarter.

**Programme 1.3: Human Resource:**

The Human Resource Directorate is responsible to provide Strategic and Operational Human Resources Support to embrace diversity, environmental sustainability, social justice and contribute towards the delivery of SAQA's mandate

**Strategic Objectives linked to Human Resource Management:**

3.13. Ensure effective governance and the aligned development of human, financial and infra-structural resources, to support the achievement of the organisational objectives [Section (13) (n) (iii) PFMA, legislative and governance requirements].

	KEY OBJECTIVE	ACTIVITIES	PERFORMANCE INDICATORS	TIMEFRAME
1.	Provide organisational development and staffing support.	Measured annually, vacant positions are filled with adequately qualified staff within four months of activation of vacancies on average.	80% of vacancies filled with adequately qualified staff within four months of activation of vacancies on average.	As required.
		Conduct job evaluations and job grading interventions when new jobs are created or the content changes.	Conduct job evaluations and job grading interventions when new jobs are created or the content changes.	End 1 <sup>st</sup> quarter.
2.	Establish a performance and recognition culture through a performance management system enhanced by appropriate learning and development interventions.	Conduct a review of the Broadbanding system and make appropriate changes to the policy and guidelines documents.	The Broadbanding system is reviewed and appropriate changes are made to the policy and guidelines documents..	3 <sup>rd</sup> quarter.
		Analyse personal development plans submitted by line managers to identify common training needs and co-ordinate learning interventions as and when required and/or justified by the volumes and monitor that personal development plans are being implemented by line managers according to the relevant training schedules.	Personal development plans submitted by line managers are analysed to identify common training needs and co-ordinate learning interventions as and when required and/or justified by the volumes and monitor that personal development plans are being implemented by line managers according to the relevant training schedules.	2 <sup>nd</sup> quarter.

	KEY OBJECTIVE	ACTIVITIES	PERFORMANCE INDICATORS	TIMEFRAME
		Facilitate group and/or one-on-one discussions with line managers to ensure that the Investors In People (IIP) Standards are well understood and “top of mind” and that an awareness exists to relate these to actual interactions with staff.	Group and/or one-on-one discussions with line managers are facilitated to ensure that the Investors In People (IIP) Standards are well understood and “top of mind” and that an awareness exists to relate these to actual interactions with staff.	3 <sup>rd</sup> quarter.
3.	Establish and maintain fair and affordable remunerations and benefit structure that are market related and will attract and retain suitable staff, who will contribute towards delivery of SAQA’s mandate.	Benchmark remuneration and benefits structure with comparable organisations and market factors during the first quarter of the year.	The remuneration and benefits structure is benchmarked with comparable organisations and market factors.	1 <sup>st</sup> quarter.
		Initiate discussions with union representatives to ensure better understanding of the SAQA budgeting and governance processes. Involve union representatives in early preparation stages towards budgeting inputs. Propose alternative system for Directors and Deputy Directors to replace salary negotiations with SAQA Staff Association.	Discussions are initiated with union representatives to ensure better understanding of the SAQA budgeting and governance processes. Union representatives are involved in early preparation stages towards budgeting inputs. An alternative system for Directors and Deputy Directors to replace salary negotiations with SAQA Staff Association is submitted to the relevant decision makers.	2 <sup>nd</sup> quarter.
4.	Instill a caring organisational culture that ensures healthy relationships and labour peace.	Counsel and advise staff and management on the promotion of healthy employer-employee relations, building functional teams and encouraging staff motivation. Ensure that all staff grievances are dealt with as swiftly as possible and within the stipulated time frames.	<i>Individual counseling of managers and staff as required.</i>	As required.
			<i>Build healthy relations and functional teams by ensuring that managers consistently apply the performance management development system.</i>	Quarterly.
			<i>Ensure that all staff grievances are dealt with as swiftly as possible and within the stipulated time frames.</i>	As required.
		Bi monthly meetings are held with employee representatives.	Bi monthly meetings are held with employee representatives.	Bi-monthly.

	KEY OBJECTIVE	ACTIVITIES	PERFORMANCE INDICATORS	TIMEFRAME
		Coordinate Employee Wellness interventions as required. Implement at least two more wellness related interventions in addition to the existing interventions.	Coordinate Employee Wellness interventions as required.	As required.
5.	Ensure that administrative legislative and policy requirements are met by establishing, enhancing and maintaining appropriate systems and procedures.	Co-ordinate the implementation of Employment Equity Strategy through monitoring and quarterly reports.	Implementation of the Employment Equity Strategy is co-ordinated through monitoring and quarterly reporting.	Quarterly.
5. (ctd)	Ensure that administrative legislative and policy requirements are met by establishing, enhancing and maintaining appropriate systems and procedures (ctd).	Provide an effective and efficient support and administration function. Integrate at least two systems in human resource.	Needs of line managers and staff are met through effective and efficient administrative support. At least two systems in human resource have been integrated.	Monthly. 2 <sup>nd</sup> quarter.
		HR Policies are regularly updated as per the policy review schedule and are 100% compliant with relevant legal provisions.	HR Policies are regularly updated as per the policy review schedule and are 100% compliant with relevant legal provisions.	According to Policy Review Process schedule.
		Monitor and provide information and relevant advice to line managers as required on adherence to policy and legal compliance.	Monitor compliance with applicable Legislation and Policies.	Quarterly.
			Advise line managers as required on adherence to applicable legislation and Policies.	As required.
		Provide continuous accurate and accessible information to line managers through Employee Self Service (ESS). Monitor the effective implementation and utilisation of the VIP performance management module.	Provide continuous accurate and accessible information to line managers through Employee Self Service (ESS).	Monthly.

**Programme 1.4: Information Technology:**

The Information Technology Directorate is responsible to ensure effective governance and the aligned development of infrastructural resources to support the achievement of organisational objectives

**Strategic Objectives linked to Information Technology:**

3.13 Ensure effective governance and the aligned development of human, financial and infra-structural resources, to support the achievement of the organisational objectives [Section (13) (n) (iii) PFMA, legislative and governance requirements)].

	KEY OBJECTIVE	ACTIVITIES	PERFORMANCE INDICATORS	TIME-FRAME
1.	Deliver a robust, sustainable secure and responsive technology environment that supports SAQA's mission and objectives.	Review current policies and consolidate into an IT governance policy.	Current policies are consolidated into an It governance policy.	End 4 <sup>th</sup> quarter.
		Test, review and update the Business Continuity Plan at least once per year.	Updated Business Continuity Plan.	End 3 <sup>rd</sup> quarter.
		Provide a reliable, available and stable Technology environment by ensuring that servers are up at least 95% of the time.	Servers are up at least 95% of the time.	Monthly.
		Ensure that full backups are made weekly, that incremental backups are made Mondays to Fridays and that a full backup is stored off-site on a weekly basis.	Signed backup register, indicating that full backups are made weekly, that incremental backups are made Mondays to Fridays and that a full backup is stored off-site on a weekly basis.	Monthly.
		Conduct disaster recovery tests twice per annum.	Report on disaster recovery testing.	End 2 <sup>nd</sup> quarter End 4 <sup>th</sup> quarter.
		Replace hardware that is older than three years and/or no longer efficient.	Hardware that is older than three years and/or no longer efficient is replaced.	End 4 <sup>th</sup> quarter.
		Review and update all IT policies once every three years, ensuring new laws, regulations and rules are not compromised.	Reviewed Policies.	Prior to review date according to Policy Review Process schedule.

	KEY OBJECTIVE	ACTIVITIES	PERFORMANCE INDICATORS	TIME-FRAME
1. (ctd)	Deliver a robust, sustainable secure and responsive technology environment that supports SAQA's mission and objectives (ctd).	Create new policies where appropriate to ensure proper governance.	Approved new Policies.	As required.
		Monitor security systems on a monthly basis to ensure the security- and other systems provide a safe environment for IT systems.	Monthly report indicating that security- and other systems have been monitored.	Monthly.
2.	Acquire, build and integrate modular systems that support the core business and integrate into existing technology (ctd).	Renew all software licenses and maintenance contracts when due.	Contracts and licenses are renewed prior to expiry.	As required.
		Optimise the use of current applications by rolling out new versions and/or patches when these are available and have been proven to be stable.	Software updated by rolling out new versions and/or patches when these are available and have been proven to be stable.	As available.
		If and as required, commission and oversee the integration, development or purchase of innovative applications that support SAQA in achieving its mission and objectives.	Innovative new applications are commissioned, integrated, developed or purchased in support of SAQA's mission and objectives.	As required.
3.	Build a service delivery capability to ensure that the IT infrastructure meets Operation Level Agreements in terms of availability, capacity and service delivery.	Review the Operational Level Agreements annually.	Operational Level Agreements are reviewed annually.	3 <sup>rd</sup> quarter.
		Review and manage all support contracts to ensure agreed service levels have been met, by means of monthly meetings and / or reports.	Support Contracts are reviewed and managed to ensure that agreed service levels are met.	Monthly.
		Report monthly to the EMM on IT services rendered to SAQA Staff, including performance on Helpdesk calls measured against Operational Level Agreements, Internet Availability, Server Availability, printing and security.	Report to EMM on all IT services rendered to SAQA staff, including performance on Helpdesk calls measured against Operational Level Agreements, Internet Availability, Server Availability, printing and security.	Monthly.

**Programme 1.5: NQF Advocacy Initiative:**

The NQF Advocacy Initiative is responsible to inform partners, stakeholders and the public about the NQF,.

**Strategic Objectives linked to the NQF Advocacy Initiative**

- 3.2 Position SAQA as the oversight body and guardian of NQF values and coordinate an effective public NQF advocacy and communication strategy [Sections (13) (1) (a), (f) and (n) and (11) (a-c)]; and
- 3.12 Support targeted education, training and development communities to become effective leaders in NQF leading practices, through providing client focused information services in the implementation of the NQF [Section (11) (a – c)].

	KEY OBJECTIVE	ACTIVITIES	PERFORMANCE INDICATORS	TIMEFRAME
1.	<u>Market Research</u> To undertake appropriate and relevant market research on the target markets to be able to effectively inform the NQF Advocacy Initiative strategy and associated NQF Advocacy interventions.	Target markets are accurately defined, clients' needs and wants clearly established and information is effectively used to inform strategic planning.	Target markets are accurately defined, clients' needs and wants clearly established and information is effectively used to inform strategic planning.	End 2 <sup>nd</sup> quarter.
		Research on NQF advocacy interventions provides valuable insights to inform the strategy as well as direct future interventions.	Research on NQF advocacy interventions provides valuable insights to inform the strategy as well as direct future interventions	End 2 <sup>nd</sup> quarter.
2.	<u>Market Strategy:</u> To review and update the NQF Advocacy Initiative strategy and plans based on input from, stakeholders, research, and environmental scans as well as funding constraints and to establish specific goals and milestones for the project.	Baseline goals and objectives are negotiated with the NQF Partner organisations and formally established in terms of target market selection and target market impact relating to NQF brand awareness, understanding and appreciation.	Baseline goals and objectives are negotiated with the NQF Partner organisations and formally established in terms of target market selection and target market impact relating to NQF brand awareness, understanding and appreciation.	End 1 <sup>st</sup> quarter.
	INTERNAL NQF partner organisation leaders and staff plus SETA leaders and senior staff	NQF Brand awareness 50% NQF Brand understanding 30% NQF Brand appreciation 20%	NQF Brand awareness 50% NQF Brand understanding 30% NQF Brand appreciation 20%	End 4 <sup>th</sup> quarter.

	KEY OBJECTIVE	ACTIVITIES	PERFORMANCE INDICATORS	TIMEFRAME
2. (ctd)	ETD SECTOR Leaders of Schools, colleges, universities, PHEIs and Professional bodies; guidance specialist at above organisations	NQF Brand awareness 25% NQF Brand understanding 10% NQF Brand appreciation 5%	NQF Brand awareness 25% NQF Brand understanding 10% NQF Brand appreciation 5%	End 4 <sup>th</sup> quarter.
	PUBLIC Primary: LSM 1-8, age group 15 -35 PUBLIC Secondary: All citizens and residents of SA needing NQF related information	NQF Brand awareness 3% NQF Brand understanding 0% NQF Brand appreciation 0%	NQF Brand awareness 3% NQF Brand understanding 0% NQF Brand appreciation 0%	End 4 <sup>th</sup> quarter.
3.	<u>MARKET CONTACT</u> To undertake appropriate market contact interventions to support the overall campaign.	<u>Masithethe</u> 80% of all current Ambassadors are active. Evident by the interaction in the networking space created on the NQF Website.	<u>Masithethe</u> 80% of all current Ambassadors are active. Evident by the interaction in the networking space created on the NQF Website.	Monthly.
		50% of all new staff at NQF partner organisations complete the NQF Ambassador workshop and become part of the Ambassador club.	50% of all new staff at NQF partner organisations complete the NQF Ambassador workshop and become part of the Ambassador club.	Quarterly.
		<u>Helpline</u> 95% queries relating to the NQF are dealt with effectively and to the satisfaction of the client. Evident by client satisfaction monitoring.	<u>Helpline</u> 95% queries relating to the NQF are dealt with effectively and to the satisfaction of the client. Evident by client satisfaction monitoring.	Monthly.
		<u>Website</u> The website conceptualized to be developed as the recognised search engine for NQF accredited qualifications and providers and valid and reliable NQF related information in SA.	<u>Website</u> The website conceptualized to be developed as the recognised search engine for NQF accredited qualifications and providers and valid and reliable NQF related information in SA.	End 1 <sup>st</sup> quarter.



**Programme 1.6: Strategic Support:**

The Strategic Support Unit and the NQF Advocacy Project are jointly responsible to inform stakeholders and the public about the NQF, SAQA and related matters.

**Strategic Objectives linked to Strategic Support (Information Services):**

- 3.3 Position SAQA as the oversight body and guardian of NQF values and coordinate an effective public NQF advocacy and communication strategy [Sections (13) (1) (a), (f) and (n) and (11) (a-c)]; and
- 3.13 Support targeted education, training and development communities to become effective leaders in NQF leading practices, through providing client focused information services in the implementation of the NQF [Section (11) (a – c).

	KEY OBJECTIVE	ACTIVITIES	PERFORMANCE INDICATORS	TIMEFRAME
1.	To provide strategic advocacy and communication direction aimed at building and maintaining stakeholder and public awareness, understanding and appreciation of the SAQA brand using various communication methodologies and interventions.	Review, update and assess SAQA’s communication strategy and its effectiveness by means of a survey of selected audiences.	SAQA’s communication strategy is reviewed and updated and its effectiveness assessed by means of a survey of selected audiences.	1 <sup>st</sup> and 2 <sup>nd</sup> quarter.
		Publish at least four newspaper / magazine articles / advertorials with key messages on SAQA and the NQF.	Publish at least four newspaper/magazine articles/advertorials with key messages on SAQA and the NQF.	Quarterly.
		Develop and distribute appropriate promotional material.	Appropriate promotional material is developed and distributed.	Quarterly.
		Grow databases of target audiences to include NGOs and community -based organisations to communicate relevant and specific aspects of the NQF.	Grow databases of target audiences to include NGOs and community-based organisations to communicate relevant and specific aspects of the NQF.	Quarterly.
		Review and implement the action plan with SABC in order to continue using radio and television to reach learners (at least four adverts and news releases/news programmes features).	Review and implement the action plan with SABC in order to continue using radio and television to reach learners (at least four adverts and news releases/news programmes features).	1 <sup>st</sup> quarter. Quarterly.
2.	Provide effective internal communication	Implement internal communications strategy through:		

	KEY OBJECTIVE	ACTIVITIES	PERFORMANCE INDICATORS	TIMEFRAMES
2. <i>(ctd)</i>	Provide effective internal communication <i>(ctd)</i> .	Continue to use the Community Gateway for the internal news letter and to update staff on events and latest publications.	The Community gateway is used as internal communication tool for the internal news letter and to update staff on events and latest publications.	Bi-monthly
		Benchmark and review the effectiveness and appropriateness of Faranani staff meetings as internal communication tool.	The effectiveness of Faranani staff meetings is benchmarked reviewed.	3 <sup>rd</sup> quarter.
		Continue the interactions with directors and the Executive Office on an ongoing basis to identify communication needs.	Continuous interactions are taking place with directors and the Executive Office to identify communication needs.	Bi-monthly
3.	To produce quality, appropriate and targeted publications that effectively and efficiently enhance understanding and implementation as well as build a positive perception of SAQA and the NQF in accordance with the overall plan	Produce the following publications: • 1 Annual Report.	Produce the following publications: • 1 Annual Report.	1 <sup>st</sup> quarter.
		• SAQA Updates, including electronic versions.	• SAQA Updates, including electronic versions.	4-monthly.
		• Conference proceedings as required.	• Conference proceedings as required.	As required.
		• Research publications (at least 2).	• Research publications (at least 2).	As required.
		• Policies and guidelines publications (Financial Policies and Human Resource Policies).	• Policies and guidelines publications (Financial Policies and Human Resource Policies).	As required.
		• Produce promotional material in at least two South African languages (Nguni and Sotho).	• Produce promotional material in at least two South African languages (Nguni and Sotho).	1 <sup>st</sup> quarter 4 <sup>th</sup> quarter.
		Distribute publications and promotional material effectively to relevant audience.	Effectively distribute publications and promotional material to relevant audience.	Quarterly.
4.	To host and participate in strategically selected internal and external events and activities that position SAQA as an organisation that provides intellectual leadership in the further development and implementation of the NQF.	• Host at least eight external and internal events.	• At least eight external and internal events are hosted	Quarterly.
		• Participate in at least eight exhibitions	• Participate in at least eight exhibitions	Quarterly.
		• Visiting international delegations (at least 3).	• Visiting international delegations (at least 3).	As required.

	<b>KEY OBJECTIVE</b>	<b>ACTIVITIES</b>	<b>PERFORMANCE INDICATORS</b>	<b>TIMEFRAMES</b>
5.	Offer quality client services to SAQA clients	Enhance and maintain awareness of the SAQA Client Service Standards.	Awareness of SAQA Client Service Standards is enhanced and maintained	2 <sup>nd</sup> quarter.
		Monitor complaints, and ensure that all complaints are addressed within 5 working days and urgent enquiries are responded to within 48 hours of receipt. This is reported on a weekly basis.	Complaints are monitored, ensuring that all complaints are addressed within 5 working days and urgent enquiries are responded to within 48 hours of receipt. This is reported on a weekly basis.	Monthly.
		Ensure that the SAQA Helpdesk, reception and switchboard are operationally optimised to offer quality service to all SAQA clients.	The SAQA Helpdesk, reception and switchboard are operationally optimised to offer quality service to all SAQA clients.	Monthly.
6.	Grow and improve the capacity building interventions that have been developed to effectively and appropriately facilitate a deep understanding of the NQF and SAQA, in line with the legislation and policy.	Increase the number of learners enrolled for the NQF Support Link learning programmes by at least 400 through market development, penetration and extension as well as learner recruitment.	The number of learners enrolled for the NQF Support Link learning programmes are increased by at least 400 through market development, penetration and extension as well as learner recruitment.	End 4 <sup>th</sup> quarter.
		Offer at least 20 workshops, aimed at supporting learners from targeted audiences (SETAs, FET Colleges, the private sector and members of the public).	At least 20 workshops, aimed at supporting learners from targeted audiences (SETAs, FET Colleges, the private sector and members of the public), are offered.	End 4 <sup>th</sup> quarter.
7.	Grow the NQF website as a communication tool for the NQF Advocacy Campaign, the NQF Support Link, and other NQF related matters.	Update the NQF website with current information on the NQF Advocacy Campaign, the NQF Support Link, and other NQF related matters at least three times per month.	The NQF website is updated with current information on the NQF Advocacy Campaign, the NQF Support Link, and other NQF related matters at least three times per month.	Monthly.
		Update, develop and post new content to address the needs of learners and the public, at least three times per month.	New content to address the needs of learners and the public, is developed, updated and posted, at least three times per month.	Monthly.
		Develop a search functionality that allows members of the public to be able to search and find information on the NQF, skills, and career advice information from other related and credible websites.	A search functionality that allows members of the public to be able to search and find information on the NQF, skills, and career advice information from other related and credible websites is developed.	1 <sup>st</sup> quarter.  Quarterly.

	<b>KEY OBJECTIVE</b>	<b>ACTIVITIES</b>	<b>PERFORMANCE INDICATORS</b>	<b>TIMEFRAMES</b>
8.	Continually maintain and improve the SAQA website and the Community Gateway used for effective internal and external communication.	Increase the subscription to the SAQA alert by 5%, by targeting relevant stakeholders in the field of education and training.	Subscription to the SAQA alert is increased by 5%, by targeting relevant stakeholders in the field of education and training.	3 <sup>rd</sup> quarter.
		Increase the effectiveness and use of the internal portal, the Community Gateway and also ensure that it meets the needs of staff.	The effectiveness and use of the internal portal, the Community Gateway is increased and it meets the needs of staff.	3 <sup>rd</sup> quarter.
9.	Effectively support the NQF-focused work of SAQA through the collection, management and dissemination of high quality information resources and services.	Increase the Resource and Information Centre collection by identifying and acquiring new and relevant information, including at least two new and NQF-relevant topics.	The Resource and Information Centre collection is increased after identifying and acquiring new and relevant information, including at least two new and NQF-relevant topics.	End 4 <sup>th</sup> quarter.
		Identify new sources of information to add to the collection.	Identify new sources of information to add to the collection.	End 4 <sup>th</sup> quarter.
		Continue to add new and up-to-date information on the Resource and Information Centre page in the Community Gateway.	New and up-to-date information is added on the Resource and Information Centre page in the Community Gateway.	Monthly.
		Create, maintain and improve relationships with other libraries, suppliers and service providers through visits and invitations.	Create, maintain and improve relationships with other libraries, suppliers and service providers through visits and invitations.	Quarterly.
		Continually support the NQF Advocacy and career guidance by identifying relevant information for the websites.	Continually support the NQF Advocacy and career guidance by identifying and posting relevant information on the websites.	Bi-monthly.
		Keep staff informed about current developments and changes in legislation and policy, that affect SAQA , the NQF and the QCs.	Staff is informed about current developments and changes in legislation and policy, that affect SAQA , NQF and the QCs.	Monthly.
10.	Implement the File Plan and maintain the use of record management practices within SAQA.	Implement and maintain a well organised records management system.	The records management system is implemented, maintained, and well organized.	End of 4 <sup>th</sup> quarter.

**Programme 1.7: Research:**

The Research Directorate is responsible to advise the Minister of Higher Education and Training, and inform policy-makers and make recommendations on all matters relating to the NQF and education and training in South Africa; conduct/commission research together with research partners, and publish reports on issues of importance to the development and implementation of the NQF, including periodic studies of the impact of the NQF

**Strategic Objectives linked to Research:**

- 3.1 Advise the Minister, and inform policy-makers and make recommendations on all NQF matters [Section (13) (1) (b)];
- 3.6 Conduct or commission research together with research partners, and publish reports on issues of importance to the development and implementation of the NQF, including periodic studies of the impact of the NQF [Section (13) (1) (k)];
- 3.7 Monitor and evaluate education and training across the three sub-frameworks for continuous systemic quality improvement [Sections (5) (3) (a – c), and (11) (a – c)]; and
- 3.10 Advance lifelong learning through credit accumulation and transfer, recognition of prior learning, and career advice services [Section (13) (h) (3)].

	KEY OBJECTIVE	ACTIVITIES	PERFORMANCE INDICATORS	TIMEFRAMES
1.	Advise the Minister and inform policy-makers and make recommendations on all matters relating to the NQF and education and training in South Africa.	Produce analyses and advice (at least two briefing documents, position papers or presentations) relating to at least two of the following: <ul style="list-style-type: none"> <li>• Further developing processes towards consolidation of the National RPL Strategy (expanding and bridging existing islands of excellent RPL practice through various linking initiatives, and research into successful RPL practices).</li> </ul>	Analyses and advice (at least two briefing documents, position papers or presentations) relating to the at least two of the following are developed: <ul style="list-style-type: none"> <li>• Further developing processes towards consolidation of the National RPL Strategy (expanding and bridging existing islands of excellent RPL practice through various linking initiatives, and research into successful RPL practices).</li> </ul>	1 <sup>st</sup> quarter.
		<ul style="list-style-type: none"> <li>• Development of the capacity of FET college lecturers (analysis of FET college lecturer training and knowledge, and recommendations).</li> </ul>	<ul style="list-style-type: none"> <li>• Development of the capacity of FET college lecturers (analysis of FET college lecturer training and knowledge, and recommendations).</li> </ul>	1 <sup>st</sup> quarter.

	KEY OBJECTIVE	ACTIVITIES	PERFORMANCE INDICATORS	TIMEFRAMES
1. (ctd)	Advise the Minister and inform policy-makers and make recommendations on all matters relating to the NQF and education and training in South Africa (ctd).	<ul style="list-style-type: none"> <li>Addressing poverty, energy, and biodiversity loss through research into the development of green skills provisioning (use of first research findings into workplace learning and sustainable development).</li> </ul>	<ul style="list-style-type: none"> <li>Addressing poverty, energy, and biodiversity loss through research into the development of green skills provisioning (use of first research findings into workplace learning and sustainable development).</li> </ul>	2 <sup>nd</sup> quarter.
2.	Conduct/commission research together with research partners, and publish reports on issues of importance to the development and implementation of the NQF, including periodic studies of the impact of the NQF (ctd).	Continued development of research partnerships with universities and other research agencies, and production of at least three reports and/or papers on areas such as:	Continued development of research partnerships with universities and other research agencies, and production of at least three reports and/or papers on areas such as:	4 <sup>th</sup> quarter.
		<ul style="list-style-type: none"> <li>Current RPL practices.</li> </ul>	<ul style="list-style-type: none"> <li>Current RPL practices.</li> </ul>	2 <sup>nd</sup> quarter.
		<ul style="list-style-type: none"> <li>FET College lecturers' training and knowledge (survey).</li> </ul>	<ul style="list-style-type: none"> <li>FET College lecturers' training and knowledge (survey).</li> </ul>	2 <sup>nd</sup> quarter.
		<ul style="list-style-type: none"> <li>Workplace learning and sustainable development: practices.</li> </ul>	<ul style="list-style-type: none"> <li>Workplace learning and sustainable development: practices.</li> </ul>	2 <sup>nd</sup> quarter.
		<ul style="list-style-type: none"> <li>Integration of academic and vocational knowledge within the disciplines of Tourism and Hospitality Studies.</li> </ul>	<ul style="list-style-type: none"> <li>Integration of academic and vocational knowledge within the disciplines of Tourism and Hospitality Studies.</li> </ul>	1 <sup>st</sup> quarter.
		<ul style="list-style-type: none"> <li>Building the NQF in line with 2008-9 legislation.</li> </ul>	<ul style="list-style-type: none"> <li>Building the NQF in line with 2008-9 legislation.</li> </ul>	Quarterly.
		Attend and present two papers at research conferences.	Attend and present two papers at research conferences.	2 <sup>nd</sup> quarter 4 <sup>th</sup> quarter.
		Publish at least one paper in an academic journal.	Publish at least one paper in an academic journal.	4 <sup>th</sup> quarter.
Continue to update the research page on the SAQA/ NQF website.	Continue to update the research page on the SAQA/ NQF website.	Quarterly.		

	<b>KEY OBJECTIVE</b>	<b>ACTIVITIES</b>	<b>PERFORMANCE INDICATORS</b>	<b>TIMEFRAMES</b>
3.	Provide support for the development of: <ul style="list-style-type: none"> <li>• SAQA as a research-driven organization;</li> <li>• SAQA as the NQF coordinating body; and</li> <li>• Development of RPL and CAT in the country.</li> </ul>	Consolidate and further develop capacity of SAQA and Quality Council staff to carry out functions in a research informed manner by: <ul style="list-style-type: none"> <li>• Providing at least two research workshops or seminars for SAQA and Quality Council staff, during the financial year.</li> </ul>	Consolidate and further develop capacity of SAQA and Quality Council staff to carry out functions in a research informed manner by: <ul style="list-style-type: none"> <li>• Providing at least two research workshops or seminars for SAQA and Quality Council staff, during the financial year.</li> </ul>	1 <sup>st</sup> quarter 3 <sup>rd</sup> quarter.
<ul style="list-style-type: none"> <li>• Engaging with key SAQA staff from at least one other directorate to facilitate analyses of data from SAQA processes and products, and integration of research findings into SAQA processes and products.</li> </ul>		<ul style="list-style-type: none"> <li>• Engaging with key SAQA staff from at least one other directorate to facilitate analyses of data from SAQA processes and products, and integration of research findings into SAQA processes and products.</li> </ul>	Quarterly.	
<ul style="list-style-type: none"> <li>• Engaging with Quality Councils at least three times per year for ongoing work on the NQF Research Agenda.</li> </ul>		<ul style="list-style-type: none"> <li>• Engaging with Quality Councils at least three times per year for ongoing work on the NQF Research Agenda.</li> </ul>	2 <sup>nd</sup> quarter 3 <sup>rd</sup> quarter 4 <sup>th</sup> quarter.	
<ul style="list-style-type: none"> <li>• Hosting the Ben Parker Memorial Lecture.</li> </ul>		<ul style="list-style-type: none"> <li>• Hosting the Ben Parker Memorial Lecture.</li> </ul>	3 <sup>rd</sup> quarter.	
<ul style="list-style-type: none"> <li>• Hosting at least one follow-up workshop after the national RPL conference.</li> </ul>		<ul style="list-style-type: none"> <li>• Hosting at least one follow-up workshop after the national RPL conference.</li> </ul>	3 <sup>rd</sup> quarter.	

## Programme 2: Registration and Recognition

This programme covers the activities of the Directorate Registration and Recognition

### **Strategic Objectives linked to Registration and Recognition**

- 3.1 Advise the Minister, and inform policy-makers and make recommendations on all NQF matters [Section (13) (1) (b)];
- 3.3 Engage proactively, and coordinate the work of NQF partners to ensure systemic coherence, articulation and implementation [Sections (13) (1) (a), (f) and (n) and (11) (a-c)];
- 3.4 Register high quality, nationally relevant and internationally comparable qualifications and part-qualifications that meet national criteria [Section (13) (1) (g – h)];
- 3.5 Recognise professional bodies and register professional designations on the NQF [Section (13)(1) (i)]; and
- 3.10 Advance lifelong learning through credit accumulation and transfer, recognition of prior learning, and career advice services [Section (13) (h) (3)].

	KEY OBJECTIVE	ACTIVITES	KEY PERFORMANCE AREAS	TIMEFRAMES
1.	Ensure a smooth transition from the old to the new NQF landscape.	Ensure adequate human resource capacity to assist in the transition, and ultimately to be responsible for the functions in the new NQF landscape.	Adequate human resource capacity is available to assist in the transition, and ultimately to be responsible for the functions in the new NQF landscape	End 1 <sup>st</sup> quarter.
2.	In consultation with the Quality Councils and Professional Bodies, develop policy for the new landscape.	Draft a policy framework and criteria for the development, registration, publication of qualifications and part- qualifications.	A policy framework and criteria are drafted for the development, registration, publication of qualifications and part-qualifications.	End 4 <sup>th</sup> quarter.
		Engage external partners towards the development of a policy framework for assessment, Recognition of Prior Learning and Credit Accumulation and Transfer, as well as International Comparability.	External partners are engaged towards the development of a policy framework for assessment, Recognition of Prior Learning and Credit Accumulation and Transfer, as well as International Comparability.	End 4 <sup>th</sup> quarter.
		Implement the policy framework and criteria for recognising professional bodies and registering professional designations.	The policy framework and criteria for recognising professional bodies and registering professional designations are implemented.	End 1 <sup>st</sup> quarter.
		Finalise agreement of level descriptors for a ten	Agreement of level descriptors for a ten	4 <sup>th</sup> quarter.



	KEY OBJECTIVE	ACTIVITES	KEY PERFORMANCE AREAS	TIMEFRAMES
		level NQF with DHET and the QCs.	level NQF is finalized with DHET and the QCs.	
3.	Ensure that high quality, nationally relevant and internationally comparable qualifications and part-qualifications that articulate across sub-frameworks are registered on the NQF.	Develop a system to monitor the use of level descriptors.	A system to monitor the use of level descriptors are developed.	End 4 <sup>th</sup> quarter.
		High quality, nationally relevant and internationally comparable qualifications and part- qualifications are registered on the NQF, utilising the interim criteria.	High quality, nationally relevant and internationally comparable qualifications and part- qualifications are registered on the NQF.	Monthly.
4.	Provide for the recognition of Professional Bodies and the registration of designations.	Recognise professional bodies and register professional designations on the NQF.	Professional bodies are recognised and professional designations registered on the NQF.	Commencing end of 1 <sup>st</sup> quarter, then quarterly.
		Facilitate the recognition process for Professional Bodies to the extent that 25% of the Professional Bodies are recognised.	The recognition process for Professional Bodies is facilitated to the extent that 25% of the Professional Bodies are recognised.	
5.	Collaborate internally to develop regulatory frameworks for the implementation of new policy.	Develop a strategy on dealing with unscrupulous providers and unscrupulous practices (Executive Office, Helpdesk, SSU, and DHET Stakeholders' Forum).	A strategy on dealing with unscrupulous providers and unscrupulous practices is developed.	End 3 <sup>rd</sup> quarter.
		Lead initiatives to develop guidelines for RPL and International Comparability.	Lead initiatives to develop guidelines for RPL and International Comparability.	Quarterly.
6.	Support government with respect to skills development policies by providing support for the QCTO with respect to quality assurance of Education and Training	Collaborate with the QCTO to develop a quality assurance model.	Develop a quality assurance model in collaboration with the QCTO.	End 4 <sup>th</sup> quarter.

### Programme 3: National Learners' Records Database

This programme covers the activities of the National Learners' Records Database

#### **Strategic Objectives linked to the National Learners' Records Database**

3.9 Maintain and further develop the National Learners' Records Database (NLRD) as the key national source of information and advice for human resource and skills development in policy, infrastructure, planning and the verification of learner achievements [Section (13) (1) (l)].

