

# SOUTH AFRICAN QUALIFICATIONS AUTHORITY

*Strategic Plan for 2015/16 – 2019/20*



*November 2014*

## Content

### STRATEGIC PLAN 2015/16 – 2019/20

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It is hereby certified that the Strategic Plan for 2015/16 – 2019/20 as well as the Annual Performance Plan for 2015 - 2016:

- Were developed by the Management of SAQA under the guidance of the Department of Higher Education and Training
- Take into account all the relevant policies, legislation and other mandates for which SAQA is responsible
- Accurately reflect the strategic outcome oriented goals and objectives which SAQA will endeavour to achieve over the period.

A handwritten signature in black ink, appearing to read 'M D Albertyn', is positioned above the name and title of the Chief Financial Officer.

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**M D Albertyn**  
**Chief Financial Officer**

A handwritten signature in black ink, appearing to read 'J S Samuels', is positioned above the name and title of the Chief Executive Officer.

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**J S Samuels**  
**Chief Executive Officer**

A handwritten signature in black ink, appearing to read 'M J N Njeke', is positioned above the name and title of the Chairperson of the Board.

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**M J N Njeke**  
**Chairperson of the Board**

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SOUTH AFRICAN

QUALIFICATIONS AUTHORITY

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*Strategic Plan for  
2015/16 to 2019/2020*

## **INTRODUCTION:**

The Strategic Planning Framework as promulgated by National Treasury became effective during the 2011/12 financial year, and in keeping with the spirit thereof, SAQA has compiled this strategic plan for the five years from 1 April 2015 until 31 March 2020 and has also included with it, the Annual Performance Plan for 2015/16.

In establishing this plan, SAQA was informed by the provisions of the Constitution of the Republic of South Africa (1996), the National Qualifications Framework Act (2008), National Policy Documents, National Development Plan, Human Resources Development Strategy, National Skills Development Strategy, Strategic Integrated Projects and the White Paper on Post-School Education and Training, as well as directives received from the Minister of Higher Education and Training.

Therefore, in this plan SAQA focuses on upholding the objectives of the NQF, including access, mobility and progression, and will add value through the further development of the NQF as a transformative mechanism for society. SAQA has set itself the goal to serve lifelong learners boldly by providing decisive and coherent leadership, facilitating and supporting the implementation of NQF policies in a coherent and integrated manner across education, training, development and work as well as work towards a system of recognised, quality, articulated learning and career paths, which removes systemic barriers to access and progression, and enables easy navigation of the system. SAQA is the oversight body of the NQF and the custodian of its values.

SAQA takes seriously the role to oversee the further development and implementation of the NQF, bestowed on it by the NQF Act, and will therefore assume leadership to coordinate and simplify the implementation of an effectively articulated NQF, facilitate and support the implementation of NQF policies in a simple, coherent and integrated manner across education, training, development and work to enhance understanding and appreciation of the NQF by lifelong learners.

With this plan, SAQA has not only committed itself to the above goals, but has also established the objectives, performance indicators, and targets, that would enable it to deliver on the mandate to which it is committed.

## 1. STRATEGIC OVERVIEW:

### 1.1. Vision

*A world class National Qualifications Framework for South Africa.*

### 1.2. Mission

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

### 1.3. Values:

SAQA regards the NQF as a framework for communication, coordination and collaboration across education, training, development and work and therefore the work done by SAQA is underpinned by the following values:

- Social and Economic Transformation
- Integration
- High Energy and Corporate Vibrancy
- Quality Service
- Integrity
- Quality Qualifications

## 2. LEGISLATIVE AND OTHER MANDATES:

### 2.1. The Constitution of the Republic of South Africa (1996)

The Bill of Rights, in Section 29 of the Constitution of the Republic of South Africa, 1996, provides for Education:

1. *Everyone has the right*
  - a. *to a basic education, including adult basic education; and*
  - b. *to further education, which the state, through reasonable measures, must make progressively available and accessible.*

2. *Everyone has the right to receive education in the official language or languages of their choice in public educational institutions where that education is reasonably practicable. In order to ensure the effective access to, and implementation of, this right, the state must consider all reasonable educational alternatives, including single medium institutions, taking into account*
  - a. *equity;*
  - b. *practicability; and*
  - c. *the need to redress the results of past racially discriminatory laws and practices.*
3. *Everyone has the right to establish and maintain, at their own expense, independent educational institutions that*
  - a. *do not discriminate on the basis of race;*
  - b. *are registered with the state; and*
  - c. *maintain standards that are not inferior to standards at comparable public educational institutions.*
4. *Subsection (3) does not preclude state subsidies for independent educational institutions.*
5. In keeping herewith, the National Qualifications Framework Act of 2008 provides for the NQF, as follows:
  - (1) The objectives of the NQF are to—
    - (a) Create a single integrated national framework for learning achievements;
    - (b) Facilitate access to, and mobility and progression within, education, training and career paths;
    - (c) Enhance the quality of education and training;
    - (d) Accelerate the redress of past unfair discrimination in education, training and employment opportunities.
  - (2) The objectives of the NQF are designed to contribute to the full personal development of each learner and the social and economic development of the nation at large.
  - (3) SAQA and the QCs must seek to achieve the objectives of the NQF by—
    - (a) Developing, fostering and maintaining an integrated and transparent national framework for the recognition of learning achievements;
    - (b) Ensuring that South African qualifications meet appropriate criteria, determined by the Minister as contemplated in section 8, and are internationally comparable; and
    - (c) Ensuring that South African qualifications are of an acceptable quality.

## **2.2. National Qualifications Framework Act, 2008:**

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.

## **2.3. The Public Finance Management Act (1999), Treasury Regulations (2005), and the Framework for Strategic Plans and Annual Performance Plans (2010):**

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) as well as the Framework for Strategic Plans and Annual Performance Plans, which was promulgated in September 2010.

In accordance with the above, this document includes:

- a) A Strategic Plan, for the five years from 1 April 2015 to 31 March 2020, addressing:
  - A strategic overview of SAQA
  - Strategic objectives, resource implications, and risks that need to be managed
  - Links to other Plans
- b) An Annual Performance Plan for 2015/16, dealing with :

- Recent developments in the operational environment
- Planning information on individual programmes and sub-programmes, specifying annual and MTEF performance targets
- Details of budgets for infrastructure and other capital projects.

## 2.4. Policy Mandates:

The following Policy Documents have relevance to the work of SAQA:

- National Development Plan
- The New Growth Path: the Framework
- Human Resource Development Strategy for South Africa (2010 – 2030)
- National Skills Development Strategy III and the Declaration Signed at the Skills Summit
- Presidential Outcomes 1 (Basic Education), 4 (Decent Employment through Inclusive Growth), and 5.1 (Higher Education and Training)
- White Paper on post- School Education and Training (November 2013)
- Priorities and Guidelines for the NQF and other directives received from the Minister of Higher Education and Training
- Industrial Policy Action Plan (2010/11 – 2012/13)

From the above policy environment, SAQA will generally work with the Education and Training Sector towards:

- Addressing priority skills
- Addressing priority areas
- Skills development in respect of the workplace and unemployed
  - Credible planning, demand led, improved employment outcomes, ensuring TVET and HET are responsive to demands
  - Focused on rural areas, previously disadvantaged persons, the poor, women, youth, disabled persons, and persons with HIV and AIDS
- TVET Colleges
  - Expand enrolment, responsive to sector, local, regional, and national needs
  - Improved pass rates
- Streamline immigration systems towards inflow of skills linked to skills transfer
- Quality Basic Education, focused on dramatic improvement of education outcomes for the poor
- Vocational Training and occupational directed programmes (NCV, N-courses) towards sustainable employment
- Improved planning through availability of reliable data and management information systems
- Improved level of youth and adult language and numeracy skills (and adult basic education programmes)
- Encourage and support co-operatives, small enterprises, NGO and Community training initiatives
- Improve public sector capacity for service delivery towards building of the developmental state
- Promote the idea that every workplace is a training space

Considering the Presidential Outcomes, and the Performance Agreement signed by the Minister of Higher Education and Training, SAQA will participate in initiatives by Stakeholders in respect of:

- SETAs:
  - Agree targets: apprenticeships and main sectors' skills needs
  - Skills development of 10% of workforce annually
  - Improved governance
- Improved technological and innovation capabilities (R &D)
  - Support industry – University Partnerships
  - Increase number of students: Honours, Research Masters, PhD graduates, post doctoral
- International comparability and trend analysis
- Increase number of young people entering learnerships
- Access to education and training for people with disabilities, women, poor, unemployed

From the above and guidelines and directives received from the Minister of Higher Education and Training, SAQA, together with the NQF Partners be responsible to:

- Facilitate mobility, by overseeing the implementation of developing Policies and criteria towards
  - Credit Accumulation and Transfer
  - RPL
- The simplification of the NQF;
- Implementation and monitoring of implementation of an articulation framework;
- Finalization about the configuration and remit of the QCs;
- Strengthening of assessment and quality assurance systems institutionally and through the QCs, within the context of the criteria and guidelines developed by SAQA after consultation with the QCs; and
- A national strategy is developed for Recognition of Prior Learning (RPL) to ensure that RPL is embedded within the education and training system.

## 2.5. Policy Initiatives:

SAQA, as the apex organisation for implementation of the NQF, will be working with the NQF Partners towards implementation of the following Policies and Criteria in the NQF landscape:

- Level Descriptors

It is envisaged to initiate a review process of the Level Descriptors towards the end of the 2015/16 Financial Year.

- Policy and Criteria for Recognising a Professional Body and Registering a Professional Designation  
Implementation of this new Policy will be closely monitored and tweaked as required, with a comprehensive review of the application method and recognition process to be undertaken during 2016/17 towards effecting substantial changes that may required for smooth functioning of the system.
- Policy and Criteria for the Development, Registration and Publication of a Qualification or Part-Qualification  
A formal review, focusing on the criteria in respect of part qualifications is envisaged for the 2017/18 Financial Year.
- Policy Framework for Assessment, Recognition of Prior Learning, Credit Accumulation and Transfer, as well as International Comparability  
Following an extensive initial consultation process, it is envisaged to commence with implementation of a Policy Framework for Assessment, Recognition of Prior Learning, Credit Accumulation and Transfer during 2014/15 and the bedding these policies down during the next 5 years.
- Policy and Criteria on the Evaluation of Foreign Qualifications  
Finalisation of the new policy framework on the evaluation of foreign qualifications is envisaged for the 2015/16 Financial Year.

### 3. SITUATIONAL ANALYSIS:

#### 3.1. Performance Environment:

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 National Development Plan, 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 successfully provided leadership and has taken proactive steps to manage the transition from the SAQA Act to the NQF Act. It is now at the point where all the major policies required by the NQF Act have been developed and are ready for implementation to ensure maximum impact of the NQF. SAQA is now poised to coordinate and simplify the implementation of an effectively articulated NQF, facilitate and support the implementation of NQF policies in a simple, coherent and integrated manner across education, training, development and work and to publically enhance the NQF.