	KEY OBJECTIVE	ACTIVITIES	KEY PERFORMANCE INDICATORS	TIME-FRAMES
1.	Market the NLRD to identified key clients in the public and private sector.	The national Human Resource Development Strategy is assisted to develop, and start populating, its information system.	SAQA, via the NLRD, assists the national Human Resource Development Strategy to develop and populate its information system.	End 4 <sup>th</sup> quarter.
		NLRD information is provided to key clients.	HR development information: quantitative information is provided to government departments, public research institutions and the private sector.	End 4 <sup>th</sup> quarter.
		Partnerships with other key data sources have been put in place.	Partnerships with at least two other key data sources have been put in place where appropriate.	End 4 <sup>th</sup> quarter.
			A publications plan for the NLRD, including key HR analysis reports, is being implemented; an average of at least one NLRD publication per year has been produced.	End 4 <sup>th</sup> quarter.
		The NLRD has assisted other countries with their NQF information systems.	The NLRD has assisted at least one other country overseeing NQFs to understand their information needs, and – where mandated – to develop their own information systems.	End 4 <sup>th</sup> quarter.

	<b>KEY OBJECTIVE</b>	<b>ACTIVITIES</b>	<b>KEY PERFORMANCE INDICATORS</b>	<b>TIME-FRAMES</b>
2.	Populate the NLRD with all available data, ensure that it is of acceptable quality, and manage it appropriately.	Ensure availability of previously inaccessible data.	The implementation of the NLRD's data population matches the legislation.	End of 4 <sup>th</sup> quarter.
Ensure that the lines of data flow, and the fact that SAQA has the authority to gather this data, are understood by all NQF partners (SAQA and the Quality Councils).		Assist all the QCs, especially the QCTO to meet the requirements of the NQF Act and to upload the required data to the NLRD.	End 2 <sup>nd</sup> and 4 <sup>th</sup> quarters.	
		Key projects have been undertaken, especially:	End of 4 <sup>th</sup> quarter.	
		<ul style="list-style-type: none"> <li>• NLRD Gap Identification and filling in the gaps, including: <ul style="list-style-type: none"> <li>• Public Higher Education: full data-matching and gap-filling</li> <li>• DoE pre-1992 Matric</li> <li>• Umalusi</li> </ul> </li> </ul>		
		<ul style="list-style-type: none"> <li>• FET data</li> <li>• DFQEAS data</li> </ul>		End 4 <sup>th</sup> quarter.
	<ul style="list-style-type: none"> <li>• Quarterly communication with data suppliers</li> </ul>	Quarterly.		
	<ul style="list-style-type: none"> <li>• Data testing and loading, twice per year.</li> </ul>	End 2 <sup>nd</sup> and 4 <sup>th</sup> quarters.		
	Maintain the established standards of all load specifications and procedures, towards ensuring that the NLRD contains data that is accurate, complete, clean and up to date.	The major Indicator will thus be that the NLRD contains data that is accurate, complete, clean and up to date. The major measurements will be by: <ul style="list-style-type: none"> <li>• The NLRD's outputs (reports, NLRD outputs serving at SAQA meetings, services, searchable databases and tracking devices such as the ETQA</li> </ul>	4 <sup>th</sup> quarter.	

	KEY OBJECTIVE	ACTIVITIES	KEY PERFORMANCE INDICATORS	TIME-FRAMES
2. <i>(ctd)</i>	Populate the NLRD with all available data, ensure that it is of acceptable quality, and manage it appropriately <i>(ctd)</i> .	Maintain the established standards of all load specifications and procedures, towards ensuring that the NLRD contains data that is accurate, complete, clean and up to date. <i>(ctd)</i> .	Compliance and Performance League Tables), coupled with triangulation activities, exception reports and gap reports specifically produced to check the problems and gaps. <ul style="list-style-type: none"> <li>All users have appropriate levels of access to the NLRD, maintaining the balance between effective use and protection of sensitive information.</li> </ul>	4 <sup>th</sup> quarter.
3.	Maintain and further develop the Higher Education Quality Committee Information System (HEQCIS) for the Council on Higher Education (CHE) <i>(assuming the CHE requires SAQA to continue with the service).</i>	All Private Higher Education Institutions (PHEIs) have commenced utilising the system, and 80% of them have loaded their information.	The HEQCIS functions efficiently and effectively, both as an information system and as a project.	End of 4 <sup>th</sup> quarter.
			The data on the HEQCIS is accurate and up to date, within set parameters, and is checked quarterly.	Quarterly.
			Throughout the project, data transmissions from the PHEIs are received, and tested where necessary; constructive feedback is provided.	Quarterly.
			Liaison with PHEIs is maintained.	Quarterly.
		Data extractions for successful submission to the NLRD, of all data loaded on HEQCIS thus far, are done at least twice a year.	Data extractions for successful submission to the NLRD are done at least twice a year.	End 2 <sup>nd</sup> and 4 <sup>th</sup> quarters.
4.	Provide appropriate system and application tools to exploit the research potential of the NLRD, including the development of key reports and services.	Key reports are produced and disseminated. Develop the methodology to provide information to the Career Advice Services (CAS).	Key reports are produced and disseminated: <ul style="list-style-type: none"> <li>NLRD National reports – an average of at least one per year.</li> </ul>	End 4 <sup>th</sup> quarter.
			<ul style="list-style-type: none"> <li>NLRD outputs at every SAQA Board and EXCO Meeting.</li> </ul>	Six-weekly.
			Enquiries or referrals of Cabinet or Policy Makers to the NLRD, at the level of statistics for decision-making, indicates that it is known to be the key national source of information for human resource	End 4 <sup>th</sup> quarter.

	KEY OBJECTIVE	ACTIVITIES	KEY PERFORMANCE INDICATORS	TIME-FRAMES
			and skills development in South Africa.	
4. (ctd)	Provide appropriate system and application tools to exploit the research potential of the NLRD, including the development of key reports and services (ctd).	Key services (such as searchable databases) are maintained and developed.	Key services are maintained and developed, including searchable databases such as the one for qualifications and part qualifications.	Quarterly.
			Visits by Policy makers, to the searchable databases indicates that it is known to be the key national source of information on qualifications and part qualifications.	End 4 <sup>th</sup> quarter.
		Develop the methodology to provide information to the Career Advice Services (CAS).	Develop the methodology to provide information to the Career Advice Services (CAS).	End 4 <sup>th</sup> quarter.
		At least one commissioned analysis (for income) is undertaken.	NLRD services, including at least one commissioned analysis per year, generate income for the NLRD.	End 4 <sup>th</sup> quarter.
5.	Ensure system support other than OnLineDBA for the NLRD.	Support the NLRD so that it can perform its strategic functions.	The data-model, application and data-loading scripts are maintained and developed, and therefore: <ul style="list-style-type: none"> <li>• The NLRD functions efficiently and effectively as an information system</li> <li>• Continuous improvement of the NLRD system is undertaken and tested</li> <li>• Batch-load programs run correctly.</li> </ul>	End 2 <sup>nd</sup> and 4 <sup>th</sup> quarters.
		Maintain and further develop the data-model, application and data-loading scripts.		
6.	Support the NQF as a system, as well as fellow SAQA directorates and SAQA as an organization.	The NLRD, as a system, mirrors the NQF Business Rules and Values at all times.	The NLRD, as a system, mirrors the NQF Business Rules and Values at all times, including immediate implementation if any changes to the NQF occur.	End of 4 <sup>th</sup> quarter.
		The NLRD Directorate liaises and cooperates with other SAQA directorates as appropriate, providing quantitative NQF information for them according to their needs.	Assist with the development of the NQF Business Rules for RPL and CAT	End of 4 <sup>th</sup> quarter.
			The NLRD Directorate contributes to the organisational development of SAQA by participating in SAQA's initiatives.	End of 4 <sup>th</sup> quarter.

	KEY OBJECTIVE	ACTIVITIES	KEY PERFORMANCE INDICATORS	TIME-FRAMES
			The NLRD Directorate collaborates with all of the NQF partners.	End of 4 <sup>th</sup> quarter.
7.	Provide a service for the verification of the achievement of qualifications at South African institutions.	The Verifications Project, with its own Project Director, is further developed and maintained and provides the verification service.	A Verifications Project, with its own Project Director, is further developed and maintained and provides the verification service.	End of 4 <sup>th</sup> quarter.
		Contact is established with previously inaccessible information partners.	Relationships with both clients and information partners are managed appropriately.	End of 4 <sup>th</sup> quarter.
		Relationships with both clients and information partners are managed appropriately.	This service is well utilised, both by people requesting free verifications of their own records and by subscribing clients requesting verifications of individuals per year, as well as for bulk verification assignments.	End of 4 <sup>th</sup> quarter.
		The verification service to the public sector is carried out in collaboration with the Department of Public Service and Administration.	The verifications of the qualifications of 30% of the existing public service employees are complete.	End of 4 <sup>th</sup> quarter.
			Verifications done are analysed.	Monthly.
		The service is provided on a cost recovery basis.	The service is set up to run on a cost recovery basis	End of 4 <sup>th</sup> quarter.

#### Programme 4: Foreign Qualifications: Evaluation and Advisory Service

This programme covers the activities of the Directorate Foreign Qualifications: Evaluation and Advisory Service

##### **Strategic Objectives linked to the Foreign Qualifications: Evaluation and Advisory Service**

3.11 Provide an evaluation and advisory service with respect to foreign qualifications [Section (13) (1) (m)].

	KEY OBJECTIVE	ACTIVITIES	KEY PERFORMANCE INDICATORS	TIME-FRAMES
1.	Nurture and grow the unique expertise of DFQEAS as a recognised national asset.	Stay relevant and up to date in the field of expertise by undertaking systematic networking and research on general issues of concern in international qualification exchange.	At least four instances per year of effective strategic liaison / networking with international peer organisations on matters of mutual interest, or indicating capacity building.	Quarterly.
			At least four instances per year in which consultation with the DFQEAS took place or requests for inputs / guidance were made on the strength of its expertise.	Quarterly.
			A plan, system and/or process, by the end of the first quarter, to ensure regular environmental scanning, the integrity of existing data and emerging business opportunities.	End 1 <sup>st</sup> quarter.
		Ensure the necessary alignment with general leading practice in the field.	Consideration / awareness of recommended practice provided through internationally agreed instruments / internationally developed tools can be demonstrated in at least two ways.	End 4 <sup>th</sup> quarter.
			The DFQEAS is formally reviewed against external / international standards every three to five years.	2013/14.
			Ongoing alignment to international best practice can be demonstrated in terms of at least four aspects of the directorate's business per review cycle.	2013/14.
			Develop individual and collective professional in-house capacity to prepare for delivery on longer	There is evidence that at least 95% of evaluation decisions are consistent and correct.

	KEY OBJECTIVE	ACTIVITIES	KEY PERFORMANCE INDICATORS	TIME-FRAMES
		term objectives.	DFQEAS is represented by at least one staff member per quarter in a strategic event or forum that draws on the know-how of the directorate / there is at least one	<i>Quarterly.</i>
1. <i>(ctd)</i>	Nurture and grow the unique expertise of DFQEAS as a recognised national asset <i>(ctd)</i> .	Develop individual and collective professional in-house capacity to prepare for delivery on longer term objectives. <i>(ctd)</i> .	example per month of feedback indicating that peers, stakeholders and clients are generally empowered to take successful action upon consultation with DFQEAS staff on matters other than day to day operations.	<i>As above.</i>
			There is evidence of a special effort to ensure that newly recruited professional staff members are well suited to and develop in their positions.	<i>Quarterly.</i>
			There are at least three development opportunities per professional staff member per annum that relates directly to the directorate's field of expertise.	<i>Quarterly.</i>
2.	Position the DFQEAS as a relevant and value-adding partner in ensuring socio-economic development through mobility of learners and workers.	Enhance mutual understanding and cooperation by engaging in general strategic relationship building and maintenance with stakeholders and internal and external partners / potential partners.	According to a directorate engagement schedule <ul style="list-style-type: none"> <li>• at least four different stakeholder clusters / constituencies per year are targeted for proactive engagement; and</li> <li>• quarterly documentary evidence indicates implementation of planned engagement; and positive outcomes of this.</li> </ul>	<i>Quarterly.</i>
			A high degree of compliance (at least 90%) with DFQEAS processes and procedures show that clients and stakeholders understand and buy into its function and requirements.	<i>Quarterly.</i>
			The DFQEAS is involved in at least one partnership venture per year and positive outcomes of this are evident.	<i>Quarterly.</i>
			Meeting records and/or Operational Level Agreements prove that the DFQEAS engages with internal partners and utilises / builds internal capacity across directorates at least quarterly.	<i>Quarterly.</i>



	KEY OBJECTIVE	ACTIVITIES	KEY PERFORMANCE INDICATORS	TIME-FRAMES
		Determine the relevance and/or adequacy of the service(s) and product(s) offered by DFQEAS in relation to market needs.	There are a least two sets of workshop / meeting records per annum to the effect that services and/or products were evaluated in collaboration with stakeholders.	End 2 <sup>nd</sup> quarter. End 4 <sup>th</sup> quarter.
2. (ctd)	Position the DFQEAS as a relevant and value-adding partner in ensuring socio-economic development through mobility of learners and workers (ctd).	As above.	There is documentary proof that the DFQEAS undertook an analysis of market needs at least once a year and a strategy is in place to address these, or changes to services and products can be demonstrated.	End 4 <sup>th</sup> quarter.
		Use a variety of indicators to interpret trends and/or developments in the business environment and prepare proactively to manage the impact of these.	There is evidence of at least one relatively accurate market forecast per year and positive outcomes demonstrate successful proactive management of the impact.	End 4 <sup>th</sup> quarter.
3.	Enhance existing and/ or develop new services and products to better serve market needs, and ensure delivery to the satisfaction of clients and stakeholders.	Contribute to the building of capacity in the field of expertise and in areas / environments benefiting from this expertise.	Evidence shows at least two major contributions annually and takes the form of one or more of the following, or similar outcomes: <ul style="list-style-type: none"> <li>• research reports</li> <li>• publications</li> <li>• capacity building ventures</li> <li>• JIPs</li> <li>• papers read at conferences / seminars</li> <li>• workshops</li> <li>• bilateral / multilateral agreements or the facilitation of / contributions to these.</li> </ul>	End 2 <sup>nd</sup> quarter. End 4 <sup>th</sup> quarter.
		Ensure comprehensive mechanisms to ensure, measure and publicise client satisfaction	A client service strategy is in place and reviewed at least annually.	End 4 <sup>th</sup> quarter.
			Results of client satisfaction measurement are ready for publication at the end of the financial year and made available in the SAQA Annual Report and at least one other medium.	End 1 <sup>st</sup> quarter 2012/13. End 2 <sup>nd</sup> quarter 2012/13.

	KEY OBJECTIVE	ACTIVITIES	KEY PERFORMANCE INDICATORS	TIME-FRAMES
		Build infrastructure and resources to adequately support delivery of the full range of activities, services and products.	The directorate generates sufficient income to support itself, and income streams are reviewed at least once annually.	End 4 <sup>th</sup> quarter.
			There is evidence of sound budget management and compliance with PFMA principles.	Quarterly.
			Services are sustained by and are also proof of an enabling infrastructure and adequate human capital and material resources. There is evidence of review in this regard, at least once annually.	Quarterly.
3. (ctd)	Enhance existing and/ or develop new services and products to better serve market needs, and ensure delivery to the satisfaction of clients and stakeholders.	Build infrastructure and resources to adequately support delivery of the full range of activities, services and products (ctd).	Comprehensive development of all human resources is shown through the annual training report, as well as Personal Development Plans, career paths, broad-banding level progression and individual training reports.	Quarterly.
			Delivery is ensured through the continued management of performance against agreed standards within the organisational performance cycle.	Quarterly.
			Establish a strategy to review the DFQEAS operating framework, including criteria & guidelines, SOP's & processes, and formats.	End 4 <sup>th</sup> quarter.
		Deliver services, with special reference to evaluation of foreign qualifications and the rendering of advice in this regard.	There is proof that services are delivered in accordance with relevant frequency / timeframes.	Quarterly.
			There is evidence of at least one product / service per quarter that demonstrates the directorate's ability to meaningfully contribute to the building of intelligence relevant to its field of expertise.	Quarterly.





# **SOUTH AFRICAN QUALIFICATIONS AUTHORITY**

## **STAFFING PLAN: 2011 – 2014 MTEF PERIOD**

**September 2010**



**INVESTOR IN PEOPLE**

## ANNEXURE C: STAFFING PLAN FOR 2011 – 2014 MTEF PERIOD

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## STAFFING PLAN FOR 2011 – 2014 MTEF PERIOD

### 1. INTRODUCTION:

The Chief Executive officer is responsible to execute SAQA's mandate, strategies and objectives as described in the Strategic Plan. In this, he will be supported by the staff complement as indicated in the organisational structure and breakdown indicated in this document.

### 2. SAQA's MANDATE:

The National Qualifications Framework Act, 2008, (NQF Act) positions SAQA as the oversight body of the NQF and the custodian of its values. As such, SAQA will coordinate the work of the QCs and other NQF partners (Sector Education and Training Authorities - SETAs). The NQF Act requires that the Chief Executive Officer and staff:

- Must advise the relevant Ministers and decision makers on NQF matters, oversee the implementation of the NQF, liaise and consult with the QCs on matters relating to implementation of the NQF;
- Develop policies and criteria for the development and registration of qualifications, assessment, recognition of prior learning and credit accumulation and transfer, recognising a professional body and registering a professional designation, and the development of the content of level descriptors;
- Maintain a National Learners' Records Database (NLRD), ensure that South African qualifications are of an acceptable quality, provide an evaluation and advisory service with respect to foreign qualifications, conduct commission research into NQF related matters, and collaborate with international counterparts; and
- To conduct or commission research into NQF related matters, to collaborate with international counterparts, and to initiate and drive a clear, coordinated communication and advocacy strategy to assist providers, learners and the public at large to understand the new NQF architecture and the implications of the changes for them

### 3. SAQA's OBJECTIVES FOR THE 2011 – 2014 MTEF PERIOD:

In the performance of the above functions, SAQA will require suitably qualified and experienced staff to:

- 3.1 Advise the Minister, and inform policy-makers and make recommendations on all NQF matters [Section (13) (1) (b)];
- 3.2 Position SAQA as the oversight body and guardian of NQF values and coordinate an effective public NQF advocacy and communication strategy [Sections (13) (1) (a), (f) and (n) and (11) (a-c)];
- 3.3 Engage proactively, and coordinate the work of NQF partners to ensure systemic coherence, articulation and implementation [Section (13) (1) (e – f)];
- 3.4 Register high quality, nationally relevant and internationally comparable qualifications and part-qualifications that meet national criteria [Section (13) (1) (g – h)];
- 3.5 Recognise professional bodies and register professional designations on the NQF [Section (13)(1) (i)];
- 3.6 Conduct or commission research together with research partners, and publish reports on issues of importance to the development and implementation of the NQF, including periodic studies of the impact of the NQF [Section (13) (1) (k)];

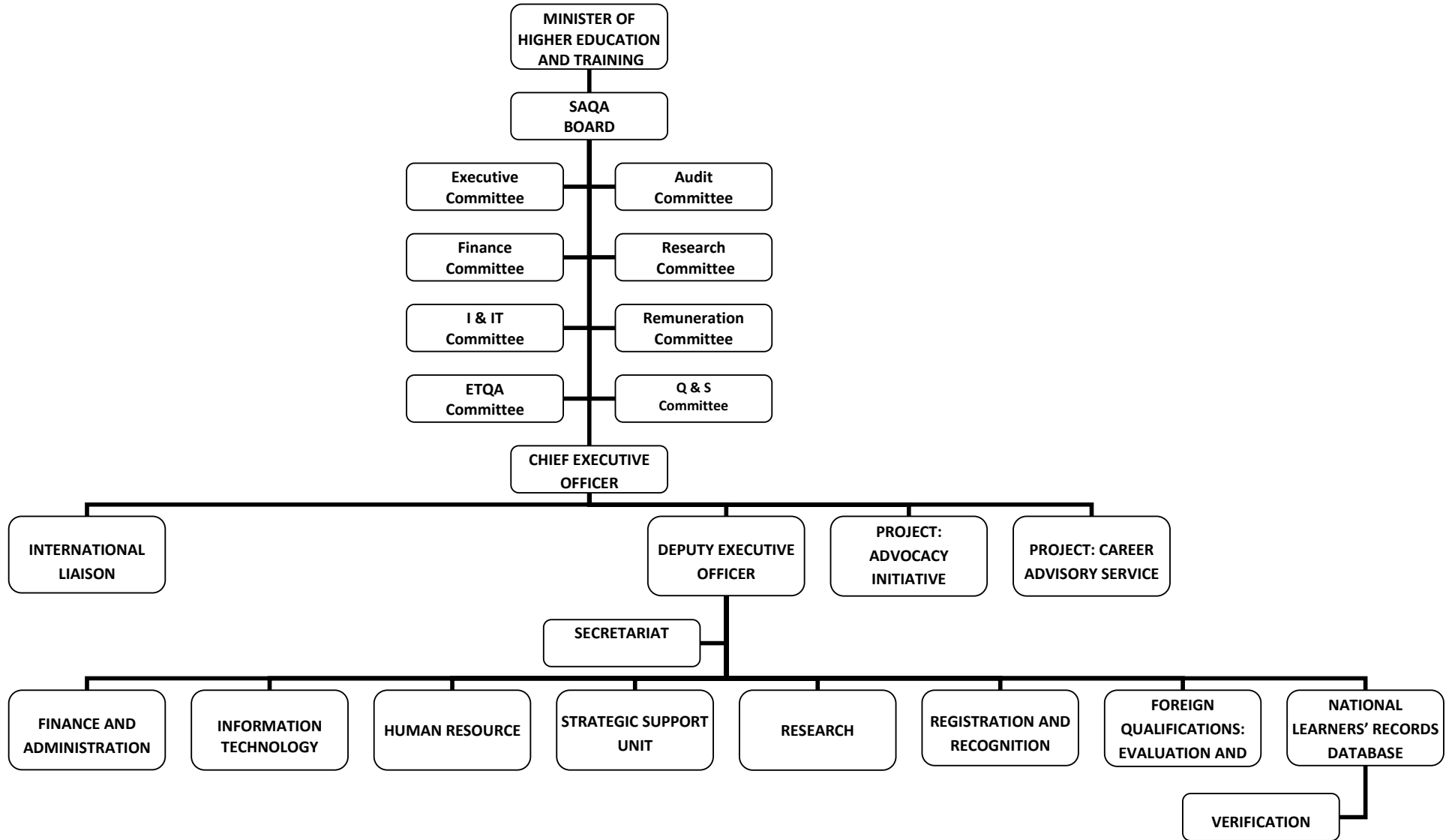
- 3.7 Monitor and evaluate education and training across the three sub-frameworks for continuous systemic quality improvement [*Sections (5) (3) (a – c), and (11) (a – c)*];
- 3.8 Collaborate with SAQA’s international counterparts regarding qualifications frameworks and keep its NQF partners informed regarding international leading practice [*Section (13) (1) (j)*];
- 3.9 Maintain and further develop the National Learners’ Records Database (NLRD) as the key national source of information and advice for human resource and skills development in policy, infrastructure, planning and the verification of learner achievements [*Section (13) (1) (l)*];
- 3.10 Advance lifelong learning through credit accumulation and transfer, recognition of prior learning, and career advice services [*Section (13) (h) (3)*];
- 3.11 Provide an evaluation and advisory service with respect to foreign qualifications [*Section (13) (1) (m)*];
- 3.12 Support targeted education, training and development communities to become effective leaders in NQF leading practices, through providing client focused information services in the implementation of the NQF [*Section (11) (a – c)*]; and
- 3.13 Ensure effective governance and compliance to the statutory requirements as applicable to SAQA, as well as the aligned development of human, financial and infra-structural resources, to support the achievement of organisational objectives [*Section (13) (n) (iii) PFMA, legislative and governance requirements*].

#### **4. SAQA’s STAFFING PLAN FOR THE 2011 – 2014 MTEF PERIOD:**

A proposed staffing plan has been developed, considering SAQA’s mandate as well as its commitment to embracing diversity and social justice. Further, SAQA’s recruitment strategy aims to recruit and retain suitably qualified and experienced staff to assist SAQA in delivering on its mandate and objectives.

The proposed new staff complement will be appropriate on 1 April 2011, taking SAQA’s new functions, as mandate by the NQF Act into account.

## ORGANISATIONAL STRUCTURE: 2011 – 2014 MTEF PERIOD





**PROPOSED POSITIONS WITH CHANGES (2011 - 2014)**

**1. Programme: Administration and Support**

**1.1. Executive Office**

No	Unit /directorate	Job Title	Level	Status	Employee Name
1	Executive Office	Chief Executive Officer	Chief Executive Officer	Filled	Mr Isaacs
2	Executive Office	Deputy Executive Officer	Deputy Executive Officer	Filled	Mr Samuels
3	Executive Office	Deputy Director - Secretariat	Deputy Director	Filled	Ms Burger
4	Executive Office	Assistant Director - Secretariat	Assistant Director	Filled	Mr Stickells
5	Executive Office	Executive Assistant to EO	Assistant Director	Filled	Ms Du Plessis
6	Executive Office	Personal Assistant to Deputy EO	Personal Assistant	Filled	Ms Mkwazi
7	Executive Office	Secretary	Secretary	Filled	Ms Bokaba

**1.1 a) Executive Office (NQF Advocacy)**

No	Unit /directorate	Job Title	Level	Status	Employee Name
1	Executive Office	NQF Advocacy Project Director	Director	Filled	Mr Arnesen
2	Executive Office	Deputy Director	Deputy Director	Vacant/New	Vacant
3	Executive Office	Secretary	Secretary	Vacant/New	Vacant

**1.1b) Executive Office (International Liaison)**

No	Unit /directorate	Job Title	Level	Status	Employee Name
1	Executive Office	Director: International Liaison	Director	Filled	Dr Keevy
2	Executive Office	Deputy Director	Deputy Director	Filled	Ms Steenkamp
3	Executive Office	Assistant Director	Assistant Director	New/Vacant	New/Vacant
4	Executive Office	Secretary	Secretary	New/Vacant	New/Vacant

### 1.1c) Executive Office (Career Guidance)

No	Unit /directorate	Job Title	Level	Status	Employee Name
1	Executive Office	Project Director: Career Advice	Director	Filled	Mr West
2	Executive Office	Helpdesk Advisor Supervisor	Deputy Director	Vacant/New	Vacant
3	Executive Office	Officer Manager	Administration Officer	Vacant/New	Vacant
4	Executive Office	NQF Helpdesk Advisors	Assistant Director	Filled	Mr Khotsa
5	Executive Office	NQF Helpdesk Advisors	Assistant Director	Filled	Ms Eva
6	Executive Office	NQF Helpdesk Advisors	Assistant Director	Filled	Ms Rakometsi
7	Executive Office	NQF Helpdesk Advisors	Assistant Director	Filled	Ms Masuele
8	Executive Office	NQF Helpdesk Advisors	Assistant Director	Filled	Ms Molala
9	Executive Office	Career Advice / Helpdesk	Assistant Director	Filled	Ms Mathola
10	Executive Office	Career Advice / Helpdesk	Assistant Director	Filled	Ms Singh
11	Executive Office	43 x Career Advice / Helpdesk	Assistant Director	Vacant/ New	43 x New vacancies

### 1.2 Finance and Administration

No	Unit / directorate	Job Title	Level	Status	Employee Name
1	Finance and Admin	Director: Finance and Admin	Director	Filled	Mr Albertyn
2	Finance and Admin	Secretary	Secretary	Filled/Job grading to be investigated	Ms Nare
3	Finance and Admin	Deputy Director: Finance and Admin	Deputy Director	Filled	Ms Kumardew
4	Finance and Admin	Deputy Director: Supply Chain Management	Deputy Director	Filled	Ms Venter
5	Finance and Admin	Administration Officer: Supply Chain Management	Administration Officer	Filled	Mr Mashiane
6	Finance and Admin	Assistant Director: Finance	Assistant Director	Filled/Upgraded	Ms Ross
7	Finance and Admin	Assistant Director: Facilities	Administration Officer	Filled/ Job grading to be investigated	Mr Van Bergen
8	Finance and Admin	Administration Clerk – Debtors	Administration Clerk	Filled	Ms Monyamane
9	Finance and Admin	Administration Clerk - Creditors	Administration Clerk	Filled	Ms Nape
10	Finance and Admin	Administration Clerk – Payroll & payments	Administration Clerk	Outsourced	Ms Greyvenstein
11	Finance and Admin	Administration Clerk – Driver/ Logistics Support	Administration Clerk	Filled	Mr. Nkwanyana
12	Finance and Admin	Administration Clerk – Cashbook	Administration Clerk	Filled	Mr Seshotli
13	Finance and Admin	Administration Clerk – Photocopying /Office Support	Administration Clerk	Filled	Mr Seemela
14	Finance and Admin	Administration Clerk – Facilities Assistant	Administration Clerk	Filled	Mr Mabuza

### 1.3 Human Resources

No	Unit /directorate	Job Title	Level	Status	Employee Name
1	Human Resources	Director: HR	Director	Filled	Mr Booyesen
2	Human Resources	Deputy Director: HR	Deputy Director	Filled	Ms P Flanagan
3	Human Resources	Assistant Director	Assistant Director	Filled/Upgraded	Ms Bezuidenhout
4	Human Resources	Secretary	Secretary	New	Vacant
5	Human Resources	Administration Assistant/Secretarial	Administration Clerk	Filled	Ms Mabaso

### 1.4 IT

No	Unit /directorate	Job Title	Level	Status	Employee Name
1	IT	Director: IT	Director	Filled	Dr Ohlhoff
2	IT	Deputy Director: IT	Deputy Director	Filled	Mr Mbolekwana
3	IT	Deputy Director: IT	Deputy Director	New	Vacant
4	IT	Systems administrator	Assistant Director	Filled	Ms Dumezulu
5	IT	Systems administrator	Assistant Director	Filled	Ms Rapholo
6	IT	Administration Officer	Administration Officer	Filled / Upgraded	Mr Holdstock
7	IT	Administration Clerk	Administration Clerk	New / Vacant	Vacant

### 1.5 Strategic Support

No	Unit /directorate	Job Title	Level	Status	Employee Name
1	Strategic Support	Director: SSU	Director	Filled	Ms Gumbe
2	Strategic Support	Secretary	Secretary	Filled	Ms Modisa
3	Strategic Support	Deputy Director: Communications	Deputy Director	Filled	Mr Gounden
4	Strategic Support	Assistant Director: Corporate Events	Assistant Director	Filled	Mr Jordaan
5	Strategic Support	Assistant Director: Communications	Assistant Director	Filled	Ms Phillip
6	Strategic Support	Assistant Director: Information Services	Assistant Director	Filled	Mr S Maninjwa
7	Strategic Support	Assistant Director: Information Services	Assistant Director	Filled	Ms Modisane
8	Strategic Support	Assistant Director: Client Services	Assistant Director	Filled	Ms Dingake
9	Strategic Support	Assistant Director: Communications (CAS)	Assistant Director	Vacant	Vacant
10	Strategic Support	Assistant Director: Communications (CAS)	Assistant Director	Vacant	Vacant
11	Strategic Support	Administration Clerk: Resource Centre	Administration Clerk	Filled	Ms Mthembu
12	Strategic Support	Receptionist/Telephonist	Administration Clerk	Filled	Ms Masinge

## 1.6. Research

No	Unit /directorate	Job Title	Level	Status	Employee Name
1	Research	Director: Research	Director	Filled	Dr Bolton
3	Research	Deputy Director: Research	Deputy Director	Filled	Dr Naude
4	Research	Deputy Director: Research	Deputy Director	Filled	Dr Sebele
5	Research	Assistant Director : Research	Assistant Director	Filled	Mr Kapueja
6	Research	Administration Officer	Administration Officer	Filled	Ms Lebooa

## 2. Programme: Directorate Recognition and Registration

No	Unit /directorate	Job Title	Level	Status	Employee Name
1	DRR	Director	Director	Filled	Vacant
2	DRR	Deputy Director	Deputy Director	Filled	Mr. Mphuthing
3	DRR	Deputy Director	Deputy Director	Filled	Mr Brown
4	DRR	Deputy Director – FET	Deputy Director	Filled	Ms Radebe
5	DRR	Deputy Director – Quality Assurance	Deputy Director	Filled	Ms Barretto
6	DRR	Assistant Director: Administration	Assistant Director	Filled	Mr. Rapoo
7	DRR	Assistant Director: QA	Assistant Director	Filled	Ms Malebye
8	DRR	Assistant Director :QA	Assistant Director	Filled	Ms Mtintsilana
9	DRR	Assistant Director	Assistant Director	Filled	Ms Kelly
10	DRR	Assistant Director	Assistant Director	Filled	Mr. Ndukula
11	DRR	Assistant Director	Assistant Director	Filled	Mr Walters
12	DRR	Assistant Director	Assistant Director	Filled	Ms Peters
13	DRR	Assistant Director	Assistant Director	Vacant	Vacant
14	DRR	Administration Officer	Administration Officer	Filled	Ms Van den Berg
15	DRR	Secretary	Secretary	Filled	Ms Makoko
16	DRR	Secretary – Quality Assurance	Secretary	Filled	Ms Seoketsa

### 3. Programme: National Learners' Records Database

No	Unit / directorate	Job Title	Level	Status	Employee Name	Permanent / Contract	Comment
1	NLRD	Director: NLRD	Director	Filled	Ms Shapiro	Permanent	
2	NLRD	Deputy Director: NLRD	Deputy Director	Vacant	Vacant (was Ms Radebe)	Permanent	DNLRD is funding this as a DRR position until the end of 2010/11, after which it reverts to an NLRD position to be filled. It will probably be the DD position to deal with data from professional bodies.
3	NLRD	HEQCIS Manager	Deputy Director	Filled	Mr Matubatuba	Contract	Contract is paid by CHE.
4	NLRD	Deputy Director: NLRD ("2IC")	Deputy Director	Vacant	Vacant	Permanent	
5	NLRD	Secretary	Secretary	Filled	Ms Mangwane	Permanent	Currently also assisting the Project Director: Verifications
6	NLRD	Assistant Director: Data/Learnership Coordinator	Assistant Director	Filled	Mr Smit	Permanent	
7	NLRD	Assistant Director: Data Quality Coordinator	Assistant Director	Filled	Ms Oelofsen	Permanent	
8	NLRD	Assistant Director: Data Analyst	Assistant Director	Filled	Mr Matloga	Permanent	
9	NLRD	Assistant Director: Data Analyst	Assistant Director	Filled	Ms Tloubatla	Permanent	
10	NLRD	Assistant Director	Assistant Director	Vacant	Vacant	Permanent	Already in the 2010/11 budget. Position will become the AD position dealing with professional bodies data.
11	NLRD	Assistant Director	Assistant Director	Vacant	Vacant	Permanent	Already in the 2010/11 budget. To coordinate special data projects (e.g. national HRDS data).
12	NLRD	Assistant Director	Assistant Director	Filled	Ms Baartman	Contract	Contract is currently paid by JIPSA, and will probably be paid by CHE in future. Came into effect in Oct 2009, after the 2010/11 budget was completed.
13	NLRD	Data Clerk	Administration Clerk	Filled	Ms Hlatshwayo	Permanent	
14	NLRD	Data Clerk	Administration Clerk	Filled	Mr Sekopa	Permanent	
15	NLRD	Data Clerk	Administration Clerk	Filled	Mr Phenya	Permanent	
16	NLRD	Data Capturing Clerk	Administration Clerk	Filled	Ms Mainaiwa	Permanent	Currently also assisting with Verifications
17	NLRD	Data Capturing Clerk	Administration Clerk	Filled	Ms Dlamini	Permanent	Currently also assisting with Verifications
18	NLRD	Data Capturing Clerk	Administration Clerk	Filled	Ms Vuma	Permanent	