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.

### **3.2. Organisational Environment:**

#### *Functioning of the Board and Corporate 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 organization.

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 and Risk Committee
- Foreign Qualifications Evaluation and Advisory Committee
- Foreign Qualifications Evaluation and Advisory Appeals Committee
- Finance Committee
- Information and Information Technology Committee
- Qualifications and Standards Committee
- Remuneration Committee
- Research Committee
- Advocacy and Communications 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.

#### *Human Resources:*

The Chief Executive Officer is responsible to execute the above objectives and to implement the required policy and regulations.

A 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.

SAQA's subscribes to the Employment Equity Act.

*Financial Resources:*

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:

- Voted funds through the Department of Higher Education and Training
- Self-funded projects and full cost-recovery services

*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.

**3.3. Description of the Strategic Planning Process:**

The strategic planning process commences in February each year.

The first step in the strategic planning process is to analyse the environment and organisation. In addition the NQF Act and PFMA, DHET and Minister and other stakeholders are also taken into account.

Strategic conversations are held with employees, where their input is obtained.

The Management Committee (consisting of directors and deputy directors) then discuss the inputs from the above, and also make inputs in the process. From the discussions strategic imperatives are proposed.

The Board discusses the proposed strategic imperatives at a Board Strategic Planning Workshop (normally towards the end of March), where it will be amended if necessary, and formally approved.

Directors, together with their staff, then draft a strategic plan, implementation plan and risk management plan as well as budget for their respective areas based on the strategic imperatives approved by the board.

The draft strategic plan, risk management plan and budget from each Directorate are then collated into the organisational plans and budget. Employment Equity and Staffing Plans are also compiled.

The collated strategic plan together with the collated implementation plans, risk management plans and budgets and are submitted to the following Board Committees for review and comments and recommendation to the Board:

- Finance Committee which, apart from the complete plans, specifically focuses on the budget / financial implications of the Plan
- Audit and Risk Committee which, apart from the complete plans, specifically focuses on the risk management plans
- Executive Committee

The Board meets in September where they review the plans and budget and approve it for submission to the Minister of Higher Education and Training.

#### 4. STRATEGIC ORIENTED GOALS:

*In advancing the NQF SAQA:*

- Embraces Social Justice, Environmental Sustainability and Diversity
- Ensures effectiveness in the system to the advantage of learners, especially those in poor and rural communities
- Aligns with government policies including the National Development Plan, White Paper on post-school Education and Training

SAQA is the oversight body of the NQF and the custodian of its values. To ***serve lifelong learners boldly***, SAQA will:

- Provide decisive and coherent leadership and co-ordination;
- Facilitate and support the implementation of NQF policies in a coherent and integrated manner across education, training, development and work;
- Be visible through advocacy and communications

Through growing and valuing staff to achieve the organisations objectives

The focus areas will be:

- **Recognition of Prior Learning**
- **Articulation**
- **Simplification**
- **NQF Advisory Service**

*Therefore SAQA, as the oversight body of the NQF and the custodian of its values, will:*

Goal Title	Goal Statement
<b>Leadership</b>	Provide decisive and coherent leadership to coordinate and simplify the implementation of an effectively articulated NQF.
<b>Implement NQF Policies</b>	Implementation of NQF policies in a simple, coherent and integrated manner across education, training, development and work
<b>Enhance Staff Capacity</b>	Optimise capacity, encourage and value the contributions of staff towards organisational effectiveness and excellence in service delivery.
<b>Publically Position</b>	Publicly position the NQF to enhance understanding and appreciation by lifelong learners.

## ***PART B: STRATEGIC OBJECTIVES***

## 5. INTRODUCTION:

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 approved by the SAQA Board, continue to follow a results-based approach in the delivery of the agreed objectives as indicated below. For ease of reference, the relevant section from the NQF Act from which the objective is derived is indicated with each objective.

- 1 Advise the Minister, and inform policy-makers and make recommendations on all NQF matters
- 2 Provide leadership as the oversight body and guardian of NQF values and coordinate an effective public NQF advocacy and communication strategy
- 3 Oversee the implementation of the NQF in accordance with an implementation framework prepared by SAQA after consultation with QCs
- 4 Engage proactively with, coordinate the work of, and provide support to the NQF partners towards systemic coherence, articulation and implementation, and towards dispute resolution amongst the QCs
- 5 Register high quality, nationally relevant and internationally comparable qualifications and part-qualifications that meet national criteria
- 6 Develop and maintain level descriptors
- 7 Recognise professional bodies and register professional designations on the NQF
- 8 Conduct or commission research together with research partners, and publish reports on issues of importance to the development and implementation of the NQF, as well as periodic studies of the impact of the NQF
- 9 Collaborate with SAQA's international counterparts regarding qualifications frameworks and keep its NQF partners informed regarding international leading practice
- 10 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
- 11 Advance lifelong learning through establishing policy and criteria on assessment, credit accumulation and transfer, and recognition of prior learning.
- 12 Provide leadership in the development in the development of NQF advisory services as a navigational tool in the advancement of lifelong learning
- 13 Provide an evaluation and advisory service with respect to foreign qualifications, with due consideration of requirements in respect of scarce and critical skills
- 14 Support targeted education, training and development communities, (*both internally and externally*) to become effective leaders in NQF leading practices, through providing client focused information services in the implementation of the NQF
- 15 Ensure effective governance, and compliance with sustainability and statutory requirements and codes, as applicable to SAQA
- 16 Develop and maintain human, financial, information management, ICT (information and communication technology), and infra-structural resources, to support the achievement of organisational objectives.