No	Unit / directorate	Job Title	Level	Status	Employee Name	Permanent / Contract	Comment
19	NLRD	Data Capturing Clerk	Administration Clerk	Filled	Mr Mpondo	Permanent	Currently also assisting with Verifications
20	NLRD	Deputy Director: Registration and Accreditation Information	Deputy Director	Vacant/New	Vacant	Permanent	
<b>NLRD Learnerships - 6 existing contracts (none of these vacant), plus 1 new contract for 2011/12</b>							
No	Unit / directorate	Job Title	Level	Status	Employee Name	Permanent / Contract	Comment
1-6	NLRD	NLRD Data Capturer	Learner	Filled	Six people	Contract	
7	NLRD	NLRD Admin Officer	Learner	Vacant/New	Vacant	Contract	

**Verifications - this plan is very new - to be updated after further discussion between Director: NLRD and Proj Director: Verifications - 3 existing contracts, plus 4 new contracts ASAP**

No	Unit / directorate	Job Title	Level	Status	Employee Name	Permanent / Contract	Comment
1	Verif	Project Director: Verifications	Director	Filled	Ms Mcwatts	Contract	Four-year contract
2	Verif	DD: Verifications	Deputy Director	Vacant/New	Vacant	Contract	
3	Verif	Secretary	Secretary	Vacant/New	Vacant	Contract	
4	Verif	AD: Verifications	Assistant Director	Filled	Phumzile Mtsweni	Contract	One-year contract, renewable
5	Verif	AD: Verifications	Assistant Director	Filled	Vivian Modisaesi	Contract	One-year contract, renewable
6	Verif	AD: Verifications	Assistant Director	Vacant/New	Vacant	Contract	
7	Verif	AD: Verifications	Assistant Director	Vacant/New	Vacant	Contract	

#### 4. Programme: Foreign Qualifications: Evaluation and Advisory Service

No	Unit / directorate	Job Title	Level	Status	Employee Name
1	DFQEAS	Director: DFQEAS	Director	Filled	Ms Coetzee
2	DFQEAS	Deputy Director: Client Support	Deputy Director	Filled	Vacant
3	DFQEAS	Deputy Director: Evaluation (Evaluation Generalist)	Deputy Director	Filled	Mr Manyaka

No	Unit / directorate	Job Title	Level	Status	Employee Name
4	DFQEAS	Deputy Director: Evaluation (Specialist)	Deputy Director	Vacant	Vacant
5	DFQEAS	Deputy Director (Coordination?)	Deputy Director	Vacant	Vacant
6	DFQEAS	Assistant Director: Evaluation	Assistant Director	Filled	Ms Vermaak
7	DFQEAS	Assistant Director: Evaluation	Assistant Director	Filled	Mr Burger
8	DFQEAS	Assistant Director: Evaluation	Assistant Director	Filled	Mr Muller
9	DFQEAS	Assistant Director: Evaluation	Assistant Director	Filled	Mr Kgalane
10	DFQEAS	Assistant Director: Evaluation	Assistant Director	Filled	Mr Magasela
11	DFQEAS	Assistant Director: Evaluation	Assistant Director	Filled	Mr Selekane
12	DFQEAS	Assistant Director: Front Desk Sup/v	Assistant Director	Filled	Ms Mpahlwa
13	DFQEAS	Assistant Director: Contact Centre Supervision	Assistant Director	Vacant	Vacant
14	DFQEAS	Assistant Director: Administration	Assistant Director	Filled	Ms Parkies
15	DFQEAS	Assistant Director	Assistant Director	Filled	Mr White
16	DFQEAS	Assistant Director	Assistant Director	Filled	Ms Madja
17	DFQEAS	Assistant Director	Assistant Director	Filled	Ms Moabelo
18	DFQEAS	Assistant Director: Evaluation	Assistant Director	Filled	Mr. Zuzani
19	DFQEAS	Administration Officer: Evaluation	Administration Officer	Filled	Mr Mhlongo
20	DFQEAS	Administration Officer: Evaluation	Administration Officer	Filled	Mr Toni
21	DFQEAS	Administration Officer: Evaluation	Administration Officer	Filled	Ms Zondo
22	DFQEAS	Administration Officer: Evaluation	Administration Officer	Filled	Ms Ndlovu
23	DFQEAS	Administration Officer: Workflow Support	Administration Officer	Filled	Mr Mandonsela
24	DFQEAS	Administration Officer: Front Desk	Administration Officer	Filled	Ms N Mpumlwana
25	DFQEAS	Administration Officer: Front Desk	Administration Officer	Filled	Ms K Masinge
26	DFQEAS	Administration Officer: Front Desk	Administration Officer	Filled	[Ms Mogoaladi]/ Nesevani and LL Modiane
27	DFQEAS	Administration Officer: Contact Centre	Administration Officer	Vacant	M P Puso
28	DFQEAS	Administration Officer: Contact Centre	Administration Officer	Vacant	Vacant
29	DFQEAS	Administration Officer: Contact Centre	Administration Officer	Vacant	Vacant
30	DFQEAS	Administration Clerk: Registration	Administration Clerk	Filled	Ms Selokela
31	DFQEAS	Administration Clerk: Registration	Administration Clerk	Filled	Mr Mtsweni
32	DFQEAS	Administration Clerk: Records Mngt	Administration Clerk	Filled	R Mbungela
33	DFQEAS	Administration Clerk: Records Mngt	Administration Clerk	Vacant	[Ms Mogoaladi]/ Nesevani and LL Modiane
34	DFQEAS	Office Administrator	Assistant Director	Filled	Ms Potgieter
35	DFQEAS	Administration Officer: Tracking and follow-up	Administration Officer	Filled	Mr C Dlamini
36	DFQEAS	Administration Officer: Project Admin	Administration Officer	Filled	Ms Mpogeng





**ANNEXURE D:**



**SOUTH AFRICAN  
QUALIFICATIONS AUTHORITY**

**EMPLOYMENT EQUITY**

**PLAN: 2010 – 2016**

**June 2010**



**INVESTOR IN PEOPLE**

**SOUTH AFRICAN QUALIFICATIONS AUTHORITY  
EMPLOYMENT EQUITY PLAN: 2010 – 2016**

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**SOUTH AFRICAN QUALIFICATIONS AUTHORITY  
EMPLOYMENT EQUITY PLAN: 2010 - 2016**

**1. INTRODUCTION**

- 1.1. SAQA's Employment Equity (EE) plan is designed to provide guidelines for the achievement of employment equity targets and affirmative action measures approved by all stakeholders in the organisation.
- 1.2. The Employment Equity Act 55, 1998 stipulates that employers should decide on the duration of their plans, which should be between one and five years. Organisations are urged by the Act to take their particular circumstances into consideration and determine a time frame in which they can make meaningful progress.

**2. DEFINITIONS**

- 2.1. **Black people:** A generic term that means Africans, Coloured and Indians.
- 2.2. **Designated groups:** Black people, women and people with disabilities.
- 2.3. **People with disabilities:** People who have a long term or recurring physical or mental impairment that substantially limits their prospects of entry into, or advancement in employment.
- 2.4. **Reasonable accommodation:** Any modification or adjustment to a job or to the working environment that will enable a person from a designated group to have access to or participate or advance in employment by meeting performance criteria.
- 2.5. **Affirmative action measures:** Measures designed to ensure that suitably qualified people from designated groups have equal employment and skills development opportunities and are equitably represented in all occupational categories and levels in the workforce of the designated employer.
- 2.6. **SADTU:** South African Democratic Teachers' Union.
- 2.7. **Occupational Category:** A broad description of occupations as classified by the Department of Labour in form EEA 10.
- 2.8. **Occupational Level:** A classification of positions in an organization according to their level of seniority as classified by the Department of Labour in form EEA 9.
- 2.9. **Not economically active:** People who are in the age category 15 to 64 years who are not available for work. This category includes full-time scholars and students, full-time homemakers, those who are retired, and those who are unable or unwilling to work.

**3. PURPOSE**

- 3.1. To ensure equitable demographic representation across all occupational levels and categories.
- 3.2. To ensure equal opportunity and fair treatment in employment policies, procedures and practices.
- 3.3. To eliminate all forms of unfair discrimination.
- 3.4. To implement positive affirmative action measures.
- 3.5. To remove employment barriers that negatively affects members of the designated groups

#### 4. PRINCIPLES

- 4.1. The composition of SAQA's workforce should be reflective of the South Africa's demographics for persons with secondary and higher education.
- 4.2. Under-representation of designated groups in all occupational categories and at all levels in the organisation will be addressed.
- 4.3. The achievement of respective EE targets as set is a line management responsibility.

#### 5. ASSIGNMENT OF RESPONSIBILITY

- 5.1. SAQA has established the Human Resources Consultative Forum as a consultative committee in respect of, amongst others, employment equity. The final responsibility to meet legislative requirements of SAQA in respect of employment equity rests with the Chief Executive Officer.
- 5.2. SAQA's Human Resources Consultative Forum will support and assist management in the implementation of this plan, monitoring of progress as well as the dissemination of relevant information.

#### 6. ANALYSIS OF CURRENT STAFF SITUATION

##### 6.1. Staff Composition (as at 31/03/2010)

Post	African		Coloured		Indian		White		Total
	M	F	M	F	M	F	M	F	
Chief Executive Officer	0	0	1	0	0	0	0	0	1
Deputy Executive Officer	1	0	0	0	0	0	0	0	1
Directors	0	1	1	0	0	0	4	3	9
Deputy Directors	5	1	0	1	1	1	1	3	13
Assistant Directors	10	15	1	0	0	0	6	7	39
Personal Assistants	0	0	0	0	0	0	0	1	1
Admin Officers	2	5	0	0	0	0	1	2	10
Secretarial Staff	0	7	0	0	0	0	0	0	7
Admin Clerks	10	13	0	0	0	0	0	0	23
<b>Total</b>	<b>28</b>	<b>42</b>	<b>3</b>	<b>1</b>	<b>1</b>	<b>1</b>	<b>12</b>	<b>16</b>	<b>104</b>

##### 6.2 Analysis of Status (as at 31/03/2010)

Groups	% of Current Staff	% of Pool of suitably qualified persons (secondary & higher*)	Target for 2010 (% of staff)	Deficit %
African	67.3	59.4	59.4	-7.9
Coloured	3.8	7.9	7.9	+4.1
Indian	2.0	5.3	5.3	+3.3
White	26.9	27.5	27.5	-0.6
<b>Total</b>	<b>100</b>	<b>100</b>	<b>100</b>	

\*The data from the Census 2001.

- A further target that is suggested is the inclusion of a 4% target of people with disabilities for SAQA by 2016. Currently 2% of staff members are physically challenged.

- The SAQA target for 2016 is based on paragraph 8.4.2 of the Code of Good Practice (EE Act 1998), which suggests that the following factors be borne in mind when developing numerical goals:
  - The degree of under-representation of employees from designated groups in each occupational category and level in the employer's workforce.
  - The pool of suitably qualified persons from designated groups from which the employer may be reasonably expected to draw for recruitment purposes – in SAQA's case this will include all persons nationally with secondary schooling and higher.
  - The expected turnover of employees in the employer's workforce during the time period for goals.
- The rationale for this calculation is based on the following:
  - The inclusion of factors as suggested in the EE Act
  - The equal weighting of each of these factors
  - The flexibility and organizational interpretation that is catered for in the EE Act
  - The availability of current national and organizational data

### 6.3 Gender Analysis (as at 31/03/2010)

Group	% of Current Staff	% of Pool of suitably qualified persons (secondary & higher)	Target for 2010 (% of staff)	Deficit %
Male	42.2	48.3	48.3	+6.1
Female	57.8	51.7	51.7	-6.1
<b>Total</b>	100	100	100	0

Target calculations were done using the same formula as in 6.2. The data contained in the above tables were taken from the Census 2001, published by Statistics South Africa.

### 6.4 Goals for the year 2016

To appoint the following staff percentages by 2016:

	Male (% of SAQA staff)	Female (% of SAQA staff)	Total (combined as a % of SAQA staff)
<b>African</b>			
Current	26.9	40.4	67.5
Target	28.2	31.2	59.4
Deficit	+1.3	-9.2	-8.1
<b>Coloured</b>			
Current	2.9	1.0	3.9
Target	3.8	4.1	7.9
Deficit	+0.9	+3.1	+4.0
<b>Indian</b>			
Current	1.0	1.0	2.0
Target	2.8	2.5	5.3
Deficit	+1.8	+1.5	+3.3
<b>White</b>			
Current	11.5	15.4	26.9
Target	13.5	14.0	27.5
Deficit	+2.0	-1.4	-0.6

## **7 AFFIRMATIVE ACTION MEASURES**

### **7.1 Appointment of members from designated groups**

HR must maintain an organisational workforce profile while managers should keep updated workforce profiles of their directorates and sub-directorates. The Human Resources Directorate will provide the recruiting directorate with their employment equity statistics when activating a new appointment. Managers should make every effort to:

- Recruit and fill positions with candidates from designated groups.
- Report on a quarterly basis the progress and / or problems inhibiting progress.
- If a thorough national search for an individual from designated groups with particular skills and competencies does not yield any suitable candidates within an agreed period, SAQA will appoint an appropriate person from non-designated groups to fill the vacancy.

### **7.2 Increasing Pool of Available Candidates**

Competent staff members from designated groups will be developed through structured plans, e.g.

- Study assistance to employees to pursue studies in the fields that are critical for SAQA.
- Employees identified as having potential to be offered opportunities to understudy/shadow in certain positions for a specific period with the intention of promoting the principle of retention and internal promotion.

### **7.3 Training and Development of employees from designated groups**

- Mentorship and development learnership programmes will be introduced to provide support and coaching to identified members of staff.
- In order to assist in this process a skills matrix will be developed for SAQA:
  - Skills analysis and audits to be conducted
  - Skills priorities for SAQA will be developed
  - Skills gaps to be closed by means of appropriate training and development interventions.

A Performance Management system, which includes individual and development programmes, will be implemented at all levels for all positions at SAQA.

### **7.4 Promotion of employees from designated groups**

As indicated earlier, SAQA will support the promotion of people from designated groups by providing temporary promotion experiences, mentoring and coaching these employees by way of preparing them for promotional positions.

### **7.5 Retention of employees from designated groups**

SAQA has developed a Retention Strategy that includes the retention of staff from designated groups.

### **7.6 Reasonable accommodation for employees from designated groups**

- SAQA has acquired a new building that provides easier access to physically challenged/disabled people.
- Employees may arrange flexible working hours with their supervisors/ managers.

## 7.7 Human Resources Consultative Forum

SAQA has established the Human Resource Consultative forum whose membership include management, staff and members of SADTU and the Staff Association. The brief of the HRC Forum includes Employment Equity, Training and Development as well as HIV and Aids. This forum holds its meetings regularly and is consulted when corporate decisions are taken on matters affecting their brief.

## 8 DISPUTE RESOLUTION

In case a dispute arises due to the interpretation and implementation of the EE plan, the following procedures will be followed:

- The complainant/s should submit his/her complaint to the Chairperson of the HRC Forum within three working days of their discovery of the problem.
- The chairperson of the Forum will conduct a preliminary investigation to establish the facts of the problem.
- After the preliminary investigation, the chairperson of the Forum will forward the complaint to the Dispute Resolution Committee (DRC), which will consist of the following people: -
  - Chairperson of the HRC Forum
  - Chief Executive Officer or his/her nominated representative
  - Representatives from management (x 2)
  - Union Representative (x1)
  - Staff Association Representative (x1)
  - An elected HRC Forum member (x1)
- The Dispute Resolution Committee should attempt to resolve the matter within 10 working days, or such further time as the parties may agree, from the date of receiving the complaint.
- If the matter remains unresolved, the complainant shall refer the matter to the South African Qualifications Authority.
- If the complainant is not satisfied with the outcome of the DRC, the complainant will be free to refer the matter to the CCMA







**SOUTH AFRICAN  
QUALIFICATIONS AUTHORITY**

**FINANCIAL PLAN:  
2011 – 2014 MTEF PERIOD**

**September 2010**



**INVESTOR IN PEOPLE**

**ANNEXURE E: FUNDING PLAN: 2011 – 2014 MTEF PERIOD**

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## ANNEXURE D: FUNDING PLAN: 2011 – 2014 MTEF PERIOD

### 1. INTRODUCTION:

In order to fulfill its mandate and execute its strategies and objectives as described in the strategic Plan, SAQA requires the appropriate funding. SAQA has therefore considered its financial resource requirements and has established a realistic baseline budget.

In the past the necessary resources have been provided by a number of donors and sponsors. However the main sources of income currently are:

- Government through the Department of Higher Education and Training
- Self-funded projects and self-recovery services

### 2. ASSUMPTIONS UPON WHICH THE BUDGET IS BASED

In considering financial resource requirements for the 2011 – 2014 MTEF period, SAQA had to make certain assumptions, on which to base the budgeting process. Those are the following:

- The budget is based on SAQA's new mandate in terms of the NQF Act, with an implementation date of 1 June 2009;
- Personnel costs will be adjusted for the effects of inflation at 6 percent;
- Performance and broadbanding level adjustments for all levels of staff are implemented and maintained;
- Inflation on income will be approximately 5 percent, except for DFQEAS revenue that is expected to remain flat at R12.5 million. The NLRD income is expected to be R6 million in terms of the DPSA directive in terms of government department verifications;
- Inflation of costs will be around 5 percent with SAQA having to absorb any higher inflation by using resources more effectively and efficiently to still achieve its operational goals;
- The funding from government will be at least R 43,8 million;
- Additional project funding will be sought for clearly defined and discrete projects;
- The estimate presented below is such that not all of the objectives as set out in the strategic plan will be able to be implemented unless further funding or grants are obtained. There will be a formal prioritisation process and unfunded mandates will be declared to government; and
- A total of 57 new and 7 contract positions will be created, resulting in a new overall staff complement of 189 permanent staff members (inclusive of the contract positions). 43 of the new positions will be for the Career Advice Services Helpdesk.

### 3. MEDIUM TERM REVENUE / EXPENDITURE ESTIMATE:

Based on the assumptions indicated in paragraph 2 above, the three-year rolling estimate of revenue and expenses have been prepared, and it appears in the table below:

	2011/12	2012/13	2013/14
	R	R	R
<b>Receipts</b>			
Tax revenue			
Non-tax revenue	30,930,000	32,476,500	38,100,325
Sale of capital assets			
Transfers received	81,615,000	90,406,000	48,536,000
<b>Total Revenue</b>	<b>112,545,000</b>	<b>122,882,500</b>	<b>86,636,325</b>
<b>Expenditure</b>			
<b>Current</b>	<b>109,455,000</b>	<b>120,462,500</b>	<b>84,186,325</b>
Compensation of employees	68,307,082	75,405,507	53,513,589
Goods and services	40,923,507	44,821,361	30,425,322
Transfer payments and subsidies	224,411	235,632	247,413
Other expenditure			
<b>Capital</b>	<b>3,090,000</b>	<b>2,420,000</b>	<b>2,450,000</b>
Transfer payments			
Fixed assets	3,090,000	2,420,000	2,450,000
Land and subsoil assets			
<b>Total Expenditure</b>	<b>112,545,000</b>	<b>122,882,500</b>	<b>86,636,325</b>
<b>Surplus/ (Deficit)</b>	<b>-</b>	<b>-</b>	<b>-</b>

#### Transfers received

Government grants	43,815,000	46,006,000	48,536,000
Project funding	37,800,000	44,400,000	-
	81,615,000	90,406,000	48,536,000

### 4. BUDGET FOR THE 2011/12 FISCAL YEAR:

As in previous years, SAQA has again prepared three budget scenarios. The Board has decided to submit all three scenarios with the recommendation that budget scenario 3 be approved, as this is the only fully funded scenario. The three scenarios are appended hereto for consideration.





# **SOUTH AFRICAN QUALIFICATIONS AUTHORITY**

## **RISK MANAGEMENT PLAN: 2011 – 2014 MTEF PERIOD**

**September 2010**



INVESTOR IN PEOPLE

# RISK MANAGEMENT PLAN: 2011 – 2014 MTEF PERIOD

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## DETAILED RISK MANAGEMENT PLAN: 2011 – 2014 MTEF PERIOD

### 1. INTRODUCTION

The SAQA Board, in the execution of its fiduciary duties, and in compliance with Sections 50(a) and 51(c) of the Public Finance Management Act, 1999, ensured that a detailed risk management plan was developed. The detailed Risk Management Plan provides for strategies to mitigate the identified risks.

### 2. PROCESS FOLLOWED IN DEVELOPMENT OF SAQA’S RISK MANAGEMENT PLAN

The Risk Management Plan was developed according to the four programmes around which the budget is structured. It has to be noted that the overall objectives of the organisation may be applicable to more than one unit, and the objectives do not follow in numerical order.

The **prioritised risk areas** were identified and a summary of these high-risk areas (risk rating of 16 and above) is included in paragraph 3 of this document.

Further, each unit within a programme developed a risk management plan for the unit using a common recording template and these risk mitigating strategies are incorporated into each unit’s operational plan for the ensuing years. The detailed risk management plans of the various units, contains ALL identified risks, irrespective of rating. These detailed risk management plans are contained in paragraph 4 below.

The structure of the recording template is as follows:

<b>Objective</b>	indicates the objective for which organisational risk has been identified
<b>Context</b>	a brief description of the operating environment
<b>Risk #</b>	indicates the specific risks associated with the achievement of the objective
<b>Sources of Risk</b>	indicates where the risk arises from or how we know the risk is there
<b>Strategy #</b>	indicates what strategies can be implemented to counter the risk. The approach of management is likely to be multi-pronged i.e. implement all possible strategies where possible

**Assessment of Risk** accommodates the following:

- **L** refers to the Likelihood that the risk will occur (1 = low likelihood; 5 = very strong likelihood)
- **I** refers to the Impact it will have (1 = low impact; 5 = great impact)
- **Level** refers to the level of the risk, calculated by multiplying the Likelihood rating by the Impact rating, producing a figure between 1 and 25
- **Action** refers to whether action will be taken, the response being either ‘yes’ or ‘no’. This is determined by the Level of risk as follows:
  - Level scores of 1 – 8 are usually not a concern, are well managed and can be handled through routine operations;
  - Level score of 9 – 15 are in a cautionary zone and are usually addressed by assigning a specific staff member to be responsible for managing the risk. If the risks are not monitored and managed, they could become unacceptable;
  - Level scores of 16 –25 are generally of greater concern and specific action plans to address the risks should be developed and senior management should be informed. As the risk becomes more significant, the level of senior management involvement would be escalated.





# **SOUTH AFRICAN QUALIFICATIONS AUTHORITY**

## **PRIORITISED RISKS: 2011 – 2012**



**INVESTOR IN PEOPLE**

### 3. PRIORITISATION OF RISK

Risks with level scores of 16 –25 (a high risk rating) are generally of greater concern and specific action plans to address these risks have been developed and incorporated in each unit’s operational plans. Senior management is involved in monitoring mitigation of these risks.

These risks have been categorised as follows:

- Resources: Financial, Human Resource and Infrastructural
- Management of SAQA’s operations: notably with regard to Advocacy, the NLRD, and Verifications
- The new NQF landscape

Risks with a high risk rating, have been prioritised, and are included under this paragraph – the Directorate where the risk was identified is also included with each risk.

#### 3.1 Resources

<p><b>Overall Objective: 3.13</b> [Section (13) (n) (iii) PFMA, legislative and governance requirements]:</p> <p>Ensure effective governance and the aligned development of human, financial and infra-structural resources, to support the achievement of the organisational objectives.</p>
<p><b>Context:</b></p> <p>The new NQF Landscape is taking shape: SAQA remains the oversight body for the NQF and as such will ensure that the NQF and its embedded values are aligned in the national interest. Firm political &amp; financial commitment and the buy-in of partners and key role-players are required, and it is necessary to manage the transition carefully to maintain coherence in the system.</p>

#### Funding:

RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
SAQA’s budget is insufficient to support the planned activities of SAQA  (EO)	<ul style="list-style-type: none"> <li>• The MTEF indicates government funding that is below the budgetary requirements of SAQA</li> <li>• New bodies are to be established or existing mandate increased</li> <li>• Loss of rental income due to reduced interest from tenants and / or SAQA’s increased needs for office space.</li> </ul>	5	5	25	Yes
<p><b>Strategy 1:</b> SAQA lobbies government to ensure SAQA’s financial sustainability <b>Lead:</b> Chair, Board members, Executive Office <b>Action:</b> Inputs to MTEF indicate clearly SAQA’s needs and are supported by the DHET, as per the remit to SAQA</p>					
<p><b>Strategy 2:</b> SAQA requests government support in gaining donor support for discrete projects (e.g. CAS) <b>Lead:</b> Executive Office, DRR, CAS <b>Action:</b> Motivate the need for project specific funding</p>					
<p><b>Strategy 3:</b> SAQA updates the operational and structural review and conceptualises and implements enhanced operational mode and optimisation of available skills and expertise</p>					

RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Inadequate funds available (Advocacy)	<ul style="list-style-type: none"> <li>The tight financial constraints as set out by DHET together with a poor understanding of the real costs to build a valued national brand</li> <li>The MTEF indicates government funding that is below the budgetary requirements of SAQA</li> </ul>	4	4	16	Yes
<p><b>Strategy 1:</b> Utilise appropriate Forums to communicate and create support for the Advocacy Project <b>Lead:</b> NQF Advocacy Project Director <b>Action:</b> The task will be to ensure a balance between expectations and what can be realistically achieved. The PSC will be seen as the key interface in this regard.</p>					

**Staffing:**

RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
<ul style="list-style-type: none"> <li>Skilled staff is lost to the system</li> <li>Key activities not completed at the required level of quality (EO)</li> </ul>	<ul style="list-style-type: none"> <li>Recruitment and retention of quality staff is not possible due to budgetary constraints</li> <li>SAQA requires scarce specialized skills in a number of areas</li> </ul>	4	5	20	Yes
<p><b>Strategy 1:</b> SAQA implements its retention strategy effectively and offers market-related salaries <b>Lead:</b> Executive Office, HR <b>Action:</b></p> <ul style="list-style-type: none"> <li>Implement broadbanding across the organisation</li> <li>Implement effective training and development plans</li> <li>Ensure effective redeployment</li> </ul>					
<p><b>Strategy 2:</b> SAQA and partners make agreements regarding deployment of expertise in a changed operational environment <b>Lead:</b> Executive Office, HR <b>Action:</b></p> <ul style="list-style-type: none"> <li>Strategies are developed and implemented to ensure system access to and for NQF expertise</li> <li>Ensure the placement of this matter on the Agenda of the Sector for future skills planning</li> </ul>					

RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
The loss of skilled staff members or contracted individuals that have specialised on SAQA systems (IT)	Better remuneration elsewhere	4	4	16	Yes
<p><b>Strategy 1:</b> Outsource specialised functions <b>Lead:</b> IT Director <b>Action:</b></p> <ul style="list-style-type: none"> <li>Identify highly specialised functions, identify possible providers.</li> <li>Ring-fence funds for this and develop and manage appropriate contracts.</li> <li>Identify and contract service providers to cover specialised services required by SAQA.</li> </ul>					

<p><b>Strategy 2:</b> Ensure systems, network and technical documentation is up to date <b>Lead:</b> IT Director <b>Action:</b></p> <ul style="list-style-type: none"> <li>• Ensure all critical processes, procedures and work instructions are documented</li> <li>• Ensure all technical instructions and manuals received from vendors</li> <li>• Ensure knowledge transfer takes place from service providers.</li> </ul>
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**Infrastructure:**

RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
<p>Insufficient resources to ensure business continuity of the SAQA systems.  (IT)</p>	<ul style="list-style-type: none"> <li>• SAQA's IT architecture consists of a wide range of different systems. Individuals with expertise of all these systems are scarce and sought-after.</li> <li>• The succession planning for the Director position may be a source of risk.</li> </ul>	4	4	16	Yes

<p><b>Strategy 1:</b> Outsource specialised functions <b>Lead:</b> IT Director <b>Action:</b></p> <ul style="list-style-type: none"> <li>• Identify highly specialised functions, identify possible providers.</li> <li>• Ring-fence funds for this and develop and manage appropriate contracts.</li> <li>• Identify and contract service providers to cover specialised services required by SAQA.</li> </ul>
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<p><b>Strategy 2:</b> Ensure systems, network and technical documentation is up to date <b>Lead:</b> IT Director <b>Action:</b></p> <ul style="list-style-type: none"> <li>• Ensure all critical processes, procedures and work instructions are documented</li> <li>• Ensure all technical instructions and manuals received from vendors</li> <li>• Ensure knowledge transfer takes place from service providers.</li> </ul>
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RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
<p>Access required from outside SAQA attracts attention of hackers and mischief-makers, who could attack the servers within the demilitarised zone, causing unacceptable recovery times. (IT)</p>	<p>Opening of SAQA servers for access from outside SAQA offices</p>	4	4	16	Yes

<p><b>Strategy 1:</b> Ensure daily backups are successful and tested for recovery capability <b>Lead:</b> IT Director <b>Action:</b></p> <ul style="list-style-type: none"> <li>• Back-up and monitoring of backups on a daily basis</li> <li>• Off-site storage of back-ups</li> <li>• Maintain an off-site recovery facility</li> <li>• Off-site testing of full recovery of systems on a regular basis</li> </ul>
--

**Strategy 2:**

Ensure that the operating environment especially the server room is secure

**Lead:** Director: IT

**Action:**

Ensure that those who access the server room are legitimate, sign-in, indicating their reason for being there and are not left alone at any time (Register, CCTV camera and access control system)

Check regularly that the access control system and the fire detection systems are fully operational

**5.2 Management of SAQA's Operations****NLRD:****Strategic Objective: 3.9 [Section (13) (1) (I)]:**

Maintain and further develop the National Learners' Records Database (NLRD) as the key national source of information and advice for human resource and skills development in policy, infrastructure, planning and the verification of learner achievements

**Directorate Objective 1**

Market the NLRD to identified key clients in the public and private sector

**Context:** The NLRD requires further promotion. However, in the current climate for SAQA, this requires sensitivity and skill.

RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
New legislation or requests without consultation, may create changed requirements or may increase volumes of work that are difficult to meet	<ul style="list-style-type: none"> <li>Lack of consultation with SAQA staff</li> <li>Unrealistic deadlines to meet additional requirements and requests.</li> </ul>	5	5	25	Yes
<b>Strategy 1:</b> Improve understanding of the needs of the public service and improve communication with high level staff at DPSA and in the Minister of Public Service's Office. <b>Lead:</b> Director: NLRD; Executive Office <b>Actions:</b> <ul style="list-style-type: none"> <li>Identify the projects that are necessary to fulfil the new needs</li> <li>Plan the projects</li> <li>Implement the projects</li> </ul>					
<b>Strategy 2:</b> Implement relevant projects <b>Lead:</b> Director: NLRD; Executive Office <b>Actions</b> <ul style="list-style-type: none"> <li>Identify the projects that are necessary to fulfil the new needs</li> <li>Plan the projects</li> <li>Implement the projects</li> </ul>					
<b>Strategy 3:</b> Ensure sufficient resources, including staffing <b>Lead:</b> Director: NLRD; Executive Office; Director: Human Resources <ul style="list-style-type: none"> <li>Ensure that the size and capacity of the staff complement required for NLRD projects has been identified</li> <li>Ensure that the required number and capacity of staff are employed in the NLRD Directorate (whether permanently or on contract)</li> <li>Ensure that capacity building activities are carried out</li> </ul>					

**Strategy 4:**

Ensure sufficient funding and / or income

**Lead:** Director: NLRD; Executive Office; Director: Finance and Administration

**Actions:**

- Calculate income and expenditure projections
- Ensure that these cover sufficient income and expenditure for the success of the required work

**Verifications:****Directorate Objective 5:**

Provide a service for the verification of the achievement of qualifications at South African institutions

**Context:** The NLRD has already been used to perform verifications (for the public and private sectors) for several years. During the 2009-10 financial year the Minister of Public Service and Administration issued a circular and then a directive, making it compulsory for all public sector verifications to be carried out by SAQA alone. This entails the verification of approximately 4 million records over the next few years.

RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Reputational risk in not meeting the agreed deadlines. (Verifications)	<ul style="list-style-type: none"> <li>• Volume of work</li> <li>• Lack of capacity</li> <li>• Insufficient resources</li> <li>• SAQA unable to employ full staff complement for the Verifications Project, <b>or</b></li> <li>• Staff complement</li> <li>• present, but necessary skills must be built</li> <li>• Difficulty in locating some of the information partners (e.g. due to closure)</li> <li>• Lack of cooperation by some information partners</li> </ul>	4	5	20	Yes

**Strategy 1:**

Managing the expectations of the Minister of Public Service and Administration, DPSA and governmental departments

**Lead:** Project Director: NLRD Verifications

**Action:**

- Negotiate realistic timeframes and agree on dates
- Estimate time frames taking all possible sources of delay into account
- Negotiate additional resources where applicable
- Reprioritise as and when necessary

**Strategy 2:**

Ensure adequate resources for the Verifications Project

**Lead:** Project Director: NLRD Verifications; Director: NLRD; Executive Office; HR Director

**Action:**

- Ensure that the size and capacity of the staff complement required for the Verifications Project has been identified
- Ensure that the required number and capacity of staff are employed in the Verifications Project (whether permanently or on contract)
- Ensure that capacity building activities are carried out

<p><b>Strategy 3:</b> Utilise all resources possible for locating information partners or their archived information <b>Lead:</b> Project Director: NLRD Verifications; Director: NLRD; Executive Office <b>Action:</b></p> <ul style="list-style-type: none"> <li>• Enlist the assistance of other SAQA staff members (who may have had contact with various data sources)</li> <li>• Contact stakeholders who may be able to assist</li> <li>• Utilise the Internet</li> </ul>
<p><b>Strategy 4:</b> Ensure that the information partners understand the implications of cooperating or not cooperating with SAQA requests <b>Lead:</b> Project Director: NLRD Verifications; Director: NLRD; Executive Office <b>Action:</b></p> <ul style="list-style-type: none"> <li>• Enlist the assistance of government departments such as DHET and DPSA</li> <li>• Liaise with the information partners frequently</li> <li>• Ensure that the information partners receive acknowledgement of their responses and efforts</li> </ul>

RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
<ul style="list-style-type: none"> <li>• Disseminate incorrect information</li> <li>• Stakeholders' needs are not met (Verifications)</li> </ul>	<ul style="list-style-type: none"> <li>• Receipt of incorrect or incomplete data</li> <li>• Incorrect search or extraction methods</li> <li>• Incorrectly formulated requests</li> <li>• Misunderstanding / misreading the requests</li> </ul>	4	5	20	Yes
<p><b>Strategy 1:</b> Initiate intensified data-gathering projects <b>Lead:</b> Project Director: NLRD Verifications; Director: NLRD <b>Action:</b></p> <ul style="list-style-type: none"> <li>• Interact with data suppliers, in order to do data comparisons and undertake gap-filling projects</li> <li>• Integrate these projects with the NLRD's other data-population initiatives</li> </ul>					
<p><b>Strategy 2:</b> Check assumptions concerning information requirements; ensure the correction of faulty methodology, programming and processes, proactively or as soon as mistakes are detected <b>Lead:</b> Project Director: NLRD Verifications; Verification Project Team <b>Action:</b></p> <ul style="list-style-type: none"> <li>• Constantly review and check systems and produce exception reports to identify weaknesses and inaccuracies</li> <li>• Obtain and act on feedback</li> <li>• Communicate clearly and regularly with data suppliers and data capturers</li> </ul>					
<p><b>Strategy 3:</b> Ensure that the clients use the resources, for submitting verification requests, correctly <b>Lead:</b> Project Director: NLRD Verifications; Verification Project Team <b>Action:</b></p> <ul style="list-style-type: none"> <li>• Ensure that the correct templates are issued to clients</li> <li>• Ensure that the clients use the correct templates to submit their requests</li> <li>• Ensure that the templates are completed correctly</li> <li>• Communicate clearly and regularly with clients</li> </ul>					
<p><b>Strategy 4:</b> Ensure that the procedures for verifications are followed correctly <b>Lead:</b> Project Director: NLRD Verifications; Verification Project Team <b>Action:</b> Maintain up-to-date procedures Cross-check the reports to be sent to the clients</p>					

### 5.3 The New NQF Landscape:

#### **Strategic Objective 3.4 [Section (13) (1) (g – h)]:**

Continue to manage the transition and future processes with NQF partners, to ensure effectiveness in the system to the advantage of learners, especially those in poor and rural communities

**Context:** The NQF Act and other associated legislation provide for a different landscape in which SAQA is the oversight body and, in consultation with the QCs, is required to develop transitional arrangements for the system to move from the SAQA Act to the new NQF Act.

<b>Directorate Objective 1</b>					
Ensure a smooth transition from the old to the new NQF landscape					
RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
<ul style="list-style-type: none"> <li>Full operational capacity at the QCs is slow to achieve and impacts on synchronization</li> </ul>	<ul style="list-style-type: none"> <li>Political leadership is uncertain about the direction of NQF</li> </ul>	4	5	20	Yes
<ul style="list-style-type: none"> <li>The QCs develop at different rates and fail to collaborate with SAQA and each other</li> <li>Human Resource capacity in the Directorate is either limited or uneasy about the new landscape impacting on full utilisation of resources (DRR)</li> </ul>	<ul style="list-style-type: none"> <li>development</li> <li>Budgetary constraints slow the pace of implementation</li> <li>Constituency pressure resulting from expressed sectoral needs</li> <li>Executive and senior management underestimate the resource implications</li> </ul>				
<p><b>Strategy 1:</b> Engage directly with the Minister and Department as well as the QCs to alert them to the risk associated with delays in full establishment of the QCs. <b>Lead:</b> Executive Office <b>Action:</b></p> <ul style="list-style-type: none"> <li>Highlight the risk at meetings with the Boards of the QCs, fellow Executive Officers and high ranking officials and the Ministers</li> <li>Ensure adequate capacity at Directorate level to lead the processes</li> </ul>					





# **SOUTH AFRICAN QUALIFICATIONS AUTHORITY**

## **DETAILED RISK MANAGEMENT PLAN: 2011 – 2012**



**INVESTOR IN PEOPLE**

## 4. DETAILED RISK PLAN ACCORDING TO PROGRAMMES

### 4.1. Administration and Support

This Programme covers the risk management plans of the Executive Office (key organisational risks), Finance and Administration, Human Resources, Information and Information Technology, Strategic Support, Advocacy, Research and the newly established Career Advice Service directorate

#### 4.1.1. Executive Office

**Strategic Objective: 3.3 [Section (13) (1) (e-f)]**

Engage proactively and coordinate the work of education and training partners to ensure systemic coherence, articulation and implementation in overseeing the further development of the NQF to the benefit of learners, in line with and responsive to national education and training imperatives.

**Context:**

The new NQF Landscape is taking shape: SAQA remains the oversight body for the NQF and as such will ensure that the NQF and its embedded values are aligned in the national interest. Firm political & financial commitment and the buy-in of partners and key role-players are required, and it is necessary to manage the transition carefully to maintain coherence in the system.

KEY STRATEGIC RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
SAQA is not able to execute its leadership and oversight role effectively	<ul style="list-style-type: none"> <li>Varying degree of buy-in of SAQA's role in the new NQF architecture and transitional arrangements</li> <li>Management/operational challenges</li> <li>Staffing challenges</li> <li>Inadequate funding</li> </ul>	3	5	15	Yes, all actions as listed below are aimed at mitigating this key risk

RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
There are different degrees of buy-in of the new legislation, regarding the roles and responsibilities of the various bodies in the new system	<ul style="list-style-type: none"> <li>Public Entities find different opportunities within the legislation and want to utilize them in ways that might be in conflict with others (e.g. level five descriptors)</li> <li>Ambiguities about the roles and responsibilities of the various bodies in the new system</li> <li>Competition between bodies for resources</li> </ul>	2	5	10	Yes

<p><b>Strategy 1:</b> SAQA engages constructively with the Ministers, their representatives and advisers as well as the Quality Councils to ensure that:</p> <ul style="list-style-type: none"> <li>the principles, values and benefits of systemic co-ordination of the NQF are understood and implemented</li> <li>accurate and comprehensive information is available to assist in the decision making and implementation</li> <li>SAQA's role as the NQF oversight and leadership body in upholding the NQF in the national interest is agreed and supported</li> </ul> <p><b>Lead:</b> Chair, Board members, Executive Office</p> <p><b>Action:</b></p> <ul style="list-style-type: none"> <li>Consultations with Ministers &amp; advisers</li> <li>Advice to the Minister on the NQF Act's Regulations and policy</li> <li>Present information and advise the Education Portfolio Committees</li> <li>Consultations at NQF Forum and CEO's Forum</li> </ul>
<p><b>Strategy 2:</b> SAQA engages constructively with key partners in the education and training community to ensure the optimum delivery of the NQF and its objectives to South African learners through partnership and co-operation.</p> <p><b>Lead:</b> Chair, Board members, Executive Office</p> <p><b>Action:</b></p> <ul style="list-style-type: none"> <li>Meetings with key NQF role players to ensure shared meanings and understandings</li> <li>Consultation with key partners regarding the implementation, monitoring and refinement, if necessary, of transitional arrangements</li> <li>Participation in the workings of the QCs and other initiatives</li> </ul>
<p><b>Strategy 3:</b> SAQA facilitates on-going consultation with all role-players/stakeholders to ensure co-operation in fulfilling respective roles and responsibilities, with a view to achieving systemic coherence</p> <p><b>Lead:</b> Chair, Board members, Executive Office, all SAQA directorates</p> <p><b>Action:</b></p> <ul style="list-style-type: none"> <li>Identify areas where there appears to be consensus and drive those changes</li> <li>Consult on a regular basis with those responsible for establishing new structures</li> <li>Strategic projects with the key partners, including advocacy of NQF</li> </ul>

RISK 2	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
QCTO was launched on 23 February 2010, but is not yet optimally operational	Lack of capacity in the QCTO to become fully operational Lack of resources in the QCTO	3	5	15	Yes

<p><b>Strategy 1:</b> SAQA engages constructively with the Minister, his representatives and advisers and the QCTO to ensure that:</p> <ul style="list-style-type: none"> <li>They are aware of the implications if the QCTO is not fully established and functional</li> <li>Interim measures (such as SAQA performing the SS and QA role on behalf of the QCTO) are in place in order for the system to be fully functional</li> <li></li> <li>SAQA works collaboratively with the QCTO towards development of the required competencies.</li> </ul> <p><b>Lead:</b> Chair, Authority members, Executive Office</p> <p><b>Action:</b></p> <ul style="list-style-type: none"> <li>Consultations with Ministers, advisers and the QCTO</li> <li>Written advice to the Minister and the QCTO as appropriate</li> </ul>
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RISK 3	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Incoherent implementation of the new system	<ul style="list-style-type: none"> <li>Differences of opinion about the roles, responsibilities and implementation actions</li> <li>Competition between bodies for resources</li> <li>Varied degrees of readiness and uneven capacity to implement the new system</li> <li>Differing ideas regarding priorities</li> </ul>	3	5	15	Yes
<p><b>Strategy 1:</b> SAQA engages constructively with the Ministers, representatives and advisers to ensure that:</p> <ul style="list-style-type: none"> <li>the principles, values and benefits of systemic co-ordination of the NQF are understood and implemented</li> <li>accurate and comprehensive information is available to assist in decision making and implementation</li> <li>SAQA's role as the NQF oversight and leadership body in upholding the NQF in the national interest is agreed and supported</li> </ul> <p><b>Lead:</b> Chair, Board members, Executive Office</p> <p><b>Action:</b></p> <ul style="list-style-type: none"> <li>Consultations with Ministers &amp; advisers</li> <li>Advice to the Minister on the NQF Act's Regulations and Policy</li> <li>Present information and advise the Portfolio Committee</li> <li>Consultation via the NQF Forum and the CEOs Forum and the Quality Councils, as appropriate</li> </ul>					
<p><b>Strategy 2:</b> SAQA engages constructively with key partners in the education and training community to ensure the optimum delivery of the NQF and its objectives to South African learners through partnership and co-operation.</p> <p><b>Lead:</b> Chair, Board members, Executive Office</p> <p><b>Action:</b></p> <ul style="list-style-type: none"> <li>Meetings with key NQF role players to ensure shared meanings and understandings</li> <li>Consultation with key partners regarding transitional arrangements</li> <li>Participation in the workings of the QCs and other initiatives</li> </ul>					

**Overall Objective: 3.13** [Section (13) (n) (iii) PFMA, legislative and governance requirements]

Ensure effective governance and the aligned development of human, financial and infra-structural resources, to support the achievement of the organisational objectives.

**Context:**

The new NQF Landscape is taking shape: SAQA remains the oversight body for the NQF and as such will ensure that the NQF and its embedded values are aligned in the national interest. Firm political & financial commitment and the buy-in of partners and key role-players are required, and it is necessary to manage the transition carefully to maintain coherence in the system.

RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
SAQA's budget is insufficient to support the planned activities of SAQA	<ul style="list-style-type: none"> <li>The MTEF indicates government funding that is below the budgetary requirements of SAQA</li> <li>New bodies are to be established or existing mandate increased</li> <li>Loss of rental income due to reduced interest from tenants and / or SAQA's increased needs for office space.</li> </ul>	5	5	25	Yes

<p><b>Strategy 1:</b> SAQA lobbies government to ensure SAQA's financial sustainability <b>Lead:</b> Chair, Board members, Executive Office <b>Action:</b> Inputs to MTEF indicate clearly SAQA's needs and are supported by the DHET, as per the remit to SAQA</p>					
<p><b>Strategy 2:</b> SAQA requests government support in gaining donor support for discrete projects (e.g. CAS) <b>Lead:</b> Executive Office, DRR, CAS <b>Action:</b> Motivate the need for project specific funding</p>					
<p><b>Strategy 3:</b> SAQA updates the operational and structural review and conceptualises and implements enhanced operational mode and optimisation of available skills and expertise</p>					
RISK 2	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
<ul style="list-style-type: none"> <li>Skilled staff is lost to the system</li> <li>Key activities not completed at the required level of quality</li> </ul>	<ul style="list-style-type: none"> <li>Recruitment and retention of quality staff is not possible due to budgetary constraints</li> <li>SAQA requires scarce specialized skills in a number of areas</li> </ul>	4	5	20	Yes
<p><b>Strategy 1:</b> SAQA implements its retention strategy effectively and offers market-related salaries <b>Lead:</b> Executive Office, HR <b>Action:</b></p> <ul style="list-style-type: none"> <li>Implement broadbanding across the organisation</li> <li>Implement effective training and development plans</li> <li>Ensure effective redeployment</li> </ul>					
<p><b>Strategy 2:</b> SAQA and partners make agreements regarding deployment of expertise in a changed operational environment <b>Lead:</b> Executive Office, HR <b>Action:</b></p> <ul style="list-style-type: none"> <li>Strategies are developed and implemented to ensure system access to and for NQF expertise</li> <li>Ensure the placement of this matter on the Agenda of the Sector for future skills planning</li> </ul>					

#### 4.1.1 (a) International Liaison

<p><b>Strategic Objective: 3.8</b> [Section (13) (1) (j)]</p> <p>Collaborate with SAQA's international counterparts regarding qualifications frameworks and keep its NQF partners informed regarding international practices</p>
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<p><b>Directorate Objective 1</b> Strengthen the NQF through representation on international bodies that can build and support SAQA's initiatives effectively</p>					
RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Limited resources available to represent SAQA on international bodies	<ul style="list-style-type: none"> <li>This is a specialised function</li> <li>Currently only two employees dedicated to this function on a full-time basis</li> </ul>	2	4	8	No

<p><b>Directorate Objective 2</b> Inform SAQA, the QCs, and other interested parties about international practice in the development and management of qualifications frameworks, including quality assurance and standards setting.</p>					
RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION

Limited resources available to inform QCs and interested parties	SAQA is not adequately recognised for the contribution that it makes	2	4	8	No
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<b>Directorate Objective 3</b> Identify and contribute to new and critical thinking related to qualifications frameworks.					
RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Limited resources available to participate in relevant research and consultative meetings	<ul style="list-style-type: none"> <li>Events are not prioritised</li> <li>Relevant research is not identified timeously</li> </ul>	2	3	6	No

<b>Directorate Objective 4</b> Collaboration with countries and regions requesting assistance in developing qualifications frameworks					
RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
SAQA makes investments in assisting international agencies, in terms of time and money, and does not receive a return on this investment	<ul style="list-style-type: none"> <li>SAQA is not paid for its services</li> <li>The non-financial return on investment is limited</li> </ul>	1	2	2	No

RISK 2	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
SAQA receive more requests for assistance than current capacity allows	<ul style="list-style-type: none"> <li>Lack of capacity: currently only one employee dedicated to this function on a full-time basis</li> <li>Requests for assistance not properly prioritised in terms of their strategic value.</li> </ul>	1	4	4	No

#### 4.1.1 (b) Governance

<b>Strategic Objective: 3.13</b> <i>[Section (13) (n) (iii) PFMA, legislative and governance requirements]</i> Ensure effective governance and the aligned development of human, financial and infra-structural resources, to support the achievement of the organisational objectives.
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<b>Directorate Objective 1</b> Lack of knowledge regarding governance matters					
RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Facilitate informed decision-making and good governance through the organisation, management and dissemination of high quality information to the Board	Authority or Management does not recognise the importance of good corporate governance practices	1	4	4	No

<b>Directorate Objective 2</b> Provide the Board with appropriate documentation, accurate records and logistical support					
RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION

Documentation is not accurate or not appropriate, thus hampering informed decision-making.	<ul style="list-style-type: none"> <li>High work pressure</li> <li>Bad planning</li> </ul>	1	4	4	No
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#### 4.1.1 (c) Career Advisory Services

<p><b>Strategic Objective: 3.10</b> [Section (13) (h) (3)] Advance lifelong learning through credit accumulation and transfer, recognition of prior learning and career advice services.</p> <p><b>Context:</b> Establishment of a national, comprehensive, independent career development helpline to support the implementation of the National Qualifications Framework, National Skills Development Strategy and the national Human Resource Development Strategy.</p>
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RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Obtaining sufficient funding to ensuring the sustained delivery of the career advice service	Government does not fulfill its commitment to fund the career advice service	2	5	10	Yes
<p><b>Strategy 1:</b> SAQA should work closely with DHET towards ensuring that they honour their commitment <b>Lead:</b> Executive Office, Director: CAS <b>Action:</b></p> <ul style="list-style-type: none"> <li>Regular interaction with DHET</li> <li>Restrict expenditure relating to implementation to remain within available funding levels</li> </ul>					
<p><b>Strategy 2:</b> Maintain a range of scenarios for implementation depending on available funding <b>Lead:</b> Executive Office, Director: CAS</p>					
RISK 2	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Recruiting competent staff	Availability of skills at the remuneration rates	3	4	12	Yes
<p><b>Strategy 1:</b> SAQA should work closely with the HR Directorate and recruitment agencies towards securing appropriate skills <b>Lead:</b> Executive Office, Director: CAS <b>Action:</b></p> <ul style="list-style-type: none"> <li>Regular interaction with the HR Directorate</li> <li>Testing of candidates utilising appropriate tools (such as the PPA tests) to ensure the recruitment of appropriately skilled staff</li> </ul>					

#### 4.1.2 Finance and Administration

**Strategic Overall Objective: 3.13** [Section (13) (n) (iii) PFMA, legislative and governance requirements]  
Ensure effective governance and the aligned development of human, financial and infra-structural resources, to support the achievement of the organisational objectives.

**Context:**

The new NQF Landscape is taking shape: SAQA remains the oversight body for the NQF and as such will ensure that the NQF and its embedded values are aligned in the national interest. Firm political & financial commitment and the buy-in of partners and key role-players are required, and it is necessary to manage the transition carefully to maintain coherence in the system.

**Directorate Objective 1**

Effectively operate a cash management system that ensures adequate cash flow that enables the organisation to meet all commitments in respect of the execution of operations timeously

RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Running out of cash	<ul style="list-style-type: none"> <li>The timing of receipts of Government Grants not aligned</li> <li>Spending in anticipation of Project/donor funds that are not forthcoming</li> <li>Cash Management System that does not reflect the true cash position</li> <li>Insufficient funding by government</li> </ul>	2	5	10	Yes

**Strategy 1:**

Expenditure occurs strictly to approved budgets and funds availability and all expenditure authorised by Deputy Directors and above, in accordance with delegated authority.

**Lead:** DD, D and FD

**Action:**

- All DD and D have copies of approved budgets for their Directorates
- Commitment occurs only for items that have full funding
- Finance Department oversees that expenditure occurs strictly i.t.o. budget and available funds
- Management Accounts distributed to Directors monthly to monitor spending and budget

RISK 2	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Penalties and interest	Payments not being made timeously	2	3	6	No

RISKS 3 and 4	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
<ul style="list-style-type: none"> <li>Fraudulent appropriations</li> <li>Fraud, wasteful and fruitless expenditure is not prevented and identified</li> </ul>	Unauthorised payments	2	4	8	No



RISKS 5 and 7	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
<ul style="list-style-type: none"> <li>Budgets are not aligned to objectives</li> <li>Under or over budgeting</li> </ul>	Directors not understanding the relationship between their strategic and operational objectives/plans, and the budget	2	4	8	No

RISK 6	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
SAQA does not make informed strategic decisions	Insufficient information received from DHET, and National Treasury	2	4	8	No

RISKS 8, 9, 10	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
<ul style="list-style-type: none"> <li>Misuse of funds</li> <li>Transactions are not recorded</li> <li>Transactions are misallocated</li> </ul>	<ul style="list-style-type: none"> <li>Incorrect codes are used on allocating and expenditures are not aligned</li> <li>Changes in staff resulting in lost institutional memory</li> </ul>	3	4	12	Yes

**Strategy 1:**

Directors review monthly expenditure variance reports – actual versus budgets and detailed expenses reports

**Lead:** AD, DD, D and FD

**Action:**

- Critically review variances and detailed expenditure reports to spot misallocation
- Review cost allocation on Purchase Orders
- Train staff adequately to code expenditure strictly i.t.o. budget line items

RISK 11	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Not complying with statutory requirements	Changes in staff resulting in lost institutional memory	2	4	8	No

RISK 12	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Irresponsible commitments	Directors not following SCM Policy and Procedures	2	4	8	No

RISK 13 and 14	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
<ul style="list-style-type: none"> <li>Procured goods not delivered to SAQA</li> <li>Poor quality of goods received</li> <li>Procurement not authorised</li> <li>Payment to creditors not received by them</li> </ul>	<ul style="list-style-type: none"> <li>SCM unit not functioning correctly</li> <li>Payment process not functioning correctly</li> </ul>	2	4	8	No

RISK 15	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Adverse or qualified audit report	Internal Controls not being adhered to	2	4	8	No

#### 4.1.3 Human Resource

##### **Strategic Objective 3.13** [Section (13) (n) (iii) PFMA, legislative and governance requirements]

Ensure effective governance and the aligned development of human, financial and infra-structural resources, to support the achievement of the organisational objectives.

##### **Context:**

There is a need for SAQA employees to perform at their optimum and meet all their performance objectives. Delivery of quality service, especially to external stakeholders is an organisational goal. This in turn will enhance SAQA's standing among the stakeholders which include DHET and the three QC's

##### **Directorate Objective 1:**

Provide organisational development and staffing support

RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
SAQA is not able to attract or retain individuals with specialised or scarce skills	<ul style="list-style-type: none"> <li>SAQA cannot pay market-related salaries</li> <li>Specialist skills on fixed-term contracts not affordable</li> </ul>	3	4	12	Yes

**Strategy 1:** Effective recruitment and retention strategy

**Lead:** HR Director, Directors & FD

##### **Action:**

Negotiate special remuneration packages in the case of scarce specialised skills.

RISK 2	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
SAQA staff do not have the skills sets required to deliver on the changed mandate as per the NQF Act	Staff retained has not been re-skilled to meet the skills requirements for the new mandate	3	3	9	No

**Strategy 1:** Effective recruitment and retention strategy

**Lead:** HR Director, Directors & FD

##### **Action:**

Negotiate special remuneration packages in the case of scarce specialised skills.

##### **Directorate Objective 2:**

Establish a performance and recognition culture through a performance management system enhanced by appropriate learning and development interventions

RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Failure to establish and enhance a performance and recognition culture, resulting in poor performance and low staff satisfaction	<ul style="list-style-type: none"> <li>Inconsistent interpretation and application of PDMS principles.</li> <li>Managers do not carry out PMC duties in respect of Timelines, Stretching contract targets, Assessments</li> </ul>	3	3	9	No

RISK 2	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION

Training not adequate or appropriate, resulting in underperformance by staff and SAQA does not deliver on its objectives	<ul style="list-style-type: none"> <li>Lack of response from other directorates re staff training needs.</li> <li>Directorates indicating training interventions that are not in line with job requirements/ changing environment</li> </ul>	2	3	6	No
<b>RISK 3</b>	<b>SOURCES OF RISK</b>	<b>ASSESSMENT OF RISK</b>			
		<b>L</b>	<b>I</b>	<b>LEVEL</b>	<b>ACTION</b>
Strained employer-employee relationships as staff do not believe that their Interests are adequately represented.	<ul style="list-style-type: none"> <li>IIP principles not consistently applied by all managers</li> <li>Inadequate internal communication and feedback to staff</li> </ul>	2	4	8	No

<b>Directorate Objective 3:</b>					
Establish and maintain fair and affordable remunerations and benefit structure that are market related and will attract and retain suitable staff, who will contribute towards delivery of SAQA's mandate.					
<b>RISK 1</b>	<b>SOURCES OF RISK</b>	<b>ASSESSMENT OF RISK</b>			
		<b>L</b>	<b>I</b>	<b>LEVEL</b>	<b>ACTION</b>
Industrial action is embarked upon in support of salary demands	Remunerations and benefits structure perceived to not be fair and equitable	3	3	9	No
<b>RISK 2</b>	<b>SOURCES OF RISK</b>	<b>ASSESSMENT OF RISK</b>			
		<b>L</b>	<b>I</b>	<b>LEVEL</b>	<b>ACTION</b>
SAQA is not able to attract and retain suitably qualified staff and staff with scarce skills	Remunerations and benefits structure is not affordable	3	3	9	No

<b>Directorate Objective 4:</b>					
Instill a caring organisational culture that ensures healthy relationships and labour peace.					
<b>RISK 1</b>	<b>SOURCES OF RISK</b>	<b>ASSESSMENT OF RISK</b>			
		<b>L</b>	<b>I</b>	<b>LEVEL</b>	<b>ACTION</b>
<ul style="list-style-type: none"> <li>Staff grievances not attended to and problems escalate, resulting in costly external processes</li> <li>Managers not applying the principles managing discipline and handling grievances.</li> </ul>	<ul style="list-style-type: none"> <li>Managers lack people management skills</li> <li>Managers lack knowledge of disciplinary and grievance procedures</li> </ul>	2	4	8	No
<b>RISK 2</b>	<b>SOURCES OF RISK</b>	<b>ASSESSMENT OF RISK</b>			
		<b>L</b>	<b>I</b>	<b>LEVEL</b>	<b>ACTION</b>
Lack of appropriate support to staff could result in stress and absenteeism, which are costly and could undermine optimum delivery	<ul style="list-style-type: none"> <li>High-pressure working environment</li> <li>Uncertainty regarding SAQA's future adding additional stress</li> </ul>	3	3	9	No

<b>Directorate Objective 5:</b>					
Ensure that administrative legislative and policy requirements are met by establishing, enhancing and maintaining appropriate systems and procedures.					
<b>RISK 1</b>	<b>SOURCES OF RISK</b>	<b>ASSESSMENT OF RISK</b>			
		<b>L</b>	<b>I</b>	<b>LEVEL</b>	<b>ACTION</b>

Policies not in line with latest best practice or labour legislation and staff data is inadequate.	Policies not reviewed regularly	2	4	8	No
<b>RISK 2</b>	<b>SOURCES OF RISK</b>	<b>ASSESSMENT OF RISK</b>			
		<b>L</b>	<b>I</b>	<b>LEVEL</b>	<b>ACTION</b>
Administration of HR matters not efficient, resulting in employees and managers not receiving the required levels of service from HR	Automated HR information services and functionalities not operating effectively	2	4	8	No
<b>RISK 3</b>	<b>SOURCES OF RISK</b>	<b>ASSESSMENT OF RISK</b>			
		<b>L</b>	<b>I</b>	<b>LEVEL</b>	<b>ACTION</b>
Failure to meet stated Employment Equity targets, resulting in staff dissatisfaction	<ul style="list-style-type: none"> <li>Failure to find suitable candidates from designated groups</li> <li>Resignation of staff from designated groups</li> </ul>	2	4	8	No

#### 4.1.4 Information Technology

**Strategic Objective: 3.13** [Section (13) (n) (iii) PFMA, legislative and governance requirements]

Ensure effective governance and the aligned development of human, financial and infra-structural resources, to support the achievement of the organisational objectives.

**Context:** An integrated IT architecture was developed and a three year rolling capitalisation plan was developed to ensure that technology is robust, sustainable, secure and responsive.

**Directorate Objective 1:**

Deliver a robust, sustainable secure and responsive technology environment that supports SAQA's mission and objectives.

RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Insufficient funds are made available to meet the critical aspects.	<ul style="list-style-type: none"> <li>Information Technology has a life cycle of approximately 3 to 5 years</li> <li>The demand for capacity of IT infrastructure requires constant upgrading</li> </ul>	2	4	8	No
RISK 2	SOURCES OF RISK	ASSESSMENT OF RISK			
Business units are not able to define their technological requirements.	<ul style="list-style-type: none"> <li>Insufficient time is dedicated to understanding business needs</li> <li>Lack of insight in IT related matters</li> </ul>	2	4	8	No
RISK 3	SOURCES OF RISK	ASSESSMENT OF RISK			
Insufficient resources to ensure business continuity of the SAQA systems.	<ul style="list-style-type: none"> <li>SAQA's IT architecture consists of a wide range of different systems. Individuals with expertise of all these systems are scarce and sought-after.</li> <li>The succession planning for the Director position may be a source of risk.</li> </ul>	4	4	16	Yes

**Strategy 1:**

Outsource specialised functions

**Lead:** IT Director

**Action:**

- Identify highly specialised functions, identify possible providers.
- Ring-fence funds for this and develop and manage appropriate contracts.
- Identify and contract service providers to cover specialised services required by SAQA.

**Strategy 2:**

Ensure systems, network and technical documentation is up to date

**Lead:** IT Director

**Action:**

- Ensure all critical processes, procedures and work instructions are documented
- Ensure all technical instructions and manuals received from vendors
- Ensure knowledge transfer takes place from service providers.

RISK 4	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Access required from outside SAQA attracts attention of hackers and mischief-makers, who could attack the servers within the demilitarised zone, causing unacceptable recovery times.	Opening of SAQA servers for access from outside SAQA offices	4	4	16	Yes
<b>Strategy 1:</b> Ensure daily backups are successful and tested for recovery capability <b>Lead:</b> IT Director <b>Action:</b> <ul style="list-style-type: none"> <li>• Back-up and monitoring of backups on a daily basis</li> <li>• Off-site storage of back-ups</li> <li>• Maintain an off-site recovery facility</li> <li>• Off-site testing of full recovery of systems on a regular basis</li> </ul>					
<b>Strategy 2:</b> Ensure that the operating environment especially the server room is secure <b>Lead:</b> Director: IT <b>Action:</b> Ensure that those who access the server room are legitimate, sign-in, indicating their reason for being there and are not left alone at any time (Register, CCTV camera and access control system) Check regularly that the access control system and the fire detection systems are fully operational					
RISK 5	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
The disaster recovery plan fails in the critical time of need	<ul style="list-style-type: none"> <li>• Power failures disrupts SAQA systems</li> <li>• Back-ups are not recoverable</li> </ul>	2	5	10	No

<b>Directorate Objective 2:</b>					
Acquire, build and integrate modular systems that support the core business and integrate into existing technology.					
RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Insufficient funds for application development, integration, and maintenance.	Budget priorities do not allow for IT acquisitions and external support	2	4	8	No
RISK 2	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Business units are not able to define their technological requirements	<ul style="list-style-type: none"> <li>• Insufficient time is dedicated to understanding business needs</li> <li>• Lack of insight into IT matters</li> </ul>	2	4	8	No
RISK 3	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Under-utilised applications will lead to wasteful expenditure	<ul style="list-style-type: none"> <li>• Insufficient time is dedicated to understanding business needs</li> <li>• Lack of insight into IT matters</li> </ul>	2	4	8	No

RISK 4	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Applications do not meet business needs.	<ul style="list-style-type: none"> <li>Insufficient time is dedicated to understanding business needs</li> <li>Users not fully involved in the development</li> <li>Insufficient funds</li> </ul>	2	4	8	No

<b>Directorate Objective 3:</b> Build a service delivery capability to ensure that the IT infrastructure meets OLAs in terms of availability, capacity and service delivery.					
RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Business units do not take ownership of the information needs of their units	<ul style="list-style-type: none"> <li>Insufficient time is dedicated to understanding business needs</li> <li>Lack of insight into IT matters</li> </ul>	2	2	4	No
RISK 2	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Insufficient funds to fill the gaps identified by the business units	<ul style="list-style-type: none"> <li>Information Technology has a life cycle of approximately 3 to 5 years</li> <li>The demand for capacity of IT infrastructure requires constant upgrading</li> </ul>	2	5	10	No
RISK 3	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
The loss of skilled staff members or contracted individuals that have specialised on SAQA systems	Better remuneration elsewhere	4	4	16	Yes
<b>Strategy 1:</b> Outsource specialised functions <b>Lead:</b> IT Director <b>Action:</b> <ul style="list-style-type: none"> <li>Identify highly specialised functions, identify possible providers.</li> <li>Ring-fence funds for this and develop and manage appropriate contracts.</li> <li>Identify and contract service providers to cover specialised services required by SAQA.</li> </ul>					
<b>Strategy 2:</b> Ensure systems, network and technical documentation is up to date <b>Lead:</b> IT Director <b>Action:</b> <ul style="list-style-type: none"> <li>Ensure all critical processes, procedures and work instructions are documented</li> <li>Ensure all technical instructions and manuals received from vendors</li> <li>Ensure knowledge transfer takes place from service providers.</li> </ul>					

#### 4.1.5 NQF Advocacy Initiative

**Strategic Objective: 3.2**  
Position SAQA as the oversight body and guardian of NQF values and coordinate an effective public NQF advocacy and communication strategy [Sections (13) (1) (a), (f) and (n) and (11) (a-c)]

##### NQF Advocacy

RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Lack of understanding of branding and support for a single uniting brand icon across NQF partner organisations	The NQF partner organisations are all committed to their own organisational brands and may not want to consider giving the NQF more perceived status	3	4	12	Yes

**Strategy 1:**

Utilise appropriate Forums to communicate and create support for the Advocacy Project

**Lead:** NQF Advocacy Project Director

**Action:**

To continuously update and inform the NQF leaders from the partner organisations of the activities of the NQF AI and to share with them the value of an integrated approach.