	2011/12	2012/13	2013/14	2014/15	2015/16	2016/17	2017/18
Programmes				Approved	Medium-Term Estimate		
R Thousand	Audited	Audited	Audited	Budget			
1. Administration and support	61 786	86 282	42 321	46 882	48 750	51 431	54 003
2. Recognition and Registration	8 239	8 491	7 649	11 130	9 111	9 612	10 093
3. National Learners Records Database	8 217	7 816	7 979	11 990	12 677	13 374	14 042
4. Foreign Qualifications Evaluation and Advisory services	12 781	15 814	18 307	20 937	24 123	25 450	26 723
5. Career Advice Services	-	-	38 210	22 267	-	-	-
6. Research			5 150	6 411	5 511	5 814	6 105
7. International Liaison			1 886	2 340	2 135	2 252	2 365
8. Verifications Project			-				
Subtotal	91 023	118 403	121 502	121 957	102 307	107 933	113 331
Government grant Received from the Department of higher Education and Training	41 435	45 723	49 401	55 008	54 757	56 895	64 940
Funding from NSF / DHET/ EWSETA for the Career Advices Services Project	19 995	41 630	43 122	24 227	-	-	-
<b>Note:</b> The functions and activities under Programme 1, Administration and support have been reviewed and certain sub-programmes have been established as main programmes going forward from the 2014/15 financial year onwards.							
2014-2017 budget estimates							
Economic classification							
Current payments	88 127	107 550	115 316	120 397	100 457	105 595	110 877
Compensation of employees	51 295	60 612	67 168	70 589	69 396	73 107	76 762
Goods and services of which:							
Administrative Fees	62	197	282	99	-	-	-

Advertising	6 629	8 544	6 872	3 286	740	781	820
Assets less than R5 000	25	89	13	80	40	42	44
Audit costs	907	817	1 455	1 350	1 500	1 583	1 662
Bank Charges	377	452	488	480	602	635	667
Board Costs	492	473	525	927	618	652	684
Catering: internal activities	247	319	287	263	266	281	295
Communication	1 285	1 601	2 130	1 917	1 789	1 886	1 980
Computer services	2 329	2 170	2 605	3 522	2 085	1 930	2 030
Consultants	12 966	14 149	12 370	7 945	4 461	4 706	4 942
Outsourced Services	-	-	-	6 068	7 607	8 025	8 427
Contractors	709	666	573	1 119	462	477	501
Entertainment	5	4	-	49	-	-	-
Legal fees	-	-	-	160	253	267	280
Non life insurance	231	239	212	290	270	285	299
Printing and Publication	2 321	3 700	4 794	3 423	1 636	1 725	1 811
Repairs and maintenance	1 243	1 231	2 550	3 316	1 121	1 183	1 242
Training and staff development	1 206	971	594	1 340	1 843	1 945	2 042
Travel and subsistence	2 121	2 368	2 217	2 434	1 214	1 281	1 344
Utilities	-	-	-	-	-	-	-
Venues and facilities	-	-	-	-	-	-	-
Other unclassified expenditure							
Of Which:							
Water and Electricity and Rates	1 199	1 514	1 138	1 202	2 022	2 133	2 240
Conference Costs	1 487	6 540	8 044	9 404	1 480	1 561	1 639
Subscriptions	269	376	422	503	482	509	535
Stationery & Books	329	373	316	357	370	390	409
Recruitment Costs	393	342	261	175	200	211	222
Interest and rent on land							
Financial transaction in assets and liabilities							
Transfers and subsidies to:							

Provinces and municipalities							
Departmental agencies and accounts							
Universities and technikons							
Public corporations and private enterprises							
Foreign governments and international organisations							
Non-profit institutions							
<b>Payment for capital assets</b>	2 896	10 853	6 186	1 560	1 850	2 338	2 454
Buildings and other fixed structures	155	687	99	250	300	317	333
Computer Equipment	2 534	1 820	1 443	1 030	1 200	1 266	1 329
Office Furniture and Equipment	207	312	480	280	350	369	387
Motor Vehicles		147	-				
Intangible Assets	491	7 887	4 164		-	386	405
<b>Total</b>	<b>91 023</b>	<b>118 403</b>	<b>121 502</b>	<b>121 957</b>	<b>102 307</b>	<b>107 933</b>	<b>113 331</b>

### Relating Expenditure Trends to Strategic Oriented Goals

As much as SAQA has already initiated a re-prioritisation process and implemented cost saving measures, it is envisioned that SAQA's delivery on its mandate, will be greatly affected from the 2013/14 financial year onwards as the organization does not have sufficient income to meet the expenditures necessary in order for it to fulfil its mandate in terms of the NQF Act. SAQA need an increase of R20 million per year to its baseline funding. Should SAQA not receive this increase, the following activities will be affected:

- SAQA's outreach programme to deep rural communities will not take place
- Coverage in the media, including the print media but especially radio and television will be limited
- SAQA's Board approved Integrated Communication Strategy project will be adversely affected in that it will not be able to assess and raise awareness of the NQF and its benefits
- Research activities, notably conferences and printing will be limited – which will directly impact on the RPL programme
- Capacity and ability to function as a high technology organisation will be affected
- Nine new staffing posts, that are sorely needed, cannot be funded
- Fees charged for services rendered will need to be increased to amounts that may be out of line in terms of economic benefits received.