RISK 2	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Inadequate funds available	The tight financial constraints as set out by DHET together with a poor understanding of the real costs to build a valued national brand	4	4	16	Yes

**Strategy 1:**

Utilise appropriate Forums to communicate and create support for the Advocacy Project

**Lead:** NQF Advocacy Project Director

**Action:**

The task will be to ensure a balance between expectations and what can be realistically achieved. The PSC will be seen as the key interface in this regard.

**Strategic Objective: 3.2**

Position SAQA as the oversight body and guardian of NQF values and coordinate an effective public NQF advocacy and communication strategy

##### SAQA Advocacy

**Directorate Objective 1 and 3**

To provide strategic advocacy and communication direction aimed at building and maintaining stakeholder and public awareness, understanding and appreciation of the SAQA brand using various communication methodologies and interventions.

To produce quality, appropriate and targeted publications that effectively and efficiently enhance understanding and implementation as well as build a positive perception of the NQF and SAQA in accordance with the overall communications plan.

RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION



<ul style="list-style-type: none"> <li>Negative perception of SAQA and its work</li> <li>Language restrictions on SABC programmes may make finding the appropriate speakers difficult</li> <li>The nuances of the key messages may be lost when translated to other language and audiences do not fully understand the message</li> <li>Specific needs of the target audience are not met</li> </ul>	<ul style="list-style-type: none"> <li>Lack of sufficient and relevant communication to stakeholders about SAQA's role in the changed NQF environment</li> <li>African Languages Education Programmes on SABC require a speaker who can speak the relevant language</li> <li>Messages are not correctly translated</li> </ul>	4	4	16	Yes
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**Strategy 1:**  
 Assess the effectiveness of the implementation of the SAQA communication strategy in positively influencing stakeholder perception on the work of SAQA  
**Lead:** Director, DD: Communication  
**Action:**

- Conduct survey on stakeholder perception
- Make use of other SABC programmes that do not have language restrictions
- Source knowledgeable speakers in the relevant languages
- Translate and print the key messages for distribution to the right target audience

**Directorate Objective 2**  
 To provide internal advocacy and communication

RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Poor communication between SSU, other Directorates and the Executive, so conflicting messages are conveyed	Insufficient use of various communication methods and tools	3	4	12	Yes

**Strategy 1:**

- To strengthen existing channels of communication in the organisation, including an internal newsletter.
- To create additional channels of communication, if needed, to improve communication between all Directorates

**Lead:** Director: SSU, DD: Communication  
**Action:**

- Improved use of platforms such as Farananis, EO information sessions and the Community Gateway
- Monitor and improve the use of the internal newsletter as another tool for communication

RISK 2	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Experienced staff are lost, thus affecting institutional memory, internal communication and the sharing of expertise	Retention of experienced staff is not possible due to budgetary constraints.	2	4	8	No

RISK 3	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Staff do not buy in to the messages they receive	Uncertain and confusing nature of the situation.	3	4	12	No

**Directorate Objective 4**  
 To host and participate in strategically selected events and activities that lead to the advancement of the values of the NQF and SAQA

RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
<ul style="list-style-type: none"> <li>Events do not target the right audience</li> <li>Getting a subject matter expert to speak in the various languages</li> </ul>	<ul style="list-style-type: none"> <li>Database not up to date</li> <li>Purpose of events not carefully thought-through</li> <li>Not all SAQA staff can speak all the official languages</li> </ul>	3	4	12	Yes
<b>Strategy 1</b> To take the SAQA and the NQF messages to the right target audience including rural and impoverished communities <b>Lead:</b> Director: SSU, DD: Communication <b>Action</b> <ul style="list-style-type: none"> <li>Continually update the database of stakeholders and identify new and relevant contacts</li> <li>Carefully consider the purpose of events and the target audience</li> </ul>					

RISK 2	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Lack of staff capacity to manage events	Staff are lost through resignation and not enough new staff are appointed	3	3	9	No

Directorate Objective 5 Offer quality client services to SAQA clients					
RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
<ul style="list-style-type: none"> <li>The environment is changing fast, resulting in SAQA giving out-of-date information</li> <li>There is lack of co-operation and support from directorates for reception</li> </ul>	<ul style="list-style-type: none"> <li>Lack of understanding of the changes taking place in the education and training environment and their impact on SAQA and the NQF</li> <li>Insufficient communication between SSU and the affected directorates</li> </ul>	2	4	8	No

#### 4.1.6 Strategic Support

**Strategic Objective: 3.2**  
 Position SAQA as the oversight body and guardian of NQF values and coordinate an effective public NQF advocacy and communication strategy [Sections (13) (1) (a), (f) and (n) and (11) (a-c)]

Directorate Objective 1 Grow and improve the capacity building interventions that have been developed to effectively and appropriately facilitate a deep understanding of the NQF and SAQA, in line with the new legislation and policy					
RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION

The NQF Support Link material is perceived to be inadequate in addressing the challenges of the new NQF landscape	Lack of understanding of the implementation processes of the new legislation or slow implementation of the new legislation	3	4	12	Yes
<b>Strategy 1</b>					
Clear and definite messages about the NQF Support Link and its relevance to the implementation processes of the new landscape will be developed and used in various media					
<b>Lead:</b> Director, DD: Information Services					
<b>Action:</b>					
Develop the messages and place them in both electronic and print media					
RISK 2	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Inability to attract and get more training providers	The market feels that the NQF Support Link is too expensive or prefers the appointed publisher.	3	2	6	No

<b>Directorate Objective 2</b>					
Grow the NQF website as a communication tool for the NQF Advocacy Campaign, the NQF Support Link, and other NQF related matters.					
RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Insufficient technical support from the service provider	The service provider cannot provide the technical support or at times is slow to provide it.	2	4	8	No
RISK 2	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Inadequate response or support from the Quality Councils in terms of supplying and uploading information	The Quality Councils do not see the NQF website as a source of communicating with the general public.	2	3	6	No

<b>Directorate Objective 3</b>					
Continually maintain and improve the websites used for effective internal and external communication.					
RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
The communication tools are not used effectively by the intended audience	<ul style="list-style-type: none"> <li>The target audience does not find the information on the SAQA website, NQF website and Community Gateway useful.</li> <li>Insufficient technical support from the service provider</li> <li>Maintenance of pages and communities is not done by administrators, leading to outdated information</li> </ul>	2	4	8	No

<b>Directorate Objective 4</b>					
Effectively support the NQF-focused work of SAQA through the collection, management and dissemination of high quality information resources and services.					
RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Resource and information collection and services not being used.	Lack of awareness of this service	3	3	9	No
RISK 2	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Lack of use of SAQA Resource and Information Centre by stakeholders	Distance between SAQA and stakeholders.	2	2	4	No

<b>Directorate Objective 5</b>					
Implement the File Plan and maintain the use of record management practices within SAQA					
RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Lack of Buy-in from SAQA staff.	Lack of understanding of file plan	3	4	12	No
RISK 2	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Staff not adhering to record management procedures.	Lack of training and understanding filing principles	2	3	6	No

#### 4.1.7 Research

**Strategic Objective: 3.1 [Section (13) (1) (b)]**

Advise the Minister, and inform policy-makers and make recommendations on all NQF matters;

**Strategic Objective: 3.6 [Section (13) (1) (k)]**

Conduct or commission research together with research partners, and publish reports on issues of importance to the development and implementation of the NQF, including periodic studies of the impact of the NQF;

**Context:** SAQA remains responsible for advice to the Minister of Higher Education and Training, in terms of the new legislation. SAQA's advice has to be evidence based. A strong and credible research agenda is crucial for this purpose. SAQA has engaged in a partnership model, working with universities and other partners on a number of research projects related to work and learning. SAQA must also conduct impact studies, in terms of its legislative mandate.

#### Directorate Objectives 1 and 2

- Advise the Minister of Higher Education and Training and inform policy makers and make recommendations on all matters relating to the NQF and education and training in South Africa:
  - Provide analysis and advice (briefing documents, reports, papers or presentations) on policy frameworks.
  - Provide impact study reports/ papers and reports / papers on quantitative analysis
- Conduct/commission research together with research partners, and publish reports on issues of importance to the development and implementation of the NQF, including periodic studies of the impact of the NQF

RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Collaborative partnerships are not efficient and effective	<ul style="list-style-type: none"> <li>NQF and research partners and QCs are not willing to collaborate and/or do not support research agenda</li> <li>Research partners do not deliver quality reports or do not deliver on time</li> </ul>	3	5	15	Yes

#### Strategy 1

Put appropriate checks and resources in place

**Lead:** Director/Senior Researcher: Research Directorate

#### Action:

Monitor quality and progress at least monthly (by communicating with partners)

Allow small portion of "consultants' fees" in the budget, for emergencies

#### Strategy 2

Ensure each research partnership includes a strong sub-partner

**Lead:** Director/Senior Researcher: Research Directorate

#### Action:

Approach strong sub-partners

#### Strategy 3

Enter into research partnership contracts with institutions/organisations rather than individuals

**Lead:** Director/Senior Researcher: Research Directorate

#### Action:

- Ensure that all future contracts are signed with institutional heads (rather than the researchers)
- Change wording of contracts to reflect institutional responsibility, where applicable

RISK 2	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
SAQA is not able to recruit and maintain appropriate specialised skills either as permanent staff members or as research partners	The nature of the research in the work and learning field as well as impact studies is very specialised and South Africa does not have many research experts in these fields	3	5	15	Yes

<b>Strategy 1</b> Build internal and partner capacity <b>Lead:</b> Director/ Senior Researcher: Research, with assistance from SAQA's Research Committee <b>Action:</b> <ul style="list-style-type: none"> <li>• Ensure plan to develop capacity actively through specified involvement of SAQA staff in research partnerships</li> <li>• Consult strategically when setting up research partnerships</li> <li>• Ensure continual development of SAQA research staff</li> </ul>					
RISK 3	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
SAQA fails to research an area of key importance to the development and implementation of the NQF	Research context (NQF related research at a time of multiple advances in the field) is complex and there is a need to understand many different and interacting parts of the system	3	5	15	Yes
<b>Strategy 1</b> Ensure that information is obtained and cascaded <b>Lead:</b> Director/Senior Researcher: Research, with assistance from SAQA's Research Committee , EO, DEO, Research Directorate, and SAQA on the whole <b>Action:</b> <ul style="list-style-type: none"> <li>• Continued participation of key SAQA Staff in the NQF related think-tanks, meetings, symposia, colloquium seminars, conferences, and all the NQF-relevant dialogues</li> <li>• Regular cascading of information back into the work of the Research Directorate, and all SAQA's Research staff</li> </ul>					

<b>Directorate Objectives 3</b> Support the development of SAQA as a research-driven organisation, and SAQA as a coordinating body, and the development of CAT and RPL					
RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
SAQA does not become a research-driven organisation	<ul style="list-style-type: none"> <li>• Staff do not have the motivation to develop research competencies</li> <li>• Lack of understanding of the importance of research in the SAQA/ NQF context</li> <li>• Limited time to participate due to other work pressures</li> </ul>	3	4	12	Yes
<b>Strategy 1</b> Frequent mentoring of SAQA staff by experienced staff <b>Lead:</b> CEO, DEO, SAQA Board, Director/Senior Researcher: Research, Research Directorate <b>Action:</b> <ul style="list-style-type: none"> <li>• Set up mentoring relationships</li> <li>• Ensure staff attend the needed/desired training</li> <li>• Organise and implement sufficient seminars for the SAQA staff</li> <li>• Research directorate engages with sub-groups of the SAQA staff to ensure the percolation of research findings into their work</li> <li>• Appoint planned- for staff</li> </ul>					
RISK 2	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
SAQA does not finalise and implement a national RPL Strategy, or establish a national RPL Node, or develop a workable CAT Strategy	SAQA's initiatives in relation to RPL take too long to realize, with the result that RPL needs are not addressed/ access, redress, and recognition are not improved soon enough	3	5	15	Yes

<p><b>Strategy 1</b>          Ensure frequent communication and collaboration with RPL and CAT researchers, specialists and practitioners in general  <b>Lead:</b> Director/Senior Researcher, Research Directorate, other SAQA staff as required  <b>Actions:</b></p> <ul style="list-style-type: none"> <li>• Organise and participate in RPL conferences for information-sharing</li> <li>• Develop a database of RPL and CAT researchers, specialists and practitioners</li> <li>• Communicate regularly and disseminate information with individuals and organisations on these databases</li> </ul>					
<p><b>Strategy 2</b>          Ensure that the National RPL strategy plan is clear, planned step by step, and adhered to  <b>Lead:</b> Director/ Senior Researcher, Research Directorate, other SAQA staff as required  <b>Actions:</b></p> <ul style="list-style-type: none"> <li>• Work out detailed steps to achieve the overall plan</li> <li>• Work out timelines for the achievement of each sub-step in the plan</li> <li>• Assign individuals (and groups if necessary) to carry out particular steps of the plan</li> </ul>					
RISK 3	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
The Research Directorate does not support SAQA as the NQF coordinating body	Coordinating activities initiated by the Directorate are not taken up by the relevant SAQA and Quality Council staff	3	4	12	No

## 4.2 Registration and Recognition

### **Strategic Objective 3.4** [Section (13) (1) (g – h)]:

Continue to manage the transition and future processes with NQF partners, to ensure effectiveness in the system to the advantage of learners, especially those in poor and rural communities

**Context:** The NQF Act and other associated legislation provide for a different landscape in which SAQA is the oversight body and, in consultation with the QCs, is required to develop transitional arrangements for the system to move from the SAQA Act to the new NQF Act.

### **Directorate Objective 1**

Ensure a smooth transition from the old to the new NQF landscape

RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
<ul style="list-style-type: none"> <li>Full operational capacity at the QCs is slow to achieve and impacts on synchronization</li> <li>The QCs develop at different rates and fail to collaborate with SAQA and each other</li> <li>Human Resource capacity in the Directorate is either limited or uneasy about the new landscape impacting on full utilisation of resources</li> </ul>	<ul style="list-style-type: none"> <li>Political leadership is uncertain about the direction of NQF development</li> <li>Budgetary constraints slow the pace of implementation</li> <li>Constituency pressure resulting from expressed sectoral needs</li> <li>Executive and senior management underestimate the resource implications</li> </ul>	4	5	20	Yes

#### **Strategy 1:**

Engage directly with the Minister and Department as well as the QCs to alert them to the risk associated with delays in full establishment of the QCs.

**Lead:** Executive Office

#### **Action:**

- Highlight the risk at meetings with the Boards of the QCs, fellow Executive Officers and high ranking officials and the Ministers
- Ensure adequate capacity at Directorate level to lead the processes

### **Directorate Objective 2**

In consultation with the QCs and Professional bodies, develop policy for the new landscape

RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
<ul style="list-style-type: none"> <li>Inadequate human resources at SAQA and amongst key partners compromise capacity to engage fully and timeously resulting in a protracted process.</li> <li>“Turf” concerns and contestations undermine progress resulting in stalled development for the regulatory frameworks</li> </ul>	<ul style="list-style-type: none"> <li>Failure on the part of the political leadership to realise the Human Resource requirement for the process to be taken forward</li> <li>Ambiguities in the relevant Acts resulting in different interpretations of the legislation leading to protracted debates and contestations</li> </ul>	3	5	15	Yes



**Strategy 1:**  
Internally ensure adequate resources for the engagement of quality operatives on both a permanent and temporary basis to support continuing development  
**Lead:** Directorate management  
**Action:**

- Convene and/or participate in workshops involving the QCs
- Submit realistic budget proposals to support adequate staff resources

**Directorate Objective 3**  
Ensure that high quality, nationally relevant and internationally comparable qualifications and part-qualifications that articulate across sub-frameworks are registered on the NQF

RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
<ul style="list-style-type: none"> <li>• SAQA and the QCs are at odds over understandings of qualifications registration requirements</li> <li>• The QCs may be at different levels of readiness to assume their mandates</li> </ul>	<ul style="list-style-type: none"> <li>• Limited focus perspectives of the QCs vs SAQA's broad overview and need to standardise.</li> <li>• Lack of clarity in a changing landscape</li> </ul>	3	5	15	Yes

**Strategy 1:**  
Adopt best practice change management strategies to keep staff and boards of the QCs informed of all aspects of the transition  
**Lead:** Directorate management and the Executive Office  
**Action:**

- Convene or participate in workshops involving the QCs
- Inform QCs Boards on all matters to do with Standards Setting that will have an impact on their work
- Internally ensure adequate resources for the engagement of quality operatives on both a permanent and temporary basis to support continuing development

**Directorate Objective 4**  
Ensure that high quality, nationally relevant and internationally comparable qualifications and part-qualifications that articulate across sub-frameworks are registered on the NQF

RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
<ul style="list-style-type: none"> <li>• Professional Bodies (especially the statutory sector) are hostile citing excessive bureaucracy and erosion of status.</li> <li>• There is a rush to professionalise across sectors thus diluting the notion of "professional"</li> </ul>	Lack of clear definition in the legislation about what constitutes a professional body	4	3	12	No

**Strategy 1:**  
Adopt best practice change management strategies to keep staff and boards of the QCs informed of all aspects of the transition  
**Lead:** Directorate management and the Executive Office  
**Action:**

- Convene or participate in workshops involving the QCs
- Inform QCs Boards on all matters to do with Standards Setting that will have an impact on their work
- Internally ensure adequate resources for the engagement of quality operatives on both a permanent and temporary basis to support continuing development

**Directorate Objective 5**  
Collaborate internally to develop regulatory frameworks for the implementation of new policy.

RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Colleagues are overloaded with their own priorities and time for collaboration is non-existent.	Impossibly high expectations from clients, stakeholders and partners.	3	3	9	No

<b>Directorate Objective 6</b>					
Support government with respect to skills development policies by providing support for the QCTO with respect to quality assurance of E and T.					
RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
<ul style="list-style-type: none"> <li>SAQA's offer of support is half-heartedly considered and resources are not committed.</li> <li>The landscape transforms too rapidly and QCTO processes are overtaken or subsumed under new emerging formations and processes.</li> </ul>	Political indecision at the highest levels creates paralysis in the system	4	3	12	No

### 4.3 National Learners' Records Database

**Strategic Objective: 3.9** [Section (13) (1) (I)]  
 Maintain and further develop the National Learners' Records Database (NLRD) as the key national source of information and advice for human resource and skills development in policy, infrastructure, planning and the verification of learner achievements

<b>Directorate Objective 1</b>					
Market the NLRD to identified key clients in the public and private sector					
<b>Context:</b> The NLRD requires further promotion. However, in the current climate for SAQA, this requires sensitivity and skill.					
RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
<ul style="list-style-type: none"> <li>Lack of buy-in from government/QCs/partners/stakeholders;</li> <li>Lack of coherence in government's and Quality Councils' dealings with SAQA</li> </ul>	<ul style="list-style-type: none"> <li>Lack of understanding of the benefits of the NLRD</li> <li>Lack of commitment to SAQA</li> </ul>	3	5	15	Yes
<b>Strategy 1:</b> Advocacy of the NLRD <b>Lead:</b> Director: NLRD; Executive Office; Strategic Support Directorate; Advocacy Project <b>Action</b> <ul style="list-style-type: none"> <li>Actively promote the NLRD and what it offers</li> <li>Develop SAQA's strategic partnerships</li> </ul>					
<b>Strategy 2:</b> Ensure that SAQA spells out clearly what its role is and what information it does and does not offer through the NLRD <b>Lead:</b> Executive Office; Communications; Advocacy Project; Director: NLRD <b>Action:</b> <ul style="list-style-type: none"> <li>Utilise all possible avenues to communicate with NLRD stakeholders</li> <li>Make information available through all possible media especially the website and searchable databases</li> <li>Clearly market those services that SAQA is able to provide for customised information</li> <li>Develop and distribute useful reports</li> <li>Participate in relevant fora</li> </ul>					
RISK 2	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Foreign countries experience policy obstacles that prevent them from implementing their systems	<ul style="list-style-type: none"> <li>Delays in enacting legislation concerning foreign countries' qualifications frameworks</li> <li>Delays in the approval of budget for SAQA assistance</li> </ul>	5	1	5	No
<b>Strategy 1:</b> Follow up with the relevant countries at regular intervals, to ascertain their progress <b>Lead:</b> Director: NLRD; Executive Office					
RISK 3	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION

New legislation or requests without consultation, may create changed requirements or may increase volumes of work that are difficult to meet	<ul style="list-style-type: none"> <li>Lack of consultation with SAQA staff</li> <li>Unrealistic deadlines to meet additional requirements and requests.</li> </ul>	5	5	25	Yes
<p><b>Strategy 1:</b> Improve understanding of the needs of the public service and improve communication with high level staff at DPSA and in the Minister of Public Service's Office. <b>Lead:</b> Director: NLRD; Executive Office <b>Actions:</b></p> <ul style="list-style-type: none"> <li>Identify the projects that are necessary to fulfil the new needs</li> <li>Plan the projects</li> <li>Implement the projects</li> </ul>					
<p><b>Strategy 2:</b> Implement relevant projects <b>Lead:</b> Director: NLRD; Executive Office <b>Actions</b></p> <ul style="list-style-type: none"> <li>Identify the projects that are necessary to fulfil the new needs</li> <li>Plan the projects</li> <li>Implement the projects</li> </ul>					
<p><b>Strategy 3:</b> Ensure sufficient resources, including staffing <b>Lead:</b> Director: NLRD; Executive Office; Director: Human Resources</p> <ul style="list-style-type: none"> <li>Ensure that the size and capacity of the staff complement required for NLRD projects has been identified</li> <li>Ensure that the required number and capacity of staff are employed in the NLRD Directorate (whether permanently or on contract)</li> <li>Ensure that capacity building activities are carried out</li> </ul>					
<p><b>Strategy 4:</b> Ensure sufficient funding and / or income <b>Lead:</b> Director: NLRD; Executive Office; Director: Finance and Administration <b>Actions:</b></p> <ul style="list-style-type: none"> <li>Calculate income and expenditure projections</li> <li>Ensure that these cover sufficient income and expenditure for the success of the required work</li> </ul>					

<p><b>Directorate Objective 2:</b> Populate the NLRD with all available data, ensure that it is of acceptable quality, and manage it appropriately. Ensure availability of previously inaccessible data. Ensure that the lines of data flow, and the fact that SAQA has the authority to gather this data, are understood by all NQF partners (SAQA and the Quality Councils).</p>					
<p><b>Context:</b></p> <ul style="list-style-type: none"> <li>The NLRD must receive and batch-load data from a variety of sources, most of which are external to SAQA. The most notable of these have been the ETQAs, to be joined now by other professional bodies.</li> <li>The NLRD must load data on qualifications and part-qualifications on-line.</li> <li>The NLRD will be required to load data on professional designations on-line.</li> <li>The NLRD system must be accessible to users.</li> <li>The order of operations (workflow/procedures) must be correct, in order to manage the data correctly.</li> <li>Previously inaccessible data includes legacy data and ABET data.</li> <li>SAQA and the NLRD have the necessary authority to gather the data, and must implement this appropriately in order for SAQA's requests for data not to be refused or ignored.</li> </ul>					
RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION

<ul style="list-style-type: none"> <li>Lack of buy-in from government/QCs/partners/stakeholders;</li> <li>Lack of coherence in government's and Quality Councils' dealings with SAQA</li> </ul>	<ul style="list-style-type: none"> <li>Lack of understanding of the benefits of the NLRD</li> <li>Lack of commitment to SAQA</li> </ul>	3	5	15	Yes
<p><b>Strategy 1:</b> Advocacy of the NLRD <b>Lead:</b> Director: NLRD; Executive Office; Strategic Support Directorate; Advocacy Project <b>Action</b></p> <ul style="list-style-type: none"> <li>Actively promote the NLRD and what it offers</li> <li>Develop SAQA's strategic partnerships</li> </ul>					
<b>RISK 2</b>	<b>SOURCES OF RISK</b>	<b>ASSESSMENT OF RISK</b>			
<ul style="list-style-type: none"> <li>Receipt and loading (via batches or on-line capturing) of incomplete or incorrect data.</li> <li>Data suppliers unable to manage their own data and fill their own data gaps</li> </ul>	<ul style="list-style-type: none"> <li>At least some of the ETQAs (or other data suppliers) do not understand what is expected of them</li> <li>Several of the ETQAs (or other data suppliers) do not have the data / quality of data to handle what is expected of them</li> <li>A few of the ETQAs (or other data suppliers) do not have the correct systems to accommodate the data</li> </ul>	3	5	15	Yes
<p><b>Strategy 1:</b> Ensure clear communication with data suppliers on the NLRD's requirements <b>Lead:</b> Director: NLRD; Deputy Director: NLRD; Data/Learnership Coordinator <b>Action:</b></p> <ul style="list-style-type: none"> <li>Maintain and disseminate NLRD load specifications and the Minimum Standard for ETQA data loads</li> <li>Offer capacity-building workshops and meetings where required</li> <li>Deal on a one-to-one basis with data suppliers experiencing difficulties</li> <li>Ensure high attendance and participation at the NLRD Partners Forum meetings</li> <li>Engage with DoL on support that could be supplied to SETAs e.g. systems development, data capturing</li> <li>Maintain and disseminate a comprehensive list of consultants working in this field who can assist data suppliers</li> <li>Maintain an "ETQA League Table" or similar communication tool, demonstrating to data suppliers their relative success in meeting the data requirements</li> </ul>					
<p><b>Strategy 2:</b> Build capacity concerning the gathering, storage, extraction and transmission of data <b>Lead:</b> Director: NLRD; Deputy Director: NLRD; Data/Learnership Coordinator <b>Action:</b></p> <ul style="list-style-type: none"> <li>Encourage ETQAs to take on learners in the <i>Information Administrator</i> Learnership</li> <li>Offer capacity-building workshops and meetings where required</li> <li>Deal on a one-to-one basis with data suppliers experiencing difficulties</li> <li>Give detailed feedback on all aspects of data not meeting the requirements</li> <li>Invite successful data suppliers to participate in workshops to share experiences in overcoming difficulties</li> </ul>					

<p><b>Strategy 3:</b>  Re-check data once it is loaded. (No matter how good the pre-tests, the NLRD's relational database is the only platform on which to test the full integrity of what has been loaded.)  <b>Lead:</b> Director: NLRD; Deputy Director: NLRD, Data Analyst  <b>Action:</b></p> <ul style="list-style-type: none"> <li>• Only allow data that has passed all pre-tests, and has been successfully loaded in DEVNLRD, to be loaded onto the NLRD itself</li> <li>• Run analyses and reports after each data-load</li> <li>• If issues (such as duplicate learners) are identified, undertake appropriate data cleaning.</li> </ul>					
<p><b>Strategy 4:</b>  Ensure that loading programs are checked consistently and corrected as soon as problems are detected  <b>Lead:</b> Director: NLRD; Deputy Director: NLRD  <b>Action:</b></p> <ul style="list-style-type: none"> <li>• Contract competent service providers to test, correct and re-test the loading programs</li> <li>• Continue to maintain and implement the comprehensive test kit (Edu.Dex) to check data before loading it</li> </ul>					
<p><b>Strategy 5:</b>  Ensure that data capturing processes are correct and are followed by all users  <b>Lead:</b> Director: NLRD, Data Quality Coordinator, Data Capturers  <b>Action:</b></p> <ul style="list-style-type: none"> <li>• Ensure that procedures exist</li> <li>• Ensure that the procedures are correct</li> <li>• Disseminate the procedures</li> <li>• Offer training in following the procedures</li> <li>• Clarify assumptions concerning instructions</li> <li>• Monitor implementation of the procedures</li> <li>• On the occasions where errors have been detected and corrected, issue informative alerts to the appropriate recipients</li> </ul>					
<p><b>Strategy 6:</b>  Control access to NLRD systems rigorously to ensure that no unauthorised person is able to input or change data  <b>Lead:</b> Director: NLRD; Deputy Director: NLRD; Director: IT  <b>Action:</b></p> <ul style="list-style-type: none"> <li>• Ensure that user profiles are correctly set up</li> <li>• Monitor users (via access logs and on-line usage queries) to ensure that passwords are protected</li> <li>• Ensure that SAQA systems are protected from external infiltration by unauthorised users (see also IT Risk Management Plan)</li> </ul>					
RISK 3	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Legislation concerning mergers of higher education institutions leads to duplication of learner records between the institutions.	The merged information systems create duplicate student records instead of merging the student records	5	2	10	Yes
<p><b>Strategy 1:</b>  Offer capacity building interventions on how to prevent duplicates  <b>Lead:</b> Director: NLRD; Deputy Director: NLRD  <b>Action:</b>  Offer capacity-building workshops and meetings</p>					
<p><b>Strategy 2:</b>  Data cleaning  <b>Lead:</b> Director: NLRD; Deputy Director: NLRD  <b>Action:</b>  Run data cleaning projects</p>					
RISK 4	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION

IT Risks – installation and backups: <ul style="list-style-type: none"> <li>Incompatibilities within SAQA IT systems</li> <li>Downtime</li> <li>Back-ups not present/unusable</li> </ul>	<ul style="list-style-type: none"> <li>Incompatibilities – servers and / or Oracle versions</li> <li>Lack of understanding of the installation system</li> <li>System crashes</li> </ul>	4	3	12	Yes
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**Strategy 1:**  
Ensure that installation processes are correct and are followed by all administrators (see also IT Risk Management Plan)  
**Lead:** Director: NLRD; Director: IT  
**Action:**

- Undertake the necessary research to ensure that all systems and equipment are compatible
- Ensure that the installation procedures are correct and are correctly followed
- Follow the procedures in installation, accessing and using the NLRD
- Develop and implement training packages or sessions in the correct procedures

**Strategy 2:**  
Ensure that all backups and system structures (hardware, software and firmware) are such that access can be restored in the minimum time (see also IT Risk Management Plan)  
**Lead:** Director: IT  
**Action:**

- Ensure that backups are correctly done and are usable
- Ensure that data dumps are correctly done and are usable

RISK 5	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
IT Risks – disaster recovery: <ul style="list-style-type: none"> <li>Incompatibilities within the SAQA IT systems.</li> <li>Down time.</li> <li>Backups not present or unusable</li> </ul>	<ul style="list-style-type: none"> <li>Incorrect protection of SAQA’s systems from hackers</li> <li>Inadequate backups</li> <li>Inadequate disaster recovery strategies</li> <li>Inadequate implementation of disaster recovery strategies</li> </ul>	3	3	9	Yes

**Strategy 1:**  
Ensure that all disaster recovery strategies are excellent and up to date (see also IT Risk Management Plan)  
**Lead:** Director: IT and Director: NLRD  
**Action:**

- Develop and maintain the NLRD Disaster Recovery Strategy
- Liaise with IT at all times
- IT to develop and maintain the IT Disaster Recovery Strategy
- IT to ensure that adequate backups are being done at all times
- IT to test that it is possible to restore the NLRD in the event of a crash

<b>Directorate Objective 3:</b> Maintain and further develop the Higher Education Quality Committee Information System (HEQCIS) for the Council on Higher Education					
<b>Context:</b> SAQA has entered into a formal agreement with the CHE to establish and maintain the database on private higher education providers on their behalf, for a period of three years.					
RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION

<ul style="list-style-type: none"> <li>• Receipt of incorrect or incomplete data</li> <li>• Incorrect implementation of HEQCIS protocols might delay data processing</li> <li>• Difficulties in aggregating data due to insufficient data</li> </ul>	<ul style="list-style-type: none"> <li>• Incorrect extraction methods</li> <li>• Misunderstanding / misreading data or request</li> <li>• This is a new system for most PHEIs, so they may not meet the requirements if they do not receive proper support</li> <li>• Some PHEIs do not have Information Management Systems in place and this might delay the population of the HEQCIS.</li> </ul>	3	5	15	Yes
<p><b>Strategy 1:</b> Disseminate, to the PHEIs, a list of competent service providers who can assist in developing Information Management Systems and to provide support where necessary. <b>Lead:</b> Director: NLRD <b>Action</b></p> <ul style="list-style-type: none"> <li>• Ensure that constant communication and reminders are sent to PHEI as a way of ensuring full participation and marketing of the URL</li> <li>• Ensure that institutions understand and meet the minimum standards.</li> <li>• Ensure that the HEQCIS is significantly populated by making follow-ups with institutions with missing information</li> </ul>					

RISK 2	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Lack of adequate skills at SAQA or service provider	Staff turnover	2	4	8	Yes
<p><b>Strategy 1:</b> Ensure that SAQA has at least one a back-up person, in case the current project managers are changed</p>					
<p><b>Strategy 2:</b> Recommend to the service providers that each should have a back-up person, in case the current project managers are changed</p>					

RISK 3	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Inaccessibility of some PHEIs	<ul style="list-style-type: none"> <li>• Changes in contact details</li> <li>• Closing of PHEIs</li> </ul>	3	4	12	Yes
<p><b>Strategy 1:</b> Utilise the assistance of the CHE in tracking down the PHEIs that are difficult to find</p>					

RISK 4	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Lack of buy-in among some PHEIs	<ul style="list-style-type: none"> <li>• Lack of understanding of the requirements for submitting data to HEQCIS</li> <li>• Lack of commitment to own learners in ensuring that their achievements are recorded</li> </ul>	3	4	12	Yes
<p><b>Strategy 1:</b> Utilise the assistance of the CHE in motivating the PHEIs</p>					



<b>Directorate Objective 4:</b> Provide appropriate system and application tools to exploit the research potential of the NLRD, including the development of key reports					
<b>Context:</b> The NLRD contains a wealth of information, which SAQA has undertaken to exploit for the national good					
RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
<ul style="list-style-type: none"> <li>Disseminate incorrect information</li> </ul>	<ul style="list-style-type: none"> <li>Receipt of incorrect or incomplete data</li> <li>Incorrect extraction methods</li> <li>Misunderstanding / misreading data or request</li> </ul>	3	5	15	Yes
<b>Strategy 1:</b> Check assumptions concerning information requirements; ensure the correction of faulty methodology, programming and processes, proactively or as soon as mistakes are detected <b>Lead:</b> Deputy Director: NLRD; Assistant Directors: NLRD <b>Action:</b> <ul style="list-style-type: none"> <li>Constantly review and check systems and produce exception reports to identify weaknesses and inaccuracies</li> <li>Obtain and act on feedback</li> <li>Communicate clearly and regularly with data suppliers and data capturers</li> </ul>					