- Broadbanding and staff performance incentives for staff will not be able to be implemented.
- Insufficient funds to be able to establish the fraud detection unit.
- Cuts in IT Capital infrastructure and hardware costs will curtail SAQA's ability to operate at a high level in terms of Information Technology.
- No support will be able to be given to the SADC regional process.
- Travel costs will be cut which will cause SAQA's influence and advocacy of the NQF to the learners and stakeholders to be less effective.
- SAQA will most certainly not be able to achieve all of the objectives as set out in this Annual Performance Plan. Activities and objectives will in that instance have to be prioritised and then only these will be able to be carried out by SAQA.

## **Materiality and Significance**

### **Materiality**

The Board has taken into account the following factors in determining SAQA's level of materiality:

- The nature of SAQA's business;
- Statutory requirements affecting SAQA;
- The inherent and control risks associated with SAQA; and
- Quantitative and qualitative issues.

Having taken these factors into account, the Board has assessed the level of materiality to be:

- Every amount in respect of criminal conduct;
- R10,000 and above for irregular, fruitless and wasteful expenditure involving gross negligence; and
- R600,000 and above being about 0,5% of gross revenue for any other irregular, fruitless and wasteful expenditure.

### **Significance**

The Board has decided that any transaction covered by Section 54(2) of the Public Finance Management Act in excess of R1,5 million will be reported on, being:

- The acquisition or disposal of a significant asset; and
- The beginning of a significant business activity.



## 6. STRATEGIC OBJECTIVES

### PROGRAMME 1: ADMINISTRATION AND SUPPORT

This programme covers the activities of the Executive Office and the following Directorates: Human Resources; Information Technology; Finance and Administration; Advocacy, Communication and Support and International Liaison.

#### 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, as well as effective corporate governance throughout the organisation.

<b>Strategic Objective 1</b>	<b><i>Provide decisive and coherent leadership to coordinate implementation of an effectively articulated NQF</i></b>
<b>Objective Statement</b>	<i>Oversee the implementation of the NQF in accordance with an implementation framework prepared by SAQA after consultation with QCs</i>
<b>Justification</b>	<i>NQF Act Section (13) (1) (e)</i>
<b>Baseline</b>	SAQA developed an NQF Implementation Framework 2011 – 2015 that guided the implementation of the NQF after consultation with the Quality Councils. The framework must now be revised and updated for the next five years.
<b>Link</b>	This objective will contribute to the implementation of the NQF and building of relationships with the NQF partners
<b>Strategic Objective 2</b>	<b><i>Facilitate and support the implementation of NQF policies in a simple, coherent and integrated manner</i></b>
<b>Objective Statement</b>	<i>Engage proactively with, coordinate the work of, and provide support to the NQF partners towards systemic coherence, articulation and implementation, and towards dispute resolution amongst the QCs</i>
<b>Justification</b>	<i>NQF Act Section (13) (1) (g – i)</i>
<b>Baseline</b>	All the policies have been developed SAQA should ensure that they are reviewed and changed where necessary to help implementation
<b>Link</b>	This objective will contribute to ensuring the NQF is working for the education and training system

<b>Strategic Objective 3</b>	<b>Coordinate the work of the NQF partners</b>
<b>Objective Statement</b>	<i>Develop a system of Collaboration to guide mutual relations between SAQA and the QCs</i>
<b>Justification</b>	<i>NQF Act Section (13) (1) (f)</i>
<b>Baseline</b>	A system of Collaboration is in place and should be reviewed to ensure smooth working relationships between SAQA and the QCs and the between the QCs.
<b>Link</b>	This objective will contribute to enhancing the relationships between various NQF Bodies.

### Programme 1.2: Human Resources:

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

<b>Strategic Objective 4</b>	<b>Provide strategic and operational Human Resource Support to SAQA</b>
<b>Objective Statement</b>	<i>Enhance capacity, and encourage and value the contributions of staff towards organisational effectiveness and excellence in service delivery</i>
<b>Justification</b>	<i>NQF Act Section (13) (n) (iii) PFMA, legislative and governance requirement</i>
<b>Baseline</b>	<ul style="list-style-type: none"> <li>• Individual Training and Development Plans are place</li> <li>• Performance and Recognition practices were maintained</li> </ul>
<b>Link</b>	This objective will contribute to SAQA maintaining a sufficient, capable and diverse staff complement to enabling SAQA to deliver on its mandate

### Programme 1.3: 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

<b>Strategic Objective 5</b>	<b>Develop an effective and efficient IT system that supports SAQA</b>
<b>Objective Statement</b>	<i>Enhance capacity, and encourage and value the contributions of staff towards organisational effectiveness and excellence in service delivery</i>
<b>Justification</b>	<i>NQF Act Section (13) (n) (iii) PFMA, legislative and governance requirement</i>
<b>Baseline</b>	<ul style="list-style-type: none"> <li>• Business Continuity and Disaster Recovery Plans were maintained, and additional equipment were moved to the disaster recovery site</li> <li>• New applications (such as a PABX system, servers and development of the DFEAS software) were commissioned and integrated</li> <li>• The technology environment was maintained to be reliable, available and stable.</li> </ul>
<b>Link</b>	This objective will contribute to SAQA having a robust, sustainable and integrated Information Technology System that would support SAQA in deliver on its mandate

### Programme 1.4: 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.

<b>Strategic Objective 6</b>	<b>Maintain an effective and efficient Financial Management system</b>
<b>Objective Statement</b>	<i>Enhance capacity, and encourage and value the contributions of staff towards organisational effectiveness and excellence in service delivery</i>
<b>Justification</b>	<i>NQF Act Section (13) (n) (iii) PFMA, legislative and governance requirement</i>
<b>Baseline</b>	<ul style="list-style-type: none"> <li>• SAQA achieved an unqualified audit report</li> <li>• A three scenario budget was developed and submitted for approval</li> <li>• SAQA complied with the Occupational Health and Safety Act</li> <li>• Procurement Policies and procedures were in place and adhered to.</li> </ul>
<b>Link</b>	This objective will contribute to SAQA having sufficient funding to deliver on its mandate, and its finances and building being managed according to legislative and organisational requirements

### Programme 1.5: Advocacy, Communication and Support

The Advocacy, Communication and Support Directorate is responsible to inform stakeholders and the public about the NQF, SAQA and related matters.

<b>Strategic Objective 7</b>	<b>Inform the public about the NQF, SAQA and related matters</b>
<b>Objective Statement</b>	Publicly position the NQF to enhance understanding and appreciation by lifelong learners
<b>Justification</b>	NQF Act Sections (13) (1) (a), (f) and (n) and (11) (a-c)
<b>Baseline</b>	<ul style="list-style-type: none"> <li>The action plan with the SABC was reviewed and a plan for SABC programmes that SAQA intended to sponsor was agreed.</li> <li>The integrated communication plan was reviewed and work has commenced towards development of an integrated marketing and communication strategy for SAQA, NQF Advocacy and Career Advice Services.</li> <li>SAQA hosted and participated in several events (more than 10) and facilitated nine publications and also printed advertisements, promotional material, information leaflets, etc.</li> </ul>
<b>Link</b>	This objective will contribute NQF partners, stakeholders and the public being informed about the benefits of the NQF and to make informed choices

<b>Strategic Objective 8</b>	<b>Develop an NQF Advisory service to enable the public to navigate the NQF</b>
<b>Objective Statement</b>	Publicly position the NQF to enhance understanding and appreciation by lifelong learners
<b>Justification</b>	NQF Act Sections (13) (1) (a), (f) and (n) and (11) (a-c)
<b>Baseline</b>	<ul style="list-style-type: none"> <li>Career development services project (CDS) was established to assist the DHET. This has moved to DHET from September 2014</li> <li>The NQF website was improved to facilitate easy access for users of the site. Electronic media such as sms, podcasts and social media were utilised to reach the public</li> </ul>
<b>Link</b>	This objective will contribute NQF partners, stakeholders and the public being informed about the benefits of the NQF and to make informed choices

### PROGRAMME 2: REGISTRATION AND RECOGNITION

The Directorate Registration and Recognition is responsible to:

- Advise the Ministers and inform policy-makers and make recommendations on all matters relating to the NQF in South Africa.

- Coordinate the work of education and training partners to ensure systemic coordination, 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.
- Register high quality, nationally relevant and internationally comparable qualifications and part-qualifications that meet national criteria and articulate across sub-frameworks.
- Recognise Professional Bodies and register professional designations on the NQF

<b>Strategic Objective 9</b>	<b>Register Qualifications and Part Qualifications</b>
<b>Objective Statement</b>	Register high quality, nationally relevant and internationally comparable qualifications and part-qualifications that meet national criteria
<b>Justification</b>	Section (13) (1) (g – h)
<b>Baseline</b>	SAQA registered 144 new qualifications and 795 new unit standards on the NQF, utilising interim criteria and guidelines for the development, registration and publication of qualifications and part qualifications
<b>Link</b>	This objective will contribute to learners' access to qualification of high quality that creates access to career paths

<b>Strategic Objective 10</b>	<b>Recognise professional bodies and register professional designations</b>
<b>Objective Statement</b>	Recognise professional bodies and register professional designations on the NQF
<b>Justification</b>	Section (13)(1) (i)
<b>Baseline</b>	Policy and Criteria for Recognising a Professional Body and Registering a professional Designation were developed
<b>Link</b>	This objective will contribute to provide information that could be utilised towards skills planning in the Country

### PROGRAMME 3: NATIONAL LEARNERS' RECORDS DATABASE

The Directorate: National Learners' Records Database (DNLRD) is responsible to maintain and further develop the National Learners' Records Database (NLRD) as the key national source of information for human resource and skills development in policy, infrastructure and planning.

<b>Strategic Objective 11</b>	<b>Maintain and further develop the National Learners' Records Database</b>
<b>Objective Statement</b>	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>Justification</b>	Section (13) (1) (l)

<b>Baseline</b>	<ul style="list-style-type: none"> <li>The NLRD was maintained as the key national source of information, and two major data loads (January / February and July August) were facilitated.</li> <li>The 2009 Kha Ri Gude data set was obtained for loading</li> <li>The HEQCIS, a project with the CHE, functioned effectively and 51 PHEIs have loaded their data to the system – the entire content of which was successfully loaded onto the NLRD</li> <li>The searchable databases for qualifications and part qualifications (including unit standards) were maintained, and further enhanced.</li> <li>The verification of qualifications continued and 3 272 individuals verified their own transcripts of results and 165 clients verified the achievements of 9 639 people. Bulk verifications were completed for 69 public entities.</li> </ul>
<b>Link</b>	This objective will contribute to provide information and advice for human resources and skills development decisions, planning and verifying learner achievements

#### PROGRAMME 4: FOREIGN QUALIFICATIONS EVALUATION AND ADVISORY SERVICES

The Directorate Foreign Qualifications: Evaluation and Advisory Services is responsible to maintain and develop SAQA's role as the national source of advice on foreign and domestic learning and qualifications.