RISK 2	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Stakeholders' needs are not met	<ul style="list-style-type: none"> <li>Inadequate external participation in consultation processes</li> <li>Misunderstanding / misreading requests</li> <li>Incorrect analysis of requirements</li> </ul>	2	5	10	Yes
<b>Strategy 1:</b> Ensure ongoing consultation with stakeholders <b>Lead:</b> Director: NLRD, DD: NLRD, Assistant Directors: NLRD <b>Action:</b> <ul style="list-style-type: none"> <li>Organise consultations (including meetings and fora)</li> <li>Obtain requests in writing</li> <li>Identify strategic issues that the NLRD can provide information on</li> <li>Work closely with the CHE, Umalusi, QCTO and DHET to identify areas where the NLRD can provide information</li> </ul>					

RISK 3	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Unauthorised use of NLRD data	<ul style="list-style-type: none"> <li>Anyone with any access (authorised or not) to the confidential information in the NLRD</li> <li>Carelessness in the management of the data and reports</li> </ul>	3	4	12	Yes

<p><b>Strategy 1:</b> Control access to NLRD systems rigorously to ensure that no unauthorised person is able to extract data <b>Lead:</b> Director: NLRD; Deputy Director: NLRD <b>Action:</b></p> <ul style="list-style-type: none"> <li>• Set up user profiles correctly</li> <li>• NLRD sign-on times out if there has been no activity for two hours</li> <li>• Monitor users (via access logs and on-line usage queries) to ensure that only authorised users have gained access to the NLRD</li> <li>• Ensure that SAQA’s confidentiality agreement is signed by all NLRD users</li> <li>• IT to monitor accessing of the NLRD via all routes</li> <li>• Director: NLRD to monitor on-line access to the NLRD (via user profiles)</li> <li>• Liaise with IT and the NLRD’s Database Administrator at all times</li> </ul>
<p><b>Strategy 2:</b> Co-sign the required agreements with clients before releasing information to them <b>Lead:</b> Director: NLRD <b>Action:</b> Where extracted information is supplied to external parties (via assignments or via the XML URL Builder), co-sign the required agreements with the clients before releasing the information</p>

RISK 4	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Reputational Risk in not meeting deadlines	<ul style="list-style-type: none"> <li>• Volume of work</li> <li>• Data integrity issues identified during analysis</li> <li>• Lack of capacity</li> <li>• Insufficient operational budget</li> <li>• SAQA unable to employ full staff complement for NLRD, or</li> <li>• Staff complement present, but necessary skills must be built</li> <li>• No successors</li> </ul>	3	4	12	Yes
<p><b>Strategy 1:</b> Managing the expectations of the Minister of Public Service and Administration, DPSA and governmental departments <b>Lead:</b> Project Director: NLRD Verifications <b>Action:</b></p> <ul style="list-style-type: none"> <li>• Negotiate realistic timeframes and agree on dates</li> <li>• Estimate time frames taking all possible sources of delay into account</li> <li>• Negotiate additional resources where applicable</li> <li>• Reprioritise as and when necessary</li> </ul>					
<p><b>Strategy 2:</b> Ensure adequate resources for the Verifications Project <b>Lead:</b> Project Director: NLRD Verifications; Director: NLRD; Executive Office; HR Director <b>Action:</b></p> <ul style="list-style-type: none"> <li>• Ensure that the size and capacity of the staff complement required for the Verifications Project has been identified</li> <li>• Ensure that the required number and capacity of staff are employed in the Verifications Project (whether (whether permanently or on contract)</li> <li>• Ensure that capacity building activities are carried out</li> </ul>					

<p><b>Strategy 3:</b> Utilise all resources possible for locating information partners or their archived information <b>Lead:</b> Project Director: NLRD Verifications; Director: NLRD; Executive Office <b>Action:</b></p> <ul style="list-style-type: none"> <li>• Enlist the assistance of other SAQA staff members (who may have had contact with various data sources)</li> <li>• Contact stakeholders who may be able to assist</li> <li>• Utilise the Internet</li> </ul>
<p><b>Strategy 4:</b> Ensure that the information partners understand the implications of cooperating or not cooperating with SAQA requests <b>Lead:</b> Project Director: NLRD Verifications; Director: NLRD; Executive Office <b>Action:</b></p> <ul style="list-style-type: none"> <li>• Enlist the assistance of government departments such as DHET and DPSA</li> <li>• Liaise with the information partners frequently</li> <li>• Ensure that the information partners receive acknowledgement of their responses and efforts</li> </ul>

<p><b>Directorate Objective 5:</b> Provide a service for the verification of the achievement of qualifications at South African institutions</p>
<p><b>Context:</b> The NLRD has already been used to perform verifications (for the public and private sectors) for several years. During the 2009-10 financial year, the Minister of Public Service and Administration issued a circular and then a directive, making it compulsory for all public sector verifications to be carried out by SAQA alone. This entails the verification of approximately 4 million records over the next few years.</p>

RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
<ul style="list-style-type: none"> <li>• Disseminate incorrect information</li> <li>• Stakeholders' needs are not met</li> </ul>	<ul style="list-style-type: none"> <li>• Receipt of incorrect or incomplete data</li> <li>• Incorrect search or extraction methods</li> <li>• Incorrectly formulated requests</li> <li>• Misunderstanding / misreading the requests</li> </ul>	4	5	20	Yes
<p><b>Strategy 1:</b> Initiate intensified data-gathering projects <b>Lead:</b> Project Director: NLRD Verifications; Director: NLRD <b>Action:</b></p> <ul style="list-style-type: none"> <li>• Interact with data suppliers, in order to do data comparisons and undertake gap-filling projects</li> <li>• Integrate these projects with the NLRD's other data-population initiatives</li> </ul>					
<p><b>Strategy 2:</b> Check assumptions concerning information requirements; ensure the correction of faulty methodology, programming and processes, proactively or as soon as mistakes are detected <b>Lead:</b> Project Director: NLRD Verifications; Verification Project Team <b>Action:</b></p> <ul style="list-style-type: none"> <li>• Constantly review and check systems and produce exception reports to identify weaknesses and inaccuracies</li> <li>• Obtain and act on feedback</li> <li>• Communicate clearly and regularly with data suppliers and data capturers</li> </ul>					

<p><b>Strategy 3:</b> Ensure that the clients use the resources, for submitting verification requests, correctly <b>Lead:</b> Project Director: NLRD Verifications; Verification Project Team <b>Action:</b></p> <ul style="list-style-type: none"> <li>• Ensure that the correct templates are issued to clients</li> <li>• Ensure that the clients use the correct templates to submit their requests</li> <li>• Ensure that the templates are completed correctly</li> <li>• Communicate clearly and regularly with clients</li> </ul>					
<p><b>Strategy 4:</b> Ensure that the procedures for verifications are followed correctly <b>Lead:</b> Project Director: NLRD Verifications; Verification Project Team <b>Action:</b> Maintain up-to-date procedures Cross-check the reports to be sent to the clients</p>					
RISK 2	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
<ul style="list-style-type: none"> <li>• Unauthorised use of NLRD data</li> </ul>	<ul style="list-style-type: none"> <li>• Anyone with any access (authorised or not) to the confidential information in the NLRD</li> <li>• Carelessness in the management of the data and reports</li> </ul>	3	4	12	Yes
<p><b>Strategy 1:</b> Control access to NLRD systems rigorously to ensure that no unauthorised person is able to extract data <b>Lead:</b> Director: NLRD; Deputy Director: NLRD <b>Action:</b></p> <ul style="list-style-type: none"> <li>• Set up user profiles correctly</li> <li>• NLRD sign-on times out if there has been no activity for two hours</li> <li>• Monitor users (via access logs and on-line usage queries) to ensure that only authorised users have gained access to the NLRD</li> <li>• Ensure that SAQA's confidentiality agreement is signed by all NLRD users</li> <li>• IT to monitor accessing of the NLRD via all routes</li> <li>• Director: NLRD to monitor on-line access to the NLRD (via user profiles)</li> <li>• Liaise with IT and the NLRD's Database Administrator at all times</li> </ul>					

RISK 3	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Deadlines are not met	<ul style="list-style-type: none"> <li>• Volume of work</li> <li>• Lack of capacity</li> <li>• Insufficient resources</li> <li>• SAQA unable to employ full staff complement for the Verifications Project, <b>or</b></li> <li>• Staff complement present, but necessary skills must be built</li> <li>• Difficulty in locating some of the information partners (e.g. due to closure)</li> <li>• Lack of cooperation by some information partners</li> </ul>	4	5	20	Yes

<p><b>Strategy 1:</b> Assign realistic deadlines <b>Lead:</b> Project Director: NLRD Verifications <b>Action:</b></p> <ul style="list-style-type: none"> <li>• Estimate time frames taking all possible sources of delay into account</li> <li>• Negotiate additional resources where applicable</li> <li>• Reprioritise as and when necessary</li> </ul>
<p><b>Strategy 2:</b> Ensure adequate resources for the Verifications Project <b>Lead:</b> Project Director: NLRD Verifications; Director: NLRD; Executive Office; HR Director <b>Action:</b></p> <ul style="list-style-type: none"> <li>• Ensure that the size and capacity of the staff complement required for the Verifications Project has been identified</li> <li>• Ensure that the required number and capacity of staff are employed in the Verifications Project (whether permanently or on contract)</li> <li>• Ensure that capacity building activities are carried out</li> </ul>
<p><b>Strategy 3:</b> Utilise all resources possible for locating information partners or their archived information <b>Lead:</b> Project Director: NLRD Verifications; Director: NLRD; Executive Office <b>Action:</b></p> <ul style="list-style-type: none"> <li>• Enlist the assistance of other SAQA staff members (who may have had contact with various data sources)</li> <li>• Contact stakeholders who may be able to assist</li> <li>• Utilise the Internet</li> </ul>
<p><b>Strategy 4:</b> Ensure that the information partners understand the implications of cooperating or not cooperating with SAQA requests <b>Lead:</b> Project Director: NLRD Verifications; Director: NLRD; Executive Office <b>Action:</b></p> <ul style="list-style-type: none"> <li>• Enlist the assistance of government departments such as DHET and DPSA</li> <li>• Liaise with the information partners frequently</li> <li>• Ensure that the information partners receive acknowledgement of their responses and efforts</li> </ul>

<b>Directorate Objective 6:</b>					
Ensure system support other than OnLineDBA for the NLRD.					
<b>Context:</b> The NLRD must be robust enough to meet national and international needs at all times					
RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
NLRD security being breached	Incorrect protection of SAQA's systems from hackers	3	3	9	Yes
<b>Strategy 1:</b> Ensure that systems are secure enough to prevent unauthorised access (see also IT Risk Management Plan) <b>Lead:</b> Director: IT <b>Action:</b>					
<ul style="list-style-type: none"> <li>• Have systems in place (including intrusion detection) that check that data has not been tampered with</li> <li>• Have systems in place that deal with the correction of corrupted data</li> </ul>					
RISK 2	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION

IT Risks – disaster recovery:	<ul style="list-style-type: none"> <li>• Incorrect protection of SAQA’s systems from hackers</li> <li>• Inadequate backups</li> <li>• Inadequate disaster recovery strategies</li> <li>• Inadequate implementation of disaster recovery strategies</li> </ul>	3	3	9	Yes
<ul style="list-style-type: none"> <li>• Incompatibilities within the SAQA IT systems.</li> <li>• Down time.</li> <li>• Backups not present or unusable</li> </ul>					

**Strategy 1:**  
Ensure that all disaster recovery strategies are excellent and up to date (see also IT Risk Management Plan)  
**Lead:** Director: IT and Director: NLRD  
**Action**

- Develop and maintain the NLRD Disaster Recovery Strategy
- Liaise with IT at all times
- IT to develop and maintain the IT Disaster Recovery Strategy
- IT to ensure that adequate backups are being done at all times
- IT to test that it is possible to restore the NLRD in the event of a crash

RISK 3	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
The NLRD is not developed to reflect all the developments concerning the NQF (or: this does not happen quickly enough)	<ul style="list-style-type: none"> <li>• Tardiness or inaccuracy in developing the specifications for the next version of the NLRD (which will reflect changes to the NQF)</li> <li>• Tardiness or inaccuracy in implementing the specifications for the next version of the NLRD</li> </ul>	2	4	8	Yes

**Strategy 1:**  
Ensure understanding and correct application of NQF changes  
**Lead:** Director: NLRD; Deputy Director: NLRD  
**Action**  
Consult with colleagues at high level  
Check and re-check the resultant specifications  
Liaise very closely with whoever implements the specifications  
Test the new release thoroughly, before going live

**Directorate Objective 7:**  
Support the NQF as a system, as well as fellow SAQA directorates and SAQA as an organisation

**Context:** The NLRD must be robust enough to meet national and international needs

RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
<ul style="list-style-type: none"> <li>• Lack of coherence in government’s and Quality Councils’ dealings with SAQA</li> <li>• Lack of buy-in from Government, Quality Councils, or other partners.</li> </ul>	<ul style="list-style-type: none"> <li>• Lack of understanding of the benefits of the NLRD</li> <li>• Lack of commitment to SAQA</li> </ul>	5	3	15	Yes

**Strategy 1:**

Ensure that SAQA spells out clearly what its role is and what information it does and does not offer through the NLRD

**Lead:** Director: NLRD; Executive Office; Strategic Support Directorate; Advocacy Project

**Action:**

- Utilise all possible avenues to communicate with NLRD stakeholders
- Make information available through all possible media especially the website and searchable databases
- Clearly market those services that SAQA is able to provide for customised information
- Develop and distribute useful reports
- Participate in relevant

RISK 2	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
<ul style="list-style-type: none"> <li>• Incompatibilities within the SAQA IT systems.</li> <li>• Down time.</li> <li>• Backups not present or unusable</li> </ul>	<ul style="list-style-type: none"> <li>• Incorrect protection of SAQA's systems from hackers</li> <li>• Inadequate backups</li> <li>• Inadequate disaster recovery strategies</li> <li>• Inadequate implementation of disaster recovery strategies</li> </ul>	3	3	9	Yes

**Strategy 1:**

Ensure that all disaster recovery strategies are excellent and up to date (see also IT Risk Management Plan)

**Lead:** Director: IT and Director: NLRD

**Action**

- Develop and maintain the NLRD Disaster Recovery Strategy
- Liaise with IT at all times
- IT to develop and maintain the IT Disaster Recovery Strategy
- IT to ensure that adequate backups are being done at all times
- IT to test that it is possible to restore the NLRD in the event of a crash

#### 4.4 Foreign Qualifications: Evaluation and Advisory Service

**Strategic Objective: 3.11 [Section (13) (1) (m)]**

Provide an evaluation and advisory service with respect to foreign qualifications

**Directorate Objective 1:**

Nurture and grow the unique expertise of SAQA as a recognised national asset

**Context:** Evaluation of foreign qualifications is the primary service rendered by the directorate.

The subject specific skills required to render the service are highly specialised. Expertise is currently developed only in-house (operational level) and through costly participation in international events (advanced level). It is imperative to keep in touch with educational change in order to master an understanding of trends in foreign systems of education and training, on the one hand, and of developments in the own (which serves as the benchmark), on the other. In addition the complex context within which international transfer of qualifications takes place requires in depth knowledge and understanding for successful participation and value to be added by the role players.

There are indications that stringent operational pressure that built up over the past four years and the resultant operational focus has become a threat to the very knowledge base that underlies the service. It is deemed to be of the utmost importance to return to this root in order to ensure the preservation and enhancement of professional expertise to ensure an ongoing leadership role.

The service is currently self-funded and aims to sustain and enhance this position.

RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Expertise and skill become an end in itself, giving rise to an ivory tower syndrome and steering focus away from the achievement of actual objectives through application of knowledge and skills	<ul style="list-style-type: none"> <li>Uncertainty / inexperience with regard to changed job contents</li> <li>Undue fixation on (self) development</li> </ul>	1	2	2	No
RISK 2	SOURCES OF RISK	ASSESSMENT OF RISK			
Inadequate / irrelevant training opportunities; lack of information on such opportunities	<ul style="list-style-type: none"> <li>Lack of sufficient networking / links</li> <li>Impaired ability to source information</li> <li>Lack of a dedicated focus on internal training design to date</li> </ul>	3	3	9	No
RISK 3	SOURCES OF RISK	ASSESSMENT OF RISK			
The directorate is self-funded and therefore insufficient funding, due to changes in the market / a decrease in the demand is a risk	<ul style="list-style-type: none"> <li>Relative fluidity of environment, as influenced by socio-political climate (instability in neighbouring countries versus local need and circumstances)</li> </ul>	3	5	15	Yes



<p><b>Strategy 1:</b> Investigate other sources of income as per strategic objective 3. <b>Lead:</b> Director: Foreign Qualifications: Evaluation and Advisory Services <b>Actions:</b> Engage with stakeholders and partners to identify gaps / niche areas in respect of which the role DFQEAS can expand its role Pursue new / additional income generating services and/or products to address these gaps / niche areas</p>					
<p><b>Strategy 2:</b> Review tariffs and ensure that these remain market related in a way that does not impair social justice. <b>Lead:</b> Director: Foreign Qualifications: Evaluation and Advisory Services <b>Actions:</b> Review evaluation tariffs against inflation and implement adjustments Introduce tariffs for verification</p>					
RISK 4	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Incumbents that do not initially meet expected levels or competency / performance	<ul style="list-style-type: none"> <li>High pressure which does not allow for dedicated training (over-reliance on on-the-job training and inconsistencies in skills transfer)</li> <li>Low morale</li> <li>Uncertainty due to restructuring</li> <li>Lack of commitment</li> <li>Counter-productive effect of automated evaluations</li> </ul>	3	4	12	Yes
<p><b>Strategy 1:</b> Promote accelerated learning and development through special interventions <b>Lead:</b> Director: Foreign Qualifications: Evaluation and Advisory Services <b>Actions:</b> In collaboration with HR, spearhead recruitment strategies to attract the desired calibre staff and enhance staff retention strategies Ensure stretch capacity through partnerships Ensure that a formal training programme is designed and implemented</p>					

<p><b>Directorate Objective 2:</b> Position SAQA as a relevant and value-adding partner in ensuring socio-economic development through mobility of learners and workers</p>					
<p><b>Context:</b> The national focus on skills shortages and importation as a way to address these brought about unannounced formalised immigration requirements which had a huge impact on the demand for evaluation of foreign qualifications. More recently public service verification agenda was introduced. These developments resulted in a high level of awareness of SAQA, but unfortunately not a clear understanding of its defined role or processes.  To turn around the situation and re-affirm SAQA as a credible and esteemed role player, the spearheading of relationship-building is of the essence. A basis of trust and cooperation will also assist CEEQ to better understand the environment it has to cater for and ensure the relevance of its</p>					
RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
National landscape/priorities change or the demand declines	<ul style="list-style-type: none"> <li>Socio-economic dynamics</li> <li>Shift in the Government agenda re skills immigration</li> </ul>	2	5	10	No

**Directorate Objective 3:**

In addition to the evaluation of foreign qualifications, develop services and products to meet other identified market needs

**Context:** The traditional function of the directorate is to evaluate foreign qualifications. Because of the supply-according-to-demand basis of this function (especially in view of the magnitude of the demand), it has per definition become reactive.

In the general quest to be more proactive and also influence social processes related to its work and provide for other types of needs in the field, the directorate aims to identify other ways in which it can add value to these processes and design projects and services around these. To enhance its leadership role, these should include intellectual contributions.

RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Overstepping/distraction from jurisdiction / area of expertise / main focus, causing unsatisfactory delivery in that regard due to diverted attention, and/or confusion as to what the directorate's actual role is	Context of restructuring and repositioning in which niches are being redefined	2	2	4	No
RISK 2	SOURCES OF RISK	ASSESSMENT OF RISK			
Duplication of other initiatives, causing tension / wastage	<ul style="list-style-type: none"> <li>Relative lack of experience in terms of "new" role</li> <li>Eagerness to show a shift</li> </ul>	1	1	1	No

**Directorate Objective 4:**

Ensure the delivery of services within the required quality and time parameters and to the satisfaction of clients and stakeholders.

**Context:**

Evaluation of foreign qualifications is the primary service rendered by the directorate. This is conducted in direct response to public demand, which, together with challenges such as communication difficulties and client expectations, dilemmas and frequent opportunism, create a high-pressure environment in which production *must* continue on a daily basis according to strict deadlines. The fact that demand shows a growing trend – especially since the evaluation of foreign qualifications has become compulsory for applicants for work permits in terms of changed immigration policy – heightens the importance of disciplined delivery.

The skills required to render the service are specialised and developed only in-house (up to operational level) and through costly participation in international events (advanced level). It is imperative to keep in touch with educational change in order to master an understanding of trends in foreign systems of education and training, on the one hand, and of developments in the own (which serves as the benchmark), on the other.

The service is currently self-funded and aims to sustain and enhance this position.

RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Delivery requirements in terms of quality, quantity and timelines are not met	<ul style="list-style-type: none"> <li>Temporary resource capacity constraints</li> <li>Periodic systems constraints</li> <li>Higher than expected numbers of applications</li> </ul>	3	5	15	Yes

<p><b>Strategy 1:</b> Plan and implement measures to address backlogs when these develop. <b>Lead:</b> Director: Foreign Qualifications: Evaluation and Advisory Services <b>Actions:</b></p> <ul style="list-style-type: none"> <li>• Within the framework of SAQA policy on and LRA provisions for overtime, as well as availability of the necessary skills, develop and implement a strategy to create additional capacity within the unit.</li> <li>• Develop and implement a communication plan to keep clients informed until such time that the client interface of the directorate's workflow system is ready to go public.</li> <li>• Evaluate and report on progress</li> </ul>					
<p><b>Strategy 2:</b> Develop and implement measures to shorten processing time. <b>Lead:</b> Director: : Foreign Qualifications: Evaluation and Advisory Services in consultation with Directors: IT and Finance &amp; Admin <b>Actions:</b> Investigate alternative evaluation formats and review costing structure in the light thereof. Spearhead the development and population of the envisaged evaluations database.</p>					
<p><b>Strategy 3:</b> Plan and implement measures to create additional long-term capacity. <b>Lead:</b> Director: : Foreign Qualifications: Evaluation and Advisory Services in consultation with Director: HR <b>Action:</b> Actively focus on the retention and development of staff. Create spare capacity through multi-skilling of existing staff, student placement and learnerships, as well as cross-cutting use of resources in the organisation. Review capacity requirements and supplement staff complement.</p>					
RISK 2	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Inability to sustain, or decline in income	<ul style="list-style-type: none"> <li>• Loss of part of market share due to emerging competition or loss of credibility</li> <li>• Decline in demand due to flow or foreigners / decrease in need</li> </ul>	3	3	15	Yes
<p><b>Strategy 1:</b> Investigate other sources of income as per strategic objective 3. <b>Lead:</b> Director: Foreign Qualifications: Evaluation and Advisory Services <b>Actions:</b> Engage with stakeholders and partners to identify gaps / niche areas in respect of which the role DFQEAS can expand its role Pursue new / additional income generating services and/or products to address these gaps / niche areas</p>					
<p><b>Strategy 2:</b> Review tariffs and ensure that these remain market related in a way that does not impair social justice. <b>Lead:</b> Director: Foreign Qualifications: Evaluation and Advisory Services <b>Actions:</b> Review evaluation tariffs against inflation and implement adjustments Introduce tariffs for verification</p>					
RISK 3	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION

<p>Loss of credibility due to insufficient retention of capacity and expertise / professional stagnation / lack of growth / unacceptable levels of inaccuracy and/or inconsistency</p>	<ul style="list-style-type: none"> <li>• Resource constraints causing relative isolation, or the maintenance of operations taking priority over development</li> <li>• Resistance against change</li> <li>• Indifference due to market monopoly</li> <li>• Challenging environment causes high staff turnover, with an to adverse impact on delivery capacity due to continued skills transfer</li> <li>• Maturity of next generation of professional staff does not provide sufficiently for succession</li> </ul>	3	5	15	Yes
	<ul style="list-style-type: none"> <li>• Staff development is not realised due operational demands and to directorate structure</li> <li>• High pressure / low support environment</li> </ul>				
<p><b>Strategy 1:</b> Spearhead professional development and retention of existing expertise <b>Lead:</b> Director: Foreign Qualifications: Evaluation and Advisory Services <b>Actions:</b> Find the necessary funding and capacity for specific intensive development interventions</p>					
<p><b>Strategy 2:</b> Retain existing expertise and ensure back-up measures for production purposes <b>Lead:</b> Director: Foreign Qualifications: Evaluation and Advisory Services <b>Actions:</b></p> <ul style="list-style-type: none"> <li>• Plan and implement measures to create additional capacity, which is affordable and readily available.</li> <li>• Actively focus on the retention of staff</li> <li>• Create spare capacity through multi-skilling of existing staff, student placement and learnerships</li> <li>• Spearhead development of CEEQ Workflow System in order to work smarter</li> </ul>					
<p><b>Strategy 3:</b> Pursue accuracy and consistency <b>Lead:</b> Director: Foreign Qualifications: Evaluation and Advisory Services <b>Actions:</b></p> <ul style="list-style-type: none"> <li>• Populate and clean up data on CEEQ Workflow System to ensure data integrity</li> <li>• Improve quality review process</li> <li>• Document criteria and procedures</li> <li>• Enhance dialogue with stakeholders and networking partners, locally and internationally</li> </ul>					
RISK 4	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION

<p>Fraud and opportunism.</p>	<ul style="list-style-type: none"> <li>• High premium placed on qualifications by society.</li> <li>• Regulations which make SAQA evaluation compulsory.</li> <li>• Relatively high frequency of fraudulent documents submitted for evaluation, as well as incidences of misrepresentation.</li> <li>• Certificates issued by fly-by-night institutions</li> <li>• The possibility of corruption / bribery (paid service for which there is a high demand out of necessity)</li> <li>• Attempts by clients to influence the outcome of evaluation decisions</li> <li>• Attempts to forge SAQA documentation</li> <li>• 'Easy' acceptance of qualifications outside of the normal evaluation criteria / framework.</li> </ul>	3	5	15	Yes
<p><b>Strategy 1:</b>  Design and implement / reinforce processes and form attitudes to counteract fraud of any nature  <b>Lead:</b> Director: Foreign Qualifications: Evaluation and Advisory Services  <b>Action:</b></p> <ul style="list-style-type: none"> <li>• Develop and implement measures to combat document fraud</li> <li>• Regularly review existing internal processes and procedures to ensure a watertight system</li> <li>• Identify needs for additional internal processes and procedures and design and implement these</li> <li>• Enhance staff awareness of relevant policies, potential incidences and consequences of fraud; promote the service principles of integrity and credibility</li> <li>• Explicitly communicate the consequences of attempted fraud to clients and consistently stick to these in practice</li> <li>• Aggressively pursue disciplinary measures / prosecution of transgressors</li> </ul>					



# **SOUTH AFRICAN QUALIFICATIONS AUTHORITY**

## **STRATEGIC PLAN FOR THE 2011 – 2014 MTEF PERIOD**

***September 2010***



**INVESTOR IN PEOPLE**

**SOUTH AFRICAN QUALIFICATIONS AUTHORITY (SAQA)  
STRATEGIC PLAN FOR THE 2011 – 2014 MTEF PERIOD**



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# **SOUTH AFRICAN QUALIFICATIONS AUTHORITY**

## **STRATEGIC PLAN FOR THE 2011 – 2014 MTEF PERIOD**

### ***Executive Summary***

**September 2010**



**INVESTOR IN PEOPLE**





# SOUTH AFRICAN QUALIFICATIONS AUTHORITY (SAQA) STRATEGIC PLAN FOR THE 2011 – 2014 MTEF PERIOD

## EXECUTIVE SUMMARY

The South African Qualifications Authority (SAQA) is charged with overseeing the further development and implementation of the National Qualifications Framework (NQF), a key national policy with respect to the transformation and integration of the education and training system in South Africa.

As part of an overall strategy to foster a culture of life-long learning, SAQA focuses on upholding the objectives of the NQF, including access, mobility and progression. SAQA seeks to enable all individuals – especially those in poor and rural communities – to value, have access to, and succeed in quality lifelong education and training as signified by the NQF.

In advancing the NQF objectives, SAQA embraces diversity, environmental sustainability and social justice. SAQA bases its strategic imperatives on its understanding of the NQF as a framework for communication, coordination and collaboration across education, training, development and work.

The functions of SAQA are set out in sections 5(3) and 13 of the National Qualifications Framework Act, 67 of 2008 (NQF Act), which became effective on 1 June 2009. In summary, the NQF Act positions SAQA as the oversight body of the NQF and the custodian of its values. This enables SAQA to engage with high level strategic issues that enhance the coherent implementation of the NQF.

SAQA's key focus areas over the next three years will be on the continued careful management of the transition to the new NQF landscape, the building of research and development capacity, advancing lifelong learning through the NQF mechanisms, and creating the climate and conditions for effectiveness through excellent service delivery.

This Strategic Plan describes enhanced strategic objectives for the next three years and provides a one-year operational plan, in support of the planned activities of the organisation to ensure that the benefits of a continuously improving NQF are delivered effectively and efficiently to learners through successful partnerships in the national interest.

In order to fulfill its mandate and execute its objectives as described above, SAQA requires resources - specifically, human, finance, and infrastructural support resources:

- A proposed staffing plan has been developed, considering SAQA's mandate as well as its commitment to embracing diversity and social justice. Therefore, SAQA's recruitment strategy aims to recruit and retain suitably qualified and experienced staff to assist SAQA in delivering on its mandate and also takes cognisance of the Employment Equity Act;
- A realistic baseline budget has been established in line with MTEF figures to support execution of the mandate and objectives – this, together with a suitable staffing complement is a prerequisite for continued service excellence.
- In implementing its mandate, SAQA has adopted a high-technology (hi-tech) approach in the selection of office facilities, equipment and labour-saving devices in order to operate in a modern, efficient and effective office. SAQA remains committed and sensitive to the environment, and to ensuring environmental sustainability in the way that it manages infrastructural resources. Therefore SAQA will maintain the environmentally friendly practices that were implemented during the previous years.

SAQA has developed a detailed Risk Management Plan according to the four programmes around which the budget is structured. The detailed Risk Management Plan provides for strategies to mitigate the identified risks and is intended to ensure the future viability of the organisation.

SAQA is geared to, over the next three years, pursue its role and mandate as provided by the NQF Act, and has in this regard considered strategic imperatives that underlie the strategic objectives driving the execution of operational goals.

This Strategic Plan sets the scene for SAQA to maintain its mandate as oversight and leadership body in respect of the NQF and as guardian of its values, for the 2011 MTEF period, moving forward.



# **SOUTH AFRICAN QUALIFICATIONS AUTHORITY**

## **STRATEGIC PLAN FOR THE 2011 – 2014 MTEF PERIOD**

### ***Three Year Rolling Strategic Plan***

**September 2010**



INVESTOR IN PEOPLE

## **1. INTRODUCTION**

### **1.1. Background**

SAQA is charged with overseeing the further development and implementation of the NQF, a key national policy with respect to the transformation and integration of the education and training system in South Africa.

As part of an overall strategy to foster a culture of lifelong learning, SAQA focuses on upholding the objectives of the NQF, including access, mobility and progression. SAQA seeks to enable all individuals – especially those in poor and rural communities – to value, have access to, and succeed in, quality life-long education and training as signified by the NQF.

In advancing the NQF objectives, SAQA embraces diversity, environmental sustainability and social justice. SAQA bases its strategic imperatives on its understanding of the NQF as a framework for communication, coordination and collaboration across education, training, development and work.

This learner-centered approach, which is a critical element of the South African NQF, is underpinned by the principles of systemic co-ordination, coherence and resource alignment in supporting specific national imperatives the Human Resource Development Strategy (HRDS) and National Skills Development Strategy III (NSDS).

SAQA operates under the NQF Act, which provides for SAQA as well as the establishment of three Quality Councils (QCs), and has come into effect from 1 June 2009.

SAQA has already taken proactive steps to manage the transitional period until all the QCs are fully operational and to provide leadership in determining its future role as the oversight body in the new NQF landscape. This proactive role is focused on ensuring that the NQF is underpinned by systems coordination, coherence and resource alignment. This will be achieved through providing the necessary leadership for effective partnerships in the delivery of the NQF, quality research and information on skills to inform national decision making, capacity building of targeted learning communities and comprehensive communication with key stakeholders and the general public.

This Strategic Plan also sets out steps, over the next three years, to continue the process of deep transformation of the education and training system that will ensure a system that facilitates access, enhances quality and accelerates redress in education opportunities for all learners, in keeping with government's priorities. Finally, this Strategic Plan describes the inputs in terms of the strategy to be followed and resources to be committed to achieve the required outputs.

### **1.2. Legislative Imperative for the Strategic Plan**

SAQA is committed to sound corporate governance, integrity, efficiency, and compliance. This Strategic Plan is compiled in compliance with section 30.1 of the Treasury Regulations, 2005, promulgated under the Public Finance Management Act, 1999 (PFMA). In accordance with the said regulation, this Strategic Plan covers a period of three years, and includes:

- Objectives and outcomes as identified by the executive authority - the Department of Higher Education and Training (DHET);
- Multi-year projections of revenue and expenditure;
- Key performance measures and indicators for assessing performance in delivering the desired outcomes and objectives; and
- Materiality/significant framework.

This Strategic Plan is updated annually on a rolling basis and forms the basis for quarterly performance reporting as well as the annual report.

### 1.3. Governance

In accordance with Section 14 (3) (a) of the NQF Act, the SAQA Board is appointed by the Minister of Higher Education and Training, following a public nomination process. The functions of the Board are set out in sections 5(3), 11, and 13 of the NQF Act.

SAQA is a National Public Entity that has been listed under Schedule 3(a) of PFMA. Therefore, in addition to its responsibilities as set out in the NQF Act, the Board also fulfils the role of the accounting authority in terms of section 49 of the PFMA.

As the accounting authority the Board acts in a fiduciary capacity and is responsible for ensuring that:

- Effective, efficient and transparent systems of financial and risk management and internal control, internal audit and procurement are in place;
- Effective and appropriate steps are taken to collect revenue due, prevent irregular, fruitless and wasteful expenditure, losses from criminal conduct and expenditure as a result of non-compliance with operational policies;
- Effective and efficient management is in place which will include ensuring the safeguarding of the assets of SAQA and controlling its liabilities, revenues and expenditures;
- Applicable legislation and regulations are complied with;
- An effective and appropriate disciplinary system is in place to deal with failures to comply with the PFMA and the internal control system;
- Budgets, major contracts and other commitments are approved;
- The finances are properly controlled; and
- SAQA operates as an ethical organisation;

The SAQA Board sets strategy and policy. Management formulates strategy and makes policy proposals for consideration by the SAQA Board. Management also implements the decisions made by the SAQA Board and maintains systems of internal control as well as accounting and information systems. The SAQA Board monitors the performance of management.