<b>Strategic Objective 12</b>	<b><i>Provide a foreign qualifications evaluation and advisory service</i></b>
<b>Objective Statement</b>	<i>Provide an evaluation and advisory service with respect to foreign qualifications, with due consideration of requirements in respect of scarce and critical skills</i>
<b>Justification</b>	<i>NQF Act Section (13) (1) (m)</i>
<b>Baseline</b>	<ul style="list-style-type: none"> <li>SAQA received 35 000 applications for the evaluation of foreign qualifications,</li> <li>Updating of the database of qualifications and cleanup of the data contained therein continued.</li> <li>SAQA's new strategic vision to both enhance the core expertise underlying the evaluation of foreign qualifications and to expand the range of products and advisory services on offer, was implemented</li> </ul>
<b>Link</b>	This objective will contribute to the removal of barriers to and facilitation of articulation of learners qualified outside of the South African Education and Training System, thereby enhancing the skills pool in South Africa and therefore supporting socio economic development.

## PROGRAMME 5: 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

<b>Strategic Objective 2</b>	<b><i>Facilitate and support the implementation of NQF policies in a simple, coherent and integrated manner</i></b>
<b>Objective Statement</b>	<i>Advise the Minister, and inform policy-makers and make recommendations on all NQF matters</i>
<b>Justification</b>	<i>NQF Act Section (13) (1) (b)</i>
<b>Baseline</b>	SAQA provided advice on matters related to the NQF such as Recognition of Prior Learning, and also provided comments on about nine policy documents and draft legislation.
<b>Link</b>	This objective will contribute to the implementation of the NQF and building of relationships with the NQF partners

<b>Strategic Objective 13</b>	<b><i>Conduct Research on issues of importance to the NQF</i></b>
<b>Objective Statement</b>	<i>Conduct or commission research together with research partners, and publish reports on issues of importance to the development and implementation of the NQF, as well as periodic studies of the impact of the NQF</i>
<b>Justification</b>	<i>Section (13) (1) (k)</i>
<b>Baseline</b>	<ul style="list-style-type: none"> <li>• Work in three of the four SAQA research partnerships continued (with UWC, UKZN and Rhodes), while one with Wits was completed. Work towards an NQF Impact Study continued.</li> <li>• Three short term research projects were initiated.</li> <li>• SAQA participated in research events and three seminars, an one hour presentation, an NQF Research Colloquium, two half day master classes, the Ben Parker Memorial lecture and the national RPL Conference were hosted.</li> </ul>
<b>Link</b>	This objective will contribute to the implementation of the NQF and to assessing the impact of the NQF

## PROGRAMME 6: INTERNATIONAL LIAISON

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.

<b>Strategic Objective 8</b>	<b><i>Ensure effective international collaboration and benchmarking</i></b>
<b>Objective Statement</b>	<i>Collaborate with SAQA's international counterparts regarding qualifications frameworks and keep its NQF partners informed regarding international leading practice</i>
<b>Justification</b>	<i>Section (13) (1) (j)</i>
<b>Baseline</b>	SAQA participated in 15 International Qualifications Framework events. SAQA was furthermore involved in a number of activities supporting the SADC Regional Qualifications Framework, and set up a pilot portal for the Region
<b>Link</b>	This objective will contribute to the NQF partners being informed of international leading practice

## 7. RESOURCE CONSIDERATIONS

SAQA has received approval to retain the surplus funds from prior financial years and plans to fully utilise these funds in both the 2014/15 and 2015/16 financial years. It is expected that the accumulated rollover funds will be depleted during the 2015/16 financial year. As much as SAQA has already initiated a re-prioritisation process and implemented cost saving measures, it is envisioned that SAQA's delivery on its mandate, will be affected from 2015/16 financial year onwards if there is no addition to its baseline funding. The additional cost cutting measures communicated in November 2014 that further cut the baseline funding for 2015/16, 2016/17 and 2017/18 will put further strain on the organisation. Areas that will be most severely affected include:

- Coverage in the media, especially radio
- NQF Advocacy project to assess and raise awareness of the NQF and its benefits
- Research activities, notably conferences and printing – which will directly impact on the RPL programme
- Capacity and ability to function as a high technology organisation

## 8. RISK MANAGEMENT

### 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 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

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.

### RISKS OF A GOVERNANCE NATURE

#### Programme 1: Administration and Support

##### Executive Office

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>• SAQA's costing and charging model is not adequate.</li> <li>• More staff needed to fulfil all of the functions and strategic objectives.</li> <li>• Not able to access alternative sources of funding.</li> <li>• More staff needed to fulfil all of the functions and strategic objectives including</li> </ul>	5	5	25	Yes