Section 16 (1) of the NQF Act allows that the Board may establish committees to assist in the execution of its fiduciary responsibilities. The following structure of committees is utilised by the SAQA Board:

- Executive Committee
- Audit Committee
- Education and Training Quality Assurance Committee
- Education and Training Quality Assurance Appeals Committee
- Finance Committee
- Information and Information Technology Committee
- Qualifications and Standards Committee
- Remuneration Committee
- Research Committee

Each of these Committees operates within a Terms of Reference, approved by the Board. The Board assesses the duties of all committees and evaluates their performance annually. The Chairpersons of the SAQA Board and the Committees also evaluate annually the performance of each individual member of the Board and Committees.

While the management structure of SAQA is somewhat different from that of a private corporation, the SAQA Board is committed to the principles of openness, integrity, efficiency, accountability and

compliance reflected in the King Code of Governance Principles 2009 (King III). SAQA therefore continuously works towards the further enhancement of its excellent governance processes.

#### **1.4. Purpose of the Plan**

This Strategic Plan is based on SAQA's understanding of the NQF as a framework for communication, coordination and collaboration across education, training, development and work. It describes enhanced strategic objectives for the next three years, and supports planned activities of the organisation to ensure that the benefits of a continuously improving NQF are delivered effectively and efficiently to learners through successful partnerships in the national interest.

The Plan has been developed, based on the following assumptions:

- SAQA will continue to be recognised by government, key partners and stakeholders as the oversight and leadership body of the NQF and guardian of its values;
- SAQA will execute specific projects as mandated by the Minister of Higher Education (including national career advisory services); and
- The necessary financial support to enable SAQA to deliver on its mandate during this period and beyond will be forthcoming from the Minister of Higher Education and Training.

This Strategic Plan also sets out steps to continue the process of deep transformation of the education and training system that will ensure a system that facilitates access, enhances quality and accelerates redress in education opportunities for all learners, in keeping with government's priorities. Finally, this Strategic Plan describes the inputs in terms of the strategy to be followed and resources to be committed to achieve the required outputs.

In order to achieve the objectives, SAQA will continue to play an oversight role and adopt a results-based project management orientation; i.e. SAQA will provide leadership in a professional and measurable manner and will execute its functions.

## **2. OVERVIEW**

### **2.1. Mandate**

The NQF Act positions SAQA as the oversight body of the NQF and the custodian of its values. As such, SAQA will coordinate the work of the QCs and other NQF partners (Sector Education and Training Authorities - SETAs).

The functions of SAQA are set out in sections 5(3) and 13 of the NQF Act (Act No 67 of 2008), which became effective on 1 June 2009. It positions SAQA as the oversight body of the NQF and the custodian of its values. This enables SAQA to engage with high level strategic issues that enhance the coherent implementation of the NQF. In summary, SAQA:

- Must advise the relevant Ministers and decision makers on NQF matters, oversee the implementation of the NQF, liaise and consult with the QCs on matters relating to implementation of the NQF;
- Is mandated to develop policies and criteria for the development and registration of qualifications, assessment, recognition of prior learning and credit accumulation and transfer, recognising a professional body and registering a professional designation, and the development of the content of level descriptors;
- Is also required to maintain a National Learners' Records Database (NLRD), to ensure that South African qualifications are of an acceptable quality, to provide an evaluation and advisory service with respect to foreign qualifications, to conduct commission research into NQF related matters; and

- Is further responsible to conduct or commission research into NQF related matters, to collaborate with international counterparts, and to initiate and drive a clear, coordinated communication and advocacy strategy to assist providers, learners and the public at large to understand the new NQF architecture and the implications of the changes for them.

## 2.2. Vision

*A world class National Qualifications Framework for South Africa*

## 2.3. Mission

*Oversee the further development and implementation of the National Qualifications Framework and advance its objectives which contribute to the full development of each learner and to the social and economic development of the nation at large.*

## 2.4. Strategic Intent

In advancing the NQF objectives, SAQA embraces diversity, environmental sustainability and social justice. SAQA, as the oversight body of the NQF and the custodian of its values, will for the MTEF period:

- Continue to manage the transition and future operations with NQF partners (QCs and SETAs), to ensure effectiveness in the system to the advantage of learners, especially those in poor and rural communities;
- Continue to build research and development capacity and credibility, including information systems, international networks and research into work and learning to lead policy, legislative and conceptual debates on key national priorities and to impact on practice;
- Advance lifelong learning through the NQF and mechanisms such as the recognition of prior learning (RPL), credit accumulation and transfer (CAT) and career advice services (CAS), towards enabling the removal of systemic barriers to access and progression;
- Engage proactively with key partners to develop common understandings of the NQF as a framework for communication, coordination and collaboration across education, training, development and work and translate these into practice; and
- Create the climate and conditions for effectiveness through advocacy and excellent service delivery to the public in the new NQF environment as defined by the NQF Act.

## 3. STRATEGIC OBJECTIVES:

In terms of the NQF Act, as well as the mandate provided by the Minister of Higher Education and Training, SAQA is accountable to deliver certain agreed outputs in return for support and resources as specified in the Strategic Plan. SAQA will, in accordance with the strategic intent as described above, continue to follow a results-based approach in the delivery of the agreed outputs as indicated below. For ease of reference, the relevant section from the NQF Act (which provides for SAQA's mandate as indicated in paragraph 2.1 above) from which the objective is derived is indicated with each objective.

- 3.1 Advise the Minister, and inform policy-makers and make recommendations on all NQF matters [Section (13) (1) (b)];
- 3.2 Position SAQA as the oversight body and guardian of NQF values and coordinate an effective public NQF advocacy and communication strategy [Sections (13) (1) (a), (f) and (n) and (11) (a-c)];
- 3.3 Engage proactively, and coordinate the work of NQF partners to ensure systemic coherence, articulation and implementation [Section (13) (1) (e – f)];
- 3.4 Register high quality, nationally relevant and internationally comparable qualifications and part-qualifications that meet national criteria [Section (13) (1) (g – h)];
- 3.5 Recognise professional bodies and register professional designations on the NQF [Section (13)(1) (i)];

- 3.6 Conduct or commission research together with research partners, and publish reports on issues of importance to the development and implementation of the NQF, including periodic studies of the impact of the NQF [Section (13) (1) (k)];
- 3.7 Monitor and evaluate education and training across the three sub-frameworks for continuous systemic quality improvement [Sections (5) (3) (a – c), and (11) (a – c)];
- 3.8 Collaborate with SAQA’s international counterparts regarding qualifications frameworks and keep its NQF partners informed regarding international leading practice [Section (13) (1) (j)];
- 3.9 Maintain and further develop the National Learners’ Records Database (NLRD) as the key national source of information and advice for human resource and skills development in policy, infrastructure, planning and the verification of learner achievements [Section (13) (1) (l)];
- 3.10 Advance lifelong learning through credit accumulation and transfer, recognition of prior learning, and career advice services [Section (13) (h) (3)];
- 3.11 Provide an evaluation and advisory service with respect to foreign qualifications [Section (13) (1) (m)];
- 3.12 Support targeted education, training and development communities to become effective leaders in NQF leading practices, through providing client focused information services in the implementation of the NQF [Section (11) (a – c)]; and
- 3.13 Ensure effective governance and compliance to the statutory requirements and codes as applicable to SAQA, as well as the aligned development of human, financial and infra-structural resources, to support the achievement of organisational objectives [Section (13) (n) (iii) PFMA, legislative and governance requirements)].

The strategic objectives have been further developed and are presented in a Three-year Strategic Plan for the 2010 – 2014 MTEF Period (*Annexure A*). Further, SAQA developed a One-year Operational Plan for the 2011/12 Financial Year. The Operational Plan is based on directorate objectives, linked to Programmes and supported by Key Objectives, Performance Indicators, Assumptions and Risks. *These are recorded in Annexure B.*

#### 4. RESOURCE REQUIREMENTS

##### 4.1. Human Resource

The Chief Executive Officer is responsible to execute the above objectives and to implement the required policy and regulations. In this, he will be supported by the staff complement as indicated in the organisational structure and breakdown of positions in *Annexure C*.

A proposed staffing plan has been developed, considering SAQA’s mandate as well as its commitment to embracing diversity and social justice. Therefore, SAQA’s recruitment strategy aims to recruit and retain suitably qualified and experienced staff to assist SAQA in delivering on its mandate.

The proposed new staff complement will be appropriate on 1 April 2011, taking SAQA’s new mandate into account.

SAQA’s subscribes to the Employment Equity Act and SAQA’s Employment Equity Plan is included in this document as *Annexure D*, together with a one-page progress update on the implementation of the Plan.

##### 4.2. Financial Resources:

In support of its mandate and objectives as described above, SAQA has established a realistic baseline budget in line with the MTEF.

Previously the necessary resources have been provided by a number of donors and sponsors, however the main sources of income currently are:

- Government through the Department of Higher Education and Training
- Self-funded projects and self-recovery services.

The budget for the MTEF period 2011/12 was developed based on the following assumptions:

- The budget is based on SAQA's new mandate in terms of the NQF Act, with an implementation date of 1 June 2009;
- Personnel costs will be adjusted for the effects of inflation at 6 percent;
- Performance and broadbanding level adjustments for all levels of staff are implemented and maintained;
- Inflation on income will be approximately 5 percent, except for DFQEAS revenue that is expected to remain flat at R12.5 million. The NLRD income is expected to be R6 million in respect of the DPSA directive in terms of government department verifications;
- Inflation of costs will be around 5 percent with SAQA having to absorb any higher inflation by using resources more effectively and efficiently to still achieve its operational goals;
- The funding from government will be at least R 43,8 million;
- Additional project funding will be sought for clearly defined and discrete projects;
- The estimate as presented is such that not all of the objectives as set out in the strategic plan will be able to be implemented unless further funding or grants are obtained. There will be a formal prioritisation process and unfunded mandates will be declared to government; and
- A total of 57 new and 7 contract positions will be created, resulting in a new overall staff complement of 189 permanent staff members (inclusive of the contract positions). 43 of the new positions will be for the Career Advice Services Helpdesk.

Details of the budgeting process are included in Financial Plan, attached hereto as *Annexure E*.

#### 4.3. Infrastructural Resources

In implementing its mandate, SAQA has adopted a high-technology (hi-tech) approach in the selection of office facilities, equipment and labour-saving devices in order to operate in a modern, efficient and effective office. SAQA remains committed and sensitive to the environment, and to ensuring environmental sustainability in the way that it manages infrastructural resources. SAQA will therefore maintain the environmentally friendly practices that were implemented during the previous years.

#### 4.4. Materiality and Significance

As required by the Treasury Regulations, SAQA has developed and agreed a framework of acceptable levels of materiality and significance with the Minister of Higher Education and Training in consultation with the Auditor-General. SAQA approved a materiality and significance framework which outlines materiality and significance as follows:

SAQA has assessed the **levels of materiality** to be:

- Any amount which results from criminal conduct;
- The value of R10 000 and above which results from irregular, fruitless or wasteful expenditure caused by gross negligence; or
- R500 000 and above, being approximately 0,5% of gross revenue in respect of irregular, fruitless or wasteful expenditure caused by any other circumstance.

#### **Significance:**

The Board approved the significance amount at R1.3 million.



## 5. RISK MANAGEMENT

The SAQA Board, in the execution of its fiduciary duties, and in compliance with Sections 50(a) and 51(c) of the Public Finance Management Act, 1999, ensured that a detailed risk management plan was developed. The Plan was developed according to the four programmes around which the budget is structured, and provides for strategies to mitigate the identified risks

Risks with a high risk rating (risk levels of 16 – 25) are generally of greater concern and have been prioritised separately within the Risk management Plan. Senior management is involved in monitoring mitigation of these risks. The **Prioritised risk areas** have been categorised as follows:

- Resources: Financial, Human Resource and Infrastructural
- Management of SAQA's operations: notably with regard to the NLRD and Verifications
- The new NQF landscape

The prioritised risks are indicated included in the tables that follow:

### 5.1 Resources

**Overall Objective: 3.13** [Section (13) (n) (iii) PFMA, legislative and governance requirements]:

Ensure effective governance and the aligned development of human, financial and infra-structural resources, to support the achievement of the organisational objectives.

**Context:**

The new NQF Landscape is taking shape: SAQA remains the oversight body for the NQF and as such will ensure that the NQF and its embedded values are aligned in the national interest. Firm political & financial commitment and the buy-in of partners and key role-players are required, and it is necessary to manage the transition carefully to maintain coherence in the system.

**Funding:**

RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
SAQA's budget is insufficient to support the planned activities of SAQA  (EO)	<ul style="list-style-type: none"> <li>• The MTEF indicates government funding that is below the budgetary requirements of SAQA</li> <li>• New bodies are to be established or existing mandate increased</li> <li>• Loss of rental income due to reduced interest from tenants and / or SAQA's increased needs for office space.</li> </ul>	5	5	25	Yes
<p><b>Strategy 1:</b> SAQA lobbies government to ensure SAQA's financial sustainability <b>Lead:</b> Chair, Board members, Executive Office <b>Action:</b> Inputs to MTEF indicate clearly SAQA's needs and are supported by the DHET, as per the remit to SAQA</p>					
<p><b>Strategy 2:</b> SAQA requests government support in gaining donor support for discrete projects (e.g. CAS) <b>Lead:</b> Executive Office, DRR, CAS <b>Action:</b> Motivate the need for project specific funding</p>					
<p><b>Strategy 3:</b> SAQA updates the operational and structural review and conceptualises and implements enhanced operational mode and optimisation of available skills and expertise</p>					

RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Inadequate funds available (Advocacy)	<ul style="list-style-type: none"> <li>The tight financial constraints as set out by DHET together with a poor understanding of the real costs to build a valued national brand</li> <li>The MTEF indicates government funding that is below the budgetary requirements of SAQA</li> </ul>	4	4	16	Yes
<p><b>Strategy 1:</b> Utilise appropriate Forums to communicate and create support for the Advocacy Project  <b>Lead:</b> NQF Advocacy Project Director  <b>Action:</b>  The task will be to ensure a balance between expectations and what can be realistically achieved. The PSC will be seen as the key interface in this regard.</p>					

**Staffing:**

RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
<ul style="list-style-type: none"> <li>Skilled staff is lost to the system</li> <li>Key activities not completed at the required level of quality (EO)</li> </ul>	<ul style="list-style-type: none"> <li>Recruitment and retention of quality staff is not possible due to budgetary constraints</li> <li>SAQA requires scarce specialized skills in a number of areas</li> </ul>	4	5	20	Yes
<p><b>Strategy 1:</b> SAQA implements its retention strategy effectively and offers market-related salaries  <b>Lead:</b> Executive Office, HR  <b>Action:</b></p> <ul style="list-style-type: none"> <li>Implement broadbanding across the organisation</li> <li>Implement effective training and development plans</li> <li>Ensure effective redeployment</li> </ul>					
<p><b>Strategy 2:</b> SAQA and partners make agreements regarding deployment of expertise in a changed operational environment  <b>Lead:</b> Executive Office, HR  <b>Action:</b></p> <ul style="list-style-type: none"> <li>Strategies are developed and implemented to ensure system access to and for NQF expertise</li> <li>Ensure the placement of this matter on the Agenda of the Sector for future skills planning</li> </ul>					

RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
The loss of skilled staff members or contracted individuals that have specialised on SAQA systems (IT)	Better remuneration elsewhere	4	4	16	Yes
<p><b>Strategy 1:</b> Outsource specialised functions  <b>Lead:</b> IT Director  <b>Action:</b></p> <ul style="list-style-type: none"> <li>Identify highly specialised functions, identify possible providers.</li> <li>Ring-fence funds for this and develop and manage appropriate contracts.</li> <li>Identify and contract service providers to cover specialised services required by SAQA.</li> </ul>					

**Strategy 2:**  
 Ensure systems, network and technical documentation is up to date  
**Lead:** IT Director  
**Action:**

- Ensure all critical processes, procedures and work instructions are documented
- Ensure all technical instructions and manuals received from vendors
- Ensure knowledge transfer takes place from service providers.

**Infrastructure:**

RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Insufficient resources to ensure business continuity of the SAQA systems.  (IT)	<ul style="list-style-type: none"> <li>• SAQA's IT architecture consists of a wide range of different systems. Individuals with expertise of all these systems are scarce and sought-after.</li> <li>• The succession planning for the Director position may be a source of risk.</li> </ul>	4	4	16	Yes

**Strategy 1:**  
 Outsource specialised functions  
**Lead:** IT Director  
**Action:**

- Identify highly specialised functions, identify possible providers.
- Ring-fence funds for this and develop and manage appropriate contracts.
- Identify and contract service providers to cover specialised services required by SAQA.

**Strategy 2:**  
 Ensure systems, network and technical documentation is up to date  
**Lead:** IT Director  
**Action:**

- Ensure all critical processes, procedures and work instructions are documented
- Ensure all technical instructions and manuals received from vendors
- Ensure knowledge transfer takes place from service providers.

RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Access required from outside SAQA attracts attention of hackers and mischief-makers, who could attack the servers within the demilitarised zone, causing unacceptable recovery times. (IT)	Opening of SAQA servers for access from outside SAQA offices	4	4	16	Yes

**Strategy 1:**  
 Ensure daily backups are successful and tested for recovery capability  
**Lead:** IT Director  
**Action:**

- Back-up and monitoring of backups on a daily basis
- Off-site storage of back-ups
- Maintain an off-site recovery facility
- Off-site testing of full recovery of systems on a regular basis

**Strategy 2:**  
 Ensure that the operating environment especially the server room is secure  
**Lead:** Director: IT  
**Action:**  
 Ensure that those who access the server room are legitimate, sign-in, indicating their reason for being there and are not left alone at any time (Register, CCTV camera and access control system)  
 Check regularly that the access control system and the fire detection systems are fully operational

## 5.2 Management of SAQA's Operations

### NLRD:

**Strategic Objective: 3.9 [Section (13) (1) (I)]:**

Maintain and further develop the National Learners' Records Database (NLRD) as the key national source of information and advice for human resource and skills development in policy, infrastructure, planning and the verification of learner achievements

**Directorate Objective 1**

Market the NLRD to identified key clients in the public and private sector

**Context:** The NLRD requires further promotion. However, in the current climate for SAQA, this requires sensitivity and skill.

RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
New legislation or requests without consultation, may create changed requirements or may increase volumes of work that are difficult to meet	<ul style="list-style-type: none"> <li>Lack of consultation with SAQA staff</li> <li>Unrealistic deadlines to meet additional requirements and requests.</li> </ul>	5	5	25	Yes
<p><b>Strategy 1:</b>            Improve understanding of the needs of the public service and improve communication with high level staff at DPSA and in the Minister of Public Service's Office.  <b>Lead:</b> Director: NLRD; Executive Office  <b>Actions:</b></p> <ul style="list-style-type: none"> <li>Identify the projects that are necessary to fulfil the new needs</li> <li>Plan the projects</li> <li>Implement the projects</li> </ul>					
<p><b>Strategy 2:</b>            Implement relevant projects  <b>Lead:</b> Director: NLRD; Executive Office  <b>Actions</b></p> <ul style="list-style-type: none"> <li>Identify the projects that are necessary to fulfil the new needs</li> <li>Plan the projects</li> <li>Implement the projects</li> </ul>					
<p><b>Strategy 3:</b>            Ensure sufficient resources, including staffing  <b>Lead:</b> Director: NLRD; Executive Office; Director: Human Resources</p> <ul style="list-style-type: none"> <li>Ensure that the size and capacity of the staff complement required for NLRD projects has been identified</li> <li>Ensure that the required number and capacity of staff are employed in the NLRD Directorate (whether permanently or on contract)</li> <li>Ensure that capacity building activities are carried out</li> </ul>					

**Strategy 4:**  
 Ensure sufficient funding and / or income  
**Lead:** Director: NLRD; Executive Office; Director: Finance and Administration  
**Actions:**

- Calculate income and expenditure projections
- Ensure that these cover sufficient income and expenditure for the success of the required work

**Verifications:**

**Directorate Objective 5:**  
 Provide a service for the verification of the achievement of qualifications at South African institutions  
**Context:** The NLRD has already been used to perform verifications (for the public and private sectors) for several years. During the 2009-10 financial year the Minister of Public Service and Administration issued a circular and then a directive, making it compulsory for all public sector verifications to be carried out by SAQA alone. This entails the verification of approximately 4 million records over the next few years.

RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Reputational risk in not meeting the agreed deadlines. (Verifications)	<ul style="list-style-type: none"> <li>• Volume of work</li> <li>• Lack of capacity</li> <li>• Insufficient resources</li> <li>• SAQA unable to employ full staff complement for the Verifications Project, <b>or</b></li> <li>• Staff complement</li> <li>• present, but necessary skills must be built</li> <li>• Difficulty in locating some of the information partners (e.g. due to closure)</li> <li>• Lack of cooperation by some information partners</li> </ul>	4	5	20	Yes

**Strategy 1:**  
 Managing the expectations of the Minister of Public Service and Administration, DPSA and governmental departments  
**Lead:** Project Director: NLRD Verifications  
**Action:**

- Negotiate realistic timeframes and agree on dates
- Estimate time frames taking all possible sources of delay into account
- Negotiate additional resources where applicable
- Reprioritise as and when necessary

**Strategy 2:**  
 Ensure adequate resources for the Verifications Project  
**Lead:** Project Director: NLRD Verifications; Director: NLRD; Executive Office; HR Director  
**Action:**

- Ensure that the size and capacity of the staff complement required for the Verifications Project has been identified
- Ensure that the required number and capacity of staff are employed in the Verifications Project (whether permanently or on contract)
- Ensure that capacity building activities are carried out

<p><b>Strategy 3:</b> Utilise all resources possible for locating information partners or their archived information <b>Lead:</b> Project Director: NLRD Verifications; Director: NLRD; Executive Office <b>Action:</b></p> <ul style="list-style-type: none"> <li>• Enlist the assistance of other SAQA staff members (who may have had contact with various data sources)</li> <li>• Contact stakeholders who may be able to assist</li> <li>• Utilise the Internet</li> </ul>
<p><b>Strategy 4:</b> Ensure that the information partners understand the implications of cooperating or not cooperating with SAQA requests <b>Lead:</b> Project Director: NLRD Verifications; Director: NLRD; Executive Office <b>Action:</b></p> <ul style="list-style-type: none"> <li>• Enlist the assistance of government departments such as DHET and DPSA</li> <li>• Liaise with the information partners frequently</li> <li>• Ensure that the information partners receive acknowledgement of their responses and efforts</li> </ul>

RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
<ul style="list-style-type: none"> <li>• Disseminate incorrect information</li> <li>• Stakeholders' needs are not met (Verifications)</li> </ul>	<ul style="list-style-type: none"> <li>• Receipt of incorrect or incomplete data</li> <li>• Incorrect search or extraction methods</li> <li>• Incorrectly formulated requests</li> <li>• Misunderstanding / misreading the requests</li> </ul>	4	5	20	Yes
<p><b>Strategy 1:</b> Initiate intensified data-gathering projects <b>Lead:</b> Project Director: NLRD Verifications; Director: NLRD <b>Action:</b></p> <ul style="list-style-type: none"> <li>• Interact with data suppliers, in order to do data comparisons and undertake gap-filling projects</li> <li>• Integrate these projects with the NLRD's other data-population initiatives</li> </ul>					
<p><b>Strategy 2:</b> Check assumptions concerning information requirements; ensure the correction of faulty methodology, programming and processes, proactively or as soon as mistakes are detected <b>Lead:</b> Project Director: NLRD Verifications; Verification Project Team <b>Action:</b></p> <ul style="list-style-type: none"> <li>• Constantly review and check systems and produce exception reports to identify weaknesses and inaccuracies</li> <li>• Obtain and act on feedback</li> <li>• Communicate clearly and regularly with data suppliers and data capturers</li> </ul>					
<p><b>Strategy 3:</b> Ensure that the clients use the resources, for submitting verification requests, correctly <b>Lead:</b> Project Director: NLRD Verifications; Verification Project Team <b>Action:</b></p> <ul style="list-style-type: none"> <li>• Ensure that the correct templates are issued to clients</li> <li>• Ensure that the clients use the correct templates to submit their requests</li> <li>• Ensure that the templates are completed correctly</li> <li>• Communicate clearly and regularly with clients</li> </ul>					
<p><b>Strategy 4:</b> Ensure that the procedures for verifications are followed correctly <b>Lead:</b> Project Director: NLRD Verifications; Verification Project Team <b>Action:</b> Maintain up-to-date procedures Cross-check the reports to be sent to the clients</p>					

### 5.3 The New NQF Landscape:

**Strategic Objective 3.4 [Section (13) (1) (g – h)]:**

Continue to manage the transition and future processes with NQF partners, to ensure effectiveness in the system to the advantage of learners, especially those in poor and rural communities

**Context:** The NQF Act and other associated legislation provide for a different landscape in which SAQA is the oversight body and, in consultation with the QCs, is required to develop transitional arrangements for the system to move from the SAQA Act to the new NQF Act.

<b>Directorate Objective 1</b> Ensure a smooth transition from the old to the new NQF landscape					
RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
<ul style="list-style-type: none"> <li>Full operational capacity at the QCs is slow to achieve and impacts on synchronization</li> </ul>	<ul style="list-style-type: none"> <li>Political leadership is uncertain about the direction of NQF</li> </ul>	4	5	20	Yes
<ul style="list-style-type: none"> <li>The QCs develop at different rates and fail to collaborate with SAQA and each other</li> <li>Human Resource capacity in the Directorate is either limited or uneasy about the new landscape impacting on full utilisation of resources (DRR)</li> </ul>	<ul style="list-style-type: none"> <li>development</li> <li>Budgetary constraints slow the pace of implementation</li> <li>Constituency pressure resulting from expressed sectoral needs</li> <li>Executive and senior management underestimate the resource implications</li> </ul>				
<p><b>Strategy 1:</b> Engage directly with the Minister and Department as well as the QCs to alert them to the risk associated with delays in full establishment of the QCs. <b>Lead:</b> Executive Office <b>Action:</b></p> <ul style="list-style-type: none"> <li>Highlight the risk at meetings with the Boards of the QCs, fellow Executive Officers and high ranking officials and the Ministers</li> <li>Ensure adequate capacity at Directorate level to lead the processes</li> </ul>					

The detailed Risk Management Plan (*included as Annexure F*) includes the mitigation plans in respect of the above prioritised risk areas as well as the detailed risk management plans of the various units.

## 6. CONCLUSION

SAQA is geared to maintain its role and mandate as provided by the NQF Act, and has in this regard considered strategic imperatives that underlie the strategic objectives driving the execution of operational goals.

This Strategic Plan sets the scene for SAQA to maintain its mandate as oversight and leadership body in respect of the NQF and as guardian of its values, for the 2011 – 2014 MTEF period, moving forward.

SOUTH AFRICAN QUALIFICATIONS AUTHORITY			INITIAL BUDGET 2011-12										SCENARIO 1				Detailed by Cost Centre	
Code	Initial Scenario 3	Initial Budget	EO Off	NOE Advocacy	International	Career Advice	DRR	SSU	Research	F&A	Building	DFOEAS	IT	NLRD	HR			
	Budget Approved	2011/12	100	120	150	Services	200	400	450	500	550	600	700	750	800			
2010/11	2010/11																	
<b>Revenue:</b>																		
10000	Government Grant Income	41,335,000	43,815,000							43,815,000								
10010	Government Grant Capital	-	-															
11000	Accreditation Fees Received	-	-															
11500	Evaluation Fees CEEQ	18,500,000	12,500,000									12,500,000						
11700	Income NLRD	800,000	6,000,000											6,000,000				
12010	Donor Funding	-	-															
15000	Project funding JIPs	-	37,800,000					37,800,000										
16000	Donor funding NSF	-	-															
17000	Rental Income	1,500,000	1,440,000								1,440,000							
20000	Sundry Income	900,000	2,090,000			500,000		200,000				1,000,000		240,000	150,000			
21000	Interest Received	1,400,000	2,400,000							2,400,000								
	Internal Transfers to cover services rendered by other Directorates	-	-	660,000				(8,100,000)				990,000	314,000					
	Savings and Income from Prior Year Carried Forward	5,000,000	6,500,000							6,500,000								
	<b>TOTAL INCOME</b>	<b>69,435,000</b>	<b>112,545,000</b>	<b>660,000</b>	<b>-</b>	<b>500,000</b>	<b>29,700,000</b>	<b>-</b>	<b>5,700,000</b>	<b>-</b>	<b>53,705,000</b>	<b>2,076,000</b>	<b>13,500,000</b>	<b>314,000</b>	<b>6,240,000</b>	<b>150,000</b>		
<b>Costs and expenses:</b>																		
<b>Personnel costs</b>																		
40000	Salaries	27,798,729	45,091,540	2,693,185	989,474	1,138,768	13,295,714	4,329,214	2,799,935	1,597,458	2,943,692	-	7,563,597	2,426,068	3,897,373	1,417,063		
40010	Leave payments	724,925	1,122,756	68,596	25,395	27,578	327,941	107,394	70,616	38,110	74,070	-	192,080	58,435	98,456	34,085		
40040	Bonuses	2,310,456	3,724,534	224,432	82,456	94,897	1,107,976	367,949	237,330	87,784	239,304	-	630,300	209,236	324,781	118,089		
40100	Pension Fund Contributions	4,526,278	7,181,313	430,910	158,316	182,203	2,127,317	706,462	447,990	255,593	437,992	-	1,210,176	388,171	623,580	212,604		
40210	UIF Contributions	204,061	306,016	12,109	4,907	6,670	93,423	27,743	20,458	8,813	22,565	-	60,950	11,874	28,537	7,968		
40220	Workmen's Compensation	152,070	235,425	14,403	5,334	5,773	68,725	22,488	14,834	7,789	15,649	-	40,322	12,257	20,662	7,189		
40400	Medical Aid Contributions	2,957,519	4,167,147	215,428	81,509	90,974	1,205,406	363,896	272,922	113,718	308,944	-	818,766	172,483	409,383	113,718		
40500	Motor Vehicle Allowances	1,217,748	560,818	276,877	84,758	-	-	86,171	42,379	-	28,253	-	-	42,379	-	-		
40600	Housing Allowances	3,733,032	5,312,233	190,706	95,353	118,662	1,572,268	474,647	355,985	148,327	392,008	-	1,067,956	214,015	533,978	148,327		
40700	Other Allowances	143,880	606,023	-	-	-	-	-	90,409	-	261,338	-	-	127,138	42,379	84,758		
40800	Travelling Allowances	216,000	38,000	-	-	38,000	-	-	-	-	-	-	-	-	-	-		
41000	RSC Levies	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
41100	Skills Development Levies	315,757	508,017	30,649	11,032	12,886	150,134	48,179	32,319	17,046	34,913	-	84,532	26,928	43,485	15,914		
41200	Educational assistance	325,000	165,000	-	-	-	-	-	-	-	-	-	-	-	-	165,000		
41300	Staff training, seminars, workshops	1,072,800	2,203,000	51,000	15,000	9,000	500,000	180,000	120,000	30,000	108,000	-	120,000	42,000	115,000	913,000		
30500	Resettlement Expenses	-	250,000	-	-	-	-	-	-	-	-	-	-	-	-	250,000		
31000	Recruitment Costs	300,000	741,800	-	-	-	300,000	-	-	-	-	-	-	-	-	441,800		
		<b>45,998,255</b>	<b>72,213,621</b>	<b>4,208,295</b>	<b>1,553,535</b>	<b>1,725,411</b>	<b>20,748,903</b>	<b>6,714,142</b>	<b>4,505,178</b>	<b>2,304,638</b>	<b>4,866,728</b>	<b>-</b>	<b>11,788,679</b>	<b>3,730,984</b>	<b>6,137,614</b>	<b>3,929,513</b>		