	increasingly more compliance requirements and additional functions as required by the Minister.				
<b>Strategy 1:</b> SAQA lobbies government to ensure SAQA's financial sustainability – increased baseline <b>Lead:</b> Chair, Board members, Executive Office <b>Action:</b> <ul style="list-style-type: none"> <li>Inputs to MTEF indicate clearly SAQA's needs and are supported by the DHET, as per the remit to SAQA;</li> <li>Letter to Minister to request additional funding. Meetings with the Minister and DHET officials; and</li> <li>Raise awareness of the issues with Parliaments Portfolio committee on Higher Education and Training.</li> </ul>					
<b>Strategy 2:</b> SAQA requests government support in gaining funding support for discrete projects (e.g. CAS) <b>Lead:</b> Executive Office, relevant Directors <b>Action:</b> <ul style="list-style-type: none"> <li>Motivate the need for project specific funding.</li> </ul>					
<b>Strategy 3:</b> SAQA lobbies other organisations to ensure SAQA's financial sustainability <b>Lead:</b> Chair, Board members, Executive Office <b>Action:</b> <ul style="list-style-type: none"> <li>Develop funding proposals; and</li> <li>Active engagement with possible funders.</li> </ul>					
<b>Strategy 4:</b> Consider various possible income streams based on SAQA's functions <b>Lead:</b> Chair, Board members, Executive Office <b>Action:</b> <ul style="list-style-type: none"> <li>Review SAQA's costing and charging model.</li> </ul>					

RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Non-compliance with laws codes, etc. that apply to SAQA <ul style="list-style-type: none"> <li>Possible litigation due to not complying with legislation.</li> </ul>	<ul style="list-style-type: none"> <li>Lack of awareness of legislation affecting SAQA and changes thereto, and understanding of the implications thereof.</li> <li>Insufficient early warning systems of changes to the regulatory environment.</li> </ul>	4	4	16	yes
<b>Strategy 1:</b> SAQA to undertake a comprehensive of survey of applicable legislation, codes, etc. do a gap analysis and take remedial action where required. <b>Lead:</b> Executive Office, Directors <b>Action:</b> <ul style="list-style-type: none"> <li>Desktop scoping of legislation relating to SAQA;</li> <li>Each Directorate to re-consider the legislative environment in which they operate and confirm all the applicable legislation;</li> <li>Ensure effective early warning systems;</li> <li>Re-establish the quality management system to have all policies available centrally; and</li> <li>Escalation of relevant information, internal awareness raising and discussions around legislative issues.</li> </ul>					

RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Taking on new functions (e.g. Matriculation Board, RPL Co-ordination and a fraudulent qualifications unit ) without sufficient resources are available (EO 5).	New functions are assigned to SAQA and the required resources are not allocated.	4	4	16	Yes
<b>Strategy 1:</b> Communication regarding resource requirements <b>Lead:</b> Chairperson, Executive Office, <b>Action:</b> <ul style="list-style-type: none"> <li>Ensure that we communicate that the function is only taken on with the relevant funding and resources; and</li> </ul>					

- Establishing a change management / transition to team.

### Human Resources

RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
SAQA is not able to attract or retain individuals with specialised or scarce skills ( <b>HR 3</b> )	<ul style="list-style-type: none"> <li>• Better remuneration elsewhere;</li> <li>• SAQA's limited ability to pay above market-related salaries; and</li> <li>• Employing the Specialist skills on fixed-term contracts neither affordable nor desirable.</li> </ul>	4	4	16	Yes
<b>Strategy 1:</b> Effective recruitment and retention strategy <b>Lead:</b> HR Director, Directors & FD <b>Action:</b> <ul style="list-style-type: none"> <li>• Negotiate special remuneration packages in the case of scarce specialised skills.</li> </ul>					

RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Key leadership positions become vacant without a successor in place ( <b>HR 4</b> )	<ul style="list-style-type: none"> <li>• The age profile of senior leadership;</li> <li>• Resignations; and</li> <li>• Non-availability of "ready now" successors to fill vacant positions.</li> </ul>	4	4	16	Yes
<b>Strategy 1:</b> Implement an effective succession strategy. <b>Lead:</b> Director: HR Directorate, CEO <b>Action:</b> <ul style="list-style-type: none"> <li>• Train appropriate level officials to take over senior positions when posts become vacant.</li> </ul>					

### Information Technology

RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
IT does not meet the strategy and business needs of the organisation	<ul style="list-style-type: none"> <li>Insufficient time is dedicated to understanding business needs;</li> <li>Users not fully involved in the development of applications; and</li> <li>Insufficient funds.</li> </ul>	5	4	20	Yes
<b>Strategy 1:</b> Ensure that all IT staff and contracted service providers understand the strategy and business needs of the organisation. <b>Lead:</b> IT Director <b>Action:</b> Targeted communication with staff and service providers					

### Verification Service

RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Reputational risk in not meeting the agreed deadlines	<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, or Staff complement present, but necessary skills must be built;</li> <li>Difficulty in locating some of the information partners (e.g. due to closure); and</li> <li>Lack of cooperation by some information partners.</li> </ul>	5	5	25	Yes
<b>Strategy 1:</b> Manage the expectations of the Minister of Public Service and Administration, DPSA and governmental departments <b>Lead:</b> Verifications Manager; Executive Office <b>Action:</b> <ul style="list-style-type: none"> <li>Estimate time frames taking all possible sources of delay into account; and</li> <li>Negotiate realistic timeframes and agree on dates, as per the fee structure that includes specific priority rates.</li> </ul>					

**Strategy 2:**

Ensure adequate resources for the Verifications Project

**Lead:** Verifications Manager; 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); and
- Ensure that capacity building activities are carried out.

**Strategy 3:**

Where learner information is not digitised and is unlikely to be so, in the future: utilise all resources possible for locating the relevant information partners or their archived information

**Lead:** Verifications Manager; Executive Office

**Action:**

- Enlist the assistance of other SAQA staff members (who may have had contact with various data sources);
- Contact stakeholders who may be able to assist; and
- Utilise the Internet.

**Strategy