SOUTH AFRICAN QUALIFICATIONS AUTHORITY			INITIAL BUDGET 2011-12							SCENARIO 1							Detailed by Cost Centre	
Code	Initial Scenario 3	Initial Budget	EO Off	NOF Advocacy	International	Career Advice	DRR	SSU	Research	F&A	Building	DFOEAS	IT	NLRD	HR			
	Budget Approved	2011/12	100	120	150	Services	200	400	450	500	550	600	700	750	800			
	2010/11	2011/12																
<b>Administration costs</b>																		
30000	Accommodation Premises	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
30100	Bank Charges	352,000	390,760	-	-	1,000	-	-	-	389,760	-	-	-	-	-	-		
31400	Transport Subs and Acc - board	625,000	647,448	647,448	-	-	-	-	-	-	-	-	-	-	-	-		
31500	Transport Subs and Acc - non-staff	524,685	738,461	100,800	15,000	22,000	10,000	335,601	-	60,000	12,960	40,000	24,000	93,100	25,000			
31550	Transport Subs and Acc - staff	550,200	876,096	192,000	19,992	83,000	20,000	125,500	140,004	20,000	21,600	90,000	12,000	30,000	2,000			
31600	Telephones Normal	200,800	2,632,980	13,860	7,200	2,400	2,400,000	55,000	30,000	16,000	21,600	57,500	21,600	2,400	5,420			
31700	Telephone Cellular	439,500	964,420	84,000	6,000	15,600	600,000	60,060	24,960	20,000	57,600	65,000	24,000	2,400	4,800			
31900	Conference fees - SAQA workshops	352,000	542,200	13,200	-	56,000	-	125,000	-	202,000	-	50,000	10,000	86,000	-			
31950	Conference fees - advocacy	718,000	4,275,596	-	-	-	-	4,275,596	-	-	-	-	-	-	-			
31970	Conference fees - external conferences	477,000	498,700	13,200	15,000	34,000	40,000	60,500	-	200,000	-	50,000	48,000	8,000	30,000			
32000	Postage	793,200	810,983	53,084	6,000	2,400	120,000	33,000	94,999	6,000	14,400	470,000	4,800	4,800	1,500			
32020	Advertisements	12,000	20,004	-	-	-	-	20,004	-	-	-	-	-	-	-			
32030	Advertisements Advocacy	104,000	5,370,200	-	-	-	-	5,370,200	-	-	-	-	-	-	-			
32040	Official Entertainment	66,800	66,200	18,000	12,000	8,000	-	-	-	7,200	-	15,000	6,000	-	-			
32060	Stationery Standard	365,200	372,404	31,800	7,200	5,000	-	48,400	38,004	16,000	72,000	100,000	24,000	18,000	12,000			
32090	Photocopying costs	188,000	486,875	20,995	4,980	3,600	-	330,000	-	16,000	72,000	15,000	4,800	2,400	17,100			
32100	Printing	1,573,800	5,135,704	54,000	8,004	28,000	-	1,183,500	3,665,000	120,000	14,400	40,000	6,000	16,800	-			
32110	Newspaper & magazine subscript	121,300	127,798	2,532	-	-	-	115,266	10,000	-	-	-	-	-	-			
32120	Books	148,000	131,150	-	-	1,000	-	6,600	90,000	10,000	-	20,000	-	2,000	1,550			
32130	Computer Software & Licensing Fees	900,000	812,000	-	-	-	50,000	-	-	-	-	-	762,000	-	-			
32300	Subscriptions & memberships	24,000	354,900	-	-	-	40,000	-	228,000	8,000	12,000	42,500	-	-	24,400			
32500	Equipment Rental	521,000	373,200	-	-	12,000	-	-	-	-	43,200	-	-	318,000	-			
33000	Computer Expenses	450,000	462,000	-	-	-	390,000	-	-	-	-	-	-	72,000	-			
33005	Computer Application Development	100,000	1,300,000	-	-	-	1,300,000	-	-	-	-	-	-	-	-			
33010	Equipment Maintenance	18,000	543,000	-	-	-	-	-	-	-	24,000	-	519,000	-	-			
33020	Repairs and Maintenance	300,000	450,000	-	-	-	-	-	-	-	450,000	-	-	-	-			
33030	Cleaning Materials & Costs	3,600	4,320	-	-	-	-	-	-	-	4,320	-	-	-	-			
33040	Tea Coffee and Refreshments	166,200	173,760	32,520	6,000	23,500	6,000	5,040	-	2,400	60,000	5,000	9,000	4,800	19,500			
33050	Flowers and gifts	53,100	40,060	1,200	2,400	4,000	-	5,040	10,500	4,000	4,320	4,000	1,200	2,400	1,000			
33060	Minor Assets	74,000	58,200	-	-	-	-	-	-	-	43,200	15,000	-	-	-			
33080	Insurance Assets	228,000	296,400	-	-	-	-	-	-	-	296,400	-	-	-	-			
33120	Audit Fees	1,100,000	1,391,200	-	-	-	-	-	-	-	1,391,200	-	-	-	-			
33140	Professional and Consult. fees	7,063,360	16,589,195	673,976	50,400	304,000	600,000	1,355,019	2,480,440	2,500,000	366,000	700,000	1,854,400	5,052,960	652,000			
33150	Attendance fees	24,000	25,440	25,440	-	-	-	-	-	-	-	-	-	-	-			
33200	Contractors research and development	665,000	1,719,000	-	-	-	-	-	-	628,000	-	-	-	1,091,000	-			
42000	Building costs - Cleaning	516,000	542,004	-	-	-	-	-	-	-	542,004	-	-	-	-			
42100	Building costs - Collection Commission	96,000	-	-	-	-	-	-	-	-	-	-	-	-	-			
42200	Building costs - Electricity & Water	504,000	564,600	-	-	-	-	-	-	-	564,600	-	-	-	-			
42300	Building costs - Insurance	24,000	25,440	-	-	-	-	-	-	-	25,440	-	-	-	-			
42350	Building costs - Legal fees	4,000	4,240	-	-	-	-	-	-	-	4,240	-	-	-	-			
42400	Building costs - Letting Commission	63,600	67,440	-	-	-	-	-	-	-	67,440	-	-	-	-			
42500	Building costs - Rates	420,000	470,400	-	-	-	-	-	-	-	470,400	-	-	-	-			
42600	Building costs - Refuse	14,400	16,200	-	-	-	-	-	-	-	16,200	-	-	-	-			
42700	Building costs - Repairs & Maintenance	260,000	312,000	-	-	-	-	-	-	-	312,000	-	-	-	-			
42800	Building costs - Security	480,000	508,800	-	-	-	-	-	-	-	508,800	-	-	-	-			
33070	Vehicles costs	36,000	43,200	-	-	-	-	-	-	43,200	-	-	-	-	-			
<b>TOTAL OPERATING COSTS</b>			<b>21,936,745</b>	<b>51,234,978</b>	<b>1,978,055</b>	<b>160,176</b>	<b>605,500</b>	<b>5,576,000</b>	<b>3,748,264</b>	<b>16,562,969</b>	<b>3,958,400</b>	<b>3,421,360</b>	<b>2,511,124</b>	<b>1,779,000</b>	<b>3,720,800</b>	<b>6,417,060</b>	<b>796,270</b>	
<b>SURPLUS/(DEFICIT)</b>			<b>1,500,000</b>	<b>(10,903,598)</b>	<b>(5,526,350)</b>	<b>(1,713,711)</b>	<b>(1,830,911)</b>	<b>3,375,097</b>	<b>(10,462,406)</b>	<b>(15,368,147)</b>	<b>(6,263,038)</b>	<b>45,416,912</b>	<b>(435,124)</b>	<b>(67,679)</b>	<b>(7,137,784)</b>	<b>(6,314,674)</b>	<b>(4,575,783)</b>	
<b>Capital expenditure</b>																		
60200	Building costs	300,000	330,000	-	-	-	-	-	-	-	330,000	-	-	-	-	-		
60020	Computer Equipment	900,000	1,960,000	-	-	-	300,000	-	-	-	-	-	1,660,000	-	-	-		
60000	Office Furniture & Equipment	300,000	860,000	-	-	-	500,000	-	-	-	360,000	-	-	-	-	-		
61500	Motor vehicles	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
	Non-Cash items	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
49010	Depreciation	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
49020	Amortisation:Lease Improvem	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
<b>TOTAL COSTS</b>			<b>69,435,000</b>	<b>126,598,598</b>	<b>6,186,350</b>	<b>1,713,711</b>	<b>2,330,911</b>	<b>27,124,903</b>	<b>10,462,406</b>	<b>21,068,147</b>	<b>6,263,038</b>	<b>8,648,088</b>	<b>2,841,124</b>	<b>13,567,679</b>	<b>9,111,784</b>	<b>12,554,674</b>	<b>4,725,783</b>	
			<b>(14,053,598)</b>	<b>(5,526,350)</b>	<b>(1,713,711)</b>	<b>(1,830,911)</b>	<b>2,575,097</b>	<b>(10,462,406)</b>	<b>(15,368,147)</b>	<b>(6,263,038)</b>	<b>45,056,912</b>	<b>(765,124)</b>	<b>(67,679)</b>	<b>(8,797,784)</b>	<b>(6,314,674)</b>	<b>(4,575,783)</b>		
Number of Staff			180	7	3	4	53	16	12	5	14	0	36	7	18	5		
Number of Staff - Scenario 3 2010/11			136	7	6	2	0	13	10	5	14	0	55	5	15	4		
Additions / Decrease in Staff for 2011/12			44	0	(3)	2	53	3	2	0	0	(19)	2	3	1			

SOUTH AFRICAN QUALIFICATIONS AUTHORITY		INITIAL BUDGET 2011-12							SCENARIO 2							Detailed by Cost Centre	
Code	Initial Scenario 3	Initial Budget	EO Off	NOF Advocacy	International	Career Advice	DRR	SSU	Research	F&A	Building	DFOEAS	IT	NLRD	HR		
	Budget Approved	2011/12	100	120	150	Services	200	400	450	500	550	600	700	750	800		
2010/11	2011/12																
<b>Revenue:</b>																	
10000	Government Grant Income	41,335,000	43,815,000							43,815,000							
10010	Government Grant Capita	-	-														
11000	Accreditation Fees Receive	-	-														
11500	Evaluation Fees CEEQ	18,500,000	12,500,000									12,500,000					
11700	Income NLRD	800,000	6,000,000											6,000,000			
12010	Donor Funding	-	-														
15000	Project funding JIPs	-	37,800,000														
16000	Donor funding NSF	-	-														
17000	Rental Income	1,500,000	1,440,000								1,440,000						
20000	Sundry Income	900,000	2,090,000		500,000			200,000				1,000,000		240,000		150,000	
21000	Interest Received	1,400,000	2,400,000							2,400,000							
	Internal Transfers to cover services rendered by other Directorates	-	-	660,000									314,000				
	Savings and Income from Prior Year Carried Forward	5,000,000	6,500,000							6,500,000							
	<b>TOTAL INCOME</b>	<b>69,435,000</b>	<b>112,545,000</b>	<b>660,000</b>	<b>-</b>	<b>500,000</b>	<b>-</b>	<b>5,700,000</b>	<b>-</b>	<b>53,705,000</b>	<b>2,076,000</b>	<b>13,500,000</b>	<b>314,000</b>	<b>6,240,000</b>	<b>150,000</b>		
<b>Costs and expenses:</b>																	
<b>Personnel costs</b>																	
40000	Salaries	27,798,729	42,891,779	2,693,185	655,533	893,254	13,295,714	4,083,700	2,554,421	1,597,458	2,943,692	7,563,597	1,876,244	3,317,918	1,417,063		
40010	Leave payments	724,925	1,070,169	68,596	17,471	21,503	327,941	101,318	64,541	38,110	74,070	192,080	45,999	84,457	34,085		
40040	Bonuses	2,310,456	3,537,689	224,432	54,628	74,438	1,107,976	347,489	216,871	87,784	239,304	630,300	159,885	276,493	118,089		
40100	Pension Fund Contributions	4,526,278	6,829,351	430,910	104,885	142,921	2,127,317	667,180	408,708	255,593	437,992	1,210,176	300,199	530,867	212,604		
40210	UIF Contributions	204,061	293,677	12,109	3,144	4,907	93,423	25,980	18,695	8,813	22,565	60,950	10,112	25,011	7,968		
40220	Workmen's Compensation	152,070	224,411	14,403	3,677	4,500	68,725	21,214	13,561	7,789	15,649	40,322	9,650	17,732	7,189		
40400	Medical Aid Contribution	2,957,519	4,007,942	215,428	58,766	68,231	1,205,406	341,153	250,179	113,718	308,944	818,766	149,740	363,896	113,718		
40500	Motor Vehicle Allowance	1,217,748	560,818	276,877	84,758	-	-	86,171	42,379	-	38,253	-	42,379	-	-		
40600	Housing Allowances	3,733,032	5,104,575	190,706	65,688	88,996	1,572,268	444,982	326,320	148,327	392,008	1,067,956	184,350	474,647	148,327		
40700	Other Allowances	143,880	563,643	-	-	-	-	90,409	-	-	261,338	-	84,758	42,379	84,758		
40800	Travelling Allowance:	216,000	38,000	-	-	38,000	-	-	-	-	-	-	-	-	-		
41000	RSC Levies	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
41100	Skills Development Levie	315,757	484,639	30,649	7,666	10,186	150,134	45,573	29,524	17,046	34,913	84,532	21,083	37,419	15,914		
41200	Educational assistance	325,000	165,000	-	-	-	-	-	-	-	-	-	-	-	165,000		
41300	Staff training, seminars, workshop:	1,072,800	1,813,000	51,000	15,000	9,000	500,000	180,000	120,000	30,000	108,000	120,000	42,000	115,000	523,000		
30500	Resettlement Expenses	-	250,000	-	-	-	-	-	-	-	-	-	-	-	250,000		
31000	Recruitment Costs	300,000	741,800	-	-	-	300,000	-	-	-	-	-	-	-	441,800		
		45,998,255	68,576,493	4,208,295	1,071,217	1,355,934	20,748,903	6,344,760	4,135,606	2,304,638	4,866,728	11,788,679	2,926,399	5,285,820	3,539,513		

SOUTH AFRICAN QUALIFICATIONS AUTHORITY		INITIAL BUDGET 2011-12								SCENARIO 2							Detailed by Cost Centre	
Code	Initial Scenario 3	Initial Budget	EO Off	NOF Advocacy	International	Career Advice	DRR	SSU	Research	F&A	Building	DFOEAS	IT	NLRD	HR			
	Budget Approved															100	120	150
2010/11	2011/12																	
<b>Administration costs</b>																		
30000	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
30100	352,000	390,760	-	-	1,000	-	-	-	-	389,760	-	-	-	-	-	-		
31400	625,000	647,448	647,448	-	-	-	-	-	-	-	-	-	-	-	-	-		
31500	524,685	738,461	-	15,000	22,000	10,000	335,601	-	60,000	12,960	-	40,000	24,000	93,100	25,000			
31550	550,200	876,096	192,000	19,992	83,000	20,000	125,500	-	140,004	21,600	-	90,000	12,000	30,000	2,000			
31600	200,800	2,632,980	13,860	7,200	2,400	2,400,000	55,000	30,000	16,000	21,600	-	57,500	21,600	2,400	5,420			
31700	439,500	964,420	84,000	6,000	15,600	600,000	60,060	24,960	20,000	57,600	-	65,000	24,000	2,400	4,800			
31900	352,000	542,200	13,200	-	56,000	-	125,000	-	202,000	-	-	50,000	10,000	86,000	-			
31950	718,000	2,860,000	-	-	-	-	-	2,860,000	-	-	-	-	-	-	-	-		
31970	477,900	498,700	13,200	15,000	34,000	40,000	60,500	-	200,000	-	-	50,000	48,000	8,000	30,000			
32000	793,200	810,983	53,084	6,000	2,400	120,000	33,000	94,999	6,000	14,400	-	470,000	4,800	4,800	1,500			
32020	12,000	20,004	-	-	-	-	-	20,004	-	-	-	-	-	-	-	-		
32030	104,000	4,545,200	-	-	-	-	-	4,545,200	-	-	-	-	-	-	-	-		
32040	66,800	66,200	18,000	12,000	8,000	-	-	-	-	7,200	-	15,000	6,000	-	-			
32060	365,200	372,400	31,800	7,200	5,000	-	48,400	38,004	16,000	72,000	-	100,000	24,000	18,000	12,000			
32090	188,000	486,875	20,995	4,980	3,600	-	330,000	-	16,000	72,000	-	15,000	4,800	2,400	17,100			
32100	1,573,800	3,670,704	54,000	8,004	28,000	-	583,500	2,800,000	120,000	14,400	-	58,000	6,000	16,800	-			
32110	121,300	127,798	2,532	-	-	-	-	115,266	10,000	-	-	-	-	-	-	-		
32120	148,000	131,150	-	-	1,000	-	6,600	90,000	10,000	-	-	20,000	-	2,000	1,550			
32130	900,000	812,000	-	-	-	50,000	-	-	-	-	-	-	762,000	-	-			
32300	241,000	354,900	-	-	-	40,000	-	228,000	8,000	12,000	-	42,500	-	-	24,400			
32500	521,000	373,200	-	-	12,000	-	-	-	-	43,200	-	-	318,000	-	-			
33000	450,000	462,000	-	-	-	390,000	-	-	-	-	-	-	72,000	-	-			
33005	100,000	1,300,000	-	-	-	1,300,000	-	-	-	-	-	-	-	-	-			
33010	18,000	543,000	-	-	-	-	-	-	-	24,000	-	-	519,000	-	-			
33020	300,000	450,000	-	-	-	-	-	-	-	450,000	-	-	-	-	-			
33030	3,600	4,320	-	-	-	-	-	4,320	-	-	-	-	-	-	-			
33040	166,200	173,760	32,520	6,000	23,500	6,000	5,040	-	2,400	60,000	-	5,000	9,000	4,800	19,500			
33050	53,100	40,060	1,200	2,400	4,000	-	5,040	10,500	4,000	4,320	-	4,000	1,200	2,400	1,000			
33060	74,000	58,200	-	-	-	-	-	-	-	43,200	-	15,000	-	-	-			
33080	228,000	296,400	-	-	-	-	-	-	-	296,400	-	-	-	-	-			
33120	1,100,000	1,391,200	-	-	-	-	-	-	-	1,391,200	-	-	-	-	-			
33140	7,063,360	15,246,775	673,976	50,400	254,000	600,000	814,999	1,728,040	2,500,000	366,000	-	700,000	1,854,400	5,052,960	652,000			
33150	24,000	25,440	-	-	-	-	-	-	-	-	-	-	-	-	-			
33200	665,000	1,719,000	-	-	-	-	-	-	628,000	-	-	-	-	1,091,000	-			
42000	516,000	542,004	-	-	-	-	-	-	-	-	542,004	-	-	-	-			
42100	96,000	-	-	-	-	-	-	-	-	-	-	-	-	-	-			
42200	504,000	564,600	-	-	-	-	-	-	-	-	564,600	-	-	-	-			
42300	24,000	25,440	-	-	-	-	-	-	-	-	25,440	-	-	-	-			
42350	4,000	4,240	-	-	-	-	-	-	-	-	4,240	-	-	-	-			
42400	63,600	67,440	-	-	-	-	-	-	-	-	67,440	-	-	-	-			
42500	420,000	470,400	-	-	-	-	-	-	-	-	470,400	-	-	-	-			
42600	14,400	16,200	-	-	-	-	-	-	-	-	16,200	-	-	-	-			
42700	260,000	312,000	-	-	-	-	-	-	-	-	312,000	-	-	-	-			
42800	480,000	508,800	-	-	-	-	-	-	-	-	508,800	-	-	-	-			
53070	36,000	43,200	-	-	-	-	-	-	43,200	-	-	-	-	-	-			
<b>TOTAL OPERATING COSTS</b>	<b>21,936,745</b>	<b>46,186,962</b>	<b>1,978,055</b>	<b>160,176</b>	<b>555,500</b>	<b>5,576,000</b>	<b>2,608,244</b>	<b>12,704,973</b>	<b>3,958,400</b>	<b>3,421,360</b>	<b>2,511,124</b>	<b>1,779,000</b>	<b>3,720,800</b>	<b>6,417,060</b>	<b>796,270</b>			
<b>SURPLUS/(DEFICIT)</b>	<b>1,500,000</b>	<b>(2,218,455)</b>	<b>(5,526,350)</b>	<b>(1,231,393)</b>	<b>(1,411,434)</b>	<b>3,375,097</b>	<b>(8,953,003)</b>	<b>(11,140,580)</b>	<b>(6,263,038)</b>	<b>45,416,912</b>	<b>(435,124)</b>	<b>(67,679)</b>	<b>(6,333,199)</b>	<b>(5,462,880)</b>	<b>(4,185,783)</b>			
<b>Capital expenditure</b>																		
60200	300,000	330,000	-	-	-	-	-	-	-	-	330,000	-	-	-	-	-		
60020	900,000	1,960,000	-	-	-	300,000	-	-	-	-	-	-	1,660,000	-	-			
60000	300,000	860,000	-	-	-	500,000	-	-	-	360,000	-	-	-	-	-			
61500	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-			
-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-			
49010	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-			
49020	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-			
<b>TOTAL COSTS</b>	<b>69,435,000</b>	<b>117,913,455</b>	<b>6,186,350</b>	<b>1,231,393</b>	<b>1,911,434</b>	<b>27,124,903</b>	<b>8,953,003</b>	<b>16,840,580</b>	<b>6,263,038</b>	<b>8,648,088</b>	<b>2,841,124</b>	<b>13,567,679</b>	<b>8,307,199</b>	<b>11,702,880</b>	<b>4,335,783</b>			
	(5,368,455)	(5,526,350)	(1,231,393)	(1,411,434)	2,575,097	(8,953,003)	(11,140,580)	(6,263,038)	45,056,912	(765,124)	(67,679)	(7,993,199)	(5,462,880)	(4,185,783)				
Number of Staff - Scenario 2 for 2011/12	173	7	2	3	53	15	11	5	14	0	36	6	16	5				
Number of Staff - Scenario 1 for 2011/12	180	7	3	4	53	16	12	5	14	0	36	7	18	5				
Difference between Scenario's	-7	0	-1	-1	0	-1	-1	0	0	0	0	-1	-2	0				
Number of Staff - Scenario 3 2010/11	136	7	6	2	0	13	10	5	14	0	55	5	15	4				

SOUTH AFRICAN QUALIFICATIONS AUTHORITY			INITIAL BUDGET 2011-12							SCENARIO 3							Detailed by Cost Centre	
Code	Initial Scenario 3	Initial Budget	EO Off	NOF Advocacy	International	Career Advice	DRR	SSU	Research	F&A	Building	DFOEAS	IT	NLRD	HR			
	Budget Approved	2011/12	100	120	150	Services	200	400	450	500	550	600	700	750	800			
<b>Revenue:</b>																		
10000	Government Grant Income	41,335,000								43,815,000								
10010	Government Grant Capital	-																
11000	Accreditation Fees Received	-																
11500	Evaluation Fees CEEQ	18,500,000										12,500,000						
11700	Income NLRD	800,000												6,000,000				
12010	Donor Funding	-																
15000	Project funding JIPs	-					37,800,000											
16000	Donor funding NSF	-																
17000	Rental Income	1,500,000									1,440,000							
20000	Sundry Income	900,000			500,000			200,000				1,000,000		240,000	150,000			
21000	Interest Received	1,400,000								2,400,000								
	Internal Transfers to cover services rendered by other Directorates	-	660,000				(8,100,000)	5,500,000		990,000	636,000		314,000					
	Savings and Income from Prior Year Carried Forward	5,000,000								6,500,000								
	<b>TOTAL INCOME</b>	<b>69,435,000</b>	<b>660,000</b>	<b>-</b>	<b>500,000</b>	<b>29,700,000</b>	<b>-</b>	<b>5,700,000</b>	<b>-</b>	<b>53,705,000</b>	<b>2,076,000</b>	<b>13,500,000</b>	<b>314,000</b>	<b>6,240,000</b>	<b>150,000</b>			
<b>Costs and expenses:</b>																		
<b>Personnel costs</b>																		
40000	Salaries	27,798,729	2,693,185	655,533	893,254	13,295,714	4,083,700	2,554,421	1,597,458	2,943,692	-	7,563,597	1,876,244	3,317,918	1,417,063			
40010	Leave payments	724,925	1,070,169	17,471	21,503	327,941	101,318	64,541	38,110	74,070	-	192,080	45,999	84,457	34,085			
40040	Bonuses	2,310,456	3,537,689	224,432	54,628	74,438	1,107,976	347,489	216,871	87,784	-	630,300	159,885	276,493	118,089			
40100	Pension Fund Contributions	4,526,278	6,829,351	430,910	104,885	142,921	2,127,317	667,180	408,708	255,593	-	1,210,176	300,199	530,867	212,604			
40210	UIF Contributions	204,061	293,677	12,109	3,144	4,907	93,423	25,980	18,695	8,813	-	60,950	10,112	25,011	7,968			
40220	Workmen's Compensation	152,070	224,411	14,403	3,677	4,500	68,725	21,214	13,561	7,789	-	40,322	9,650	17,732	7,189			
40400	Medical Aid Contributions	2,957,519	4,007,942	215,428	58,766	68,231	1,205,406	341,153	250,179	113,718	-	818,766	149,740	363,896	113,718			
40500	Motor Vehicle Allowances	1,217,748	560,818	276,877	84,758	-	-	86,171	-	42,379	-	28,253	-	42,379	-			
40600	Housing Allowances	3,733,032	5,104,575	190,706	65,688	88,996	1,572,268	444,982	326,320	148,327	-	1,067,956	184,350	474,647	148,327			
40700	Other Allowances	143,880	563,643	-	-	-	-	90,409	-	261,338	-	-	-	84,758	42,379			
40800	Travelling Allowances	216,000	38,000	-	-	38,000	-	-	-	-	-	-	-	-	-			
41000	RSC Levies	-	-	-	-	-	-	-	-	-	-	-	-	-	-			
41100	Skills Development Levies	315,757	484,639	30,649	7,666	10,186	150,134	45,573	29,524	17,046	-	84,532	21,083	37,419	15,914			
41200	Educational assistance	325,000	165,000	-	-	-	-	-	-	-	-	-	-	-	-	165,000		
41300	Staff training, seminars, workshops	1,072,800	1,768,000	51,000	15,000	9,000	500,000	135,000	120,000	30,000	-	120,000	42,000	115,000	523,000			
30500	Resettlement Expenses	-	250,000	-	-	-	-	-	-	-	-	-	-	-	-	250,000		
31000	Recruitment Costs	300,000	741,800	-	-	-	300,000	-	-	-	-	-	-	-	-	441,800		
		45,998,255	68,531,493	4,208,295	1,071,217	1,355,934	20,748,903	6,299,760	4,135,606	2,304,638	4,866,728	-	11,788,679	2,926,399	5,285,820	3,539,513		

SOUTH AFRICAN QUALIFICATIONS AUTHORITY			INITIAL BUDGET 2011-12							SCENARIO 3							Detailed by Cost Centre			
Code	Initial Scenario 3	Initial Budget	EO Off	NOF Advocacy	International	Career Advice	DRR	SSU	Research	F&A	Building	DFOEAS	IT	NLRD	HR					
	Budget Approved	2011/12	100	120	150	Services	200	400	450	500	550	600	700	750	800					
	2010/11					180														
<b>Administration costs</b>																				
30000	Accommodation Premises	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-				
30100	Bank Charges	352,000	392,748	-	-	1,000	-	-	-	-	-	391,748	-	-	-	-				
31400	Transport Subs and Acc - board	625,000	647,448	647,448	-	-	-	-	-	-	-	-	-	-	-	-				
31500	Transport Subs and Acc - non-staff	524,685	738,461	100,800	15,000	22,000	10,000	335,601	-	60,000	12,960	40,000	24,000	93,100	25,000					
31550	Transport Subs and Acc - staff	550,200	876,096	192,000	19,992	83,000	20,000	125,500	140,004	140,000	21,600	90,000	12,000	30,000	2,000					
31600	Telephones Normal	200,800	2,632,980	13,860	7,200	2,400	2,400,000	55,000	30,000	16,000	21,600	57,500	21,600	2,400	5,420					
31700	Telephone Cellular	439,500	964,420	84,000	6,000	15,600	600,000	60,060	24,960	20,000	57,600	65,000	24,000	2,400	4,800					
31900	Conference fees - SAQA workshops	352,000	452,200	13,200	-	56,000	-	35,000	-	202,000	-	50,000	10,000	86,000	-					
31950	Conference fees - advocacy	718,000	1,500,000	-	-	-	-	1,500,000	-	-	-	-	-	-	-					
31970	Conference fees - external conferences	477,000	498,700	13,200	15,000	34,000	40,000	60,500	-	200,000	-	50,000	48,000	8,000	30,000					
32000	Postage	793,200	810,983	53,084	6,000	2,400	120,000	33,000	94,999	6,000	14,400	470,000	4,800	4,800	1,500					
32020	Advertisements	12,000	20,004	-	-	-	-	20,004	-	-	-	-	-	-	-					
32030	Advertisements Advocacy	104,000	4,245,200	-	-	-	-	4,245,200	-	-	-	-	-	-	-					
32040	Official Entertainment	66,800	66,200	18,000	12,000	8,000	-	-	-	7,200	-	15,000	6,000	-	-					
32060	Stationery Standard	365,200	372,404	31,800	7,200	5,000	-	48,400	38,004	16,000	72,000	100,000	24,000	18,000	12,000					
32090	Photocopying costs	188,000	288,875	20,995	4,980	3,600	-	168,000	-	16,000	36,000	15,000	4,800	2,400	17,100					
32100	Printing	1,573,800	2,134,704	48,000	8,004	28,000	-	403,500	1,450,000	120,000	14,400	40,000	6,000	16,800	-					
32110	Newspaper & magazine subscript	121,300	127,798	2,532	-	-	-	-	-	-	-	-	-	-	-					
32120	Books	148,000	131,150	-	-	1,000	-	6,600	115,266	10,000	-	-	-	-	-					
32130	Computer Software & Licensing Fees	900,000	-	-	-	-	50,000	812,000	-	-	-	20,000	-	2,000	1,550					
32300	Subscriptions & memberships	241,000	354,900	-	-	-	40,000	-	-	-	-	-	762,000	-	-					
32500	Equipment Rental	521,000	373,200	-	12,000	-	-	228,000	8,000	12,000	-	42,500	-	318,000	24,400					
33000	Computer Expenses	450,000	462,000	-	-	-	390,000	-	-	-	-	-	72,000	-	-					
33005	Computer Application Development	100,000	1,300,000	-	-	-	1,300,000	-	-	-	-	-	-	-	-					
33010	Equipment Maintenance	18,000	531,000	-	-	-	-	-	-	12,000	-	-	519,000	-	-					
33020	Repairs and Maintenance	300,000	400,000	-	-	-	-	-	-	400,000	-	-	-	-	-					
33030	Cleaning Materials & Costs	3,600	4,320	-	-	-	-	-	-	4,320	-	-	-	-	-					
33040	Tea Coffee and Refreshments	166,200	170,760	29,520	6,000	23,500	6,000	5,040	-	2,400	60,000	5,000	9,000	4,800	19,500					
33050	Flowers and gifts	53,100	40,060	1,200	2,400	4,000	-	5,040	10,500	4,000	4,320	4,000	1,200	2,400	1,000					
33060	Minor Assets	74,000	58,200	-	-	-	-	-	-	43,200	-	15,000	-	-	-					
33080	Insurance Assets	228,000	296,400	-	-	-	-	-	-	296,400	-	-	-	-	-					
33120	Audit Fees	1,100,000	1,291,200	-	-	-	-	-	-	1,291,200	-	-	-	-	-					
33140	Professional and Consult. fees	7,063,360	13,944,772	673,976	50,400	254,000	600,000	589,996	1,237,040	2,400,000	366,000	550,000	1,674,400	4,952,960	596,000					
33150	Attendance fees	24,000	-	-	-	-	-	-	-	-	-	-	-	-	-					
33200	Contractors research and development	665,000	1,430,000	-	-	-	-	-	-	480,000	-	-	-	950,000	-					
42000	Building costs - Cleaning	516,000	542,004	-	-	-	-	-	-	-	542,004	-	-	-	-					
42100	Building costs - Collection Commission	96,000	-	-	-	-	-	-	-	-	-	-	-	-	-					
42200	Building costs - Electricity & Water	504,000	564,600	-	-	-	-	-	-	-	564,600	-	-	-	-					
42300	Building costs - Insurance	24,000	25,440	-	-	-	-	-	-	-	25,440	-	-	-	-					
42350	Building costs - Legal fees	4,000	4,240	-	-	-	-	-	-	-	4,240	-	-	-	-					
42400	Building costs - Letting Commission	63,600	67,440	-	-	-	-	-	-	-	67,440	-	-	-	-					
42500	Building costs - Rates	420,000	470,400	-	-	-	-	-	-	-	470,400	-	-	-	-					
42600	Building costs - Refuse	14,400	16,200	-	-	-	-	-	-	-	16,200	-	-	-	-					
42700	Building costs - Repairs & Maintenance	260,000	312,000	-	-	-	-	-	-	-	312,000	-	-	-	-					
42800	Building costs - Security	480,000	508,800	-	-	-	-	-	-	-	508,800	-	-	-	-					
33070	Vehicles costs	36,000	43,200	-	-	-	-	-	-	43,200	-	-	-	-	-					
<b>TOTAL OPERATING COSTS</b>		<b>21,936,745</b>	<b>40,923,507</b>	<b>1,943,615</b>	<b>160,176</b>	<b>555,500</b>	<b>5,576,000</b>	<b>1,951,241</b>	<b>9,203,973</b>	<b>3,710,400</b>	<b>3,225,348</b>	<b>2,511,124</b>	<b>1,629,000</b>	<b>3,540,800</b>	<b>6,176,060</b>	<b>740,270</b>				
<b>SURPLUS/(DEFICIT)</b>		<b>1,500,000</b>	<b>3,090,000</b>	<b>(5,491,910)</b>	<b>(1,231,393)</b>	<b>(1,411,434)</b>	<b>3,375,097</b>	<b>(8,251,000)</b>	<b>(7,639,580)</b>	<b>(6,015,038)</b>	<b>45,312,924</b>	<b>(435,124)</b>	<b>82,321</b>	<b>(7,813,199)</b>	<b>(5,221,880)</b>	<b>(4,129,783)</b>				
<b>Capital expenditure</b>																				
60200	Building costs	300,000	330,000	-	-	-	-	-	-	-	330,000	-	-	-	-					
60020	Computer Equipment	900,000	1,960,000	-	-	-	300,000	-	-	-	-	-	1,660,000	-	-					
60000	Office Furniture & Equipment	300,000	800,000	-	-	-	500,000	-	-	-	300,000	-	-	-	-					
61500	Motor vehicles	-	-	-	-	-	-	-	-	-	-	-	-	-	-					
	Non-Cash items	-	-	-	-	-	-	-	-	-	-	-	-	-	-					
49010	Depreciation	-	-	-	-	-	-	-	-	-	-	-	-	-	-					
49020	Amortisation:Lease Improvement	-	-	-	-	-	-	-	-	-	-	-	-	-	-					
<b>TOTAL COSTS</b>		<b>69,435,000</b>	<b>112,545,000</b>	<b>6,151,910</b>	<b>1,231,393</b>	<b>1,911,434</b>	<b>27,124,903</b>	<b>8,251,000</b>	<b>13,339,580</b>	<b>6,015,038</b>	<b>8,392,076</b>	<b>2,841,124</b>	<b>13,417,679</b>	<b>8,127,199</b>	<b>11,461,880</b>	<b>4,279,783</b>				
			(0)	(5,491,910)	(1,231,393)	(1,411,434)	2,575,097	(8,251,000)	(7,639,580)	(6,015,038)	45,312,924	(765,124)	82,321	(7,813,199)	(5,221,880)	(4,129,783)				
Number of Staff - Scenario 2 for 2011/12			173	7	2	3	53	15	11	5	14	0	36	6	16	5				
Number of Staff - Scenario 2 for 2011/13			173	7	2	3	53	15	11	5	14	0	36	6	16	5				
Number of Staff - Scenario 1 for 2011/12			180	7	3	4	53	16	12	5	14	0	36	7	18	5				
Difference between Scenario's			-7	0	-1	-1	0	-1	-1	0	0	0	0	-1	-2	0				
Number of Staff - Scenario 3 2010/11			136	7	6	2	0	13	10	5	14	0	55	5	15	4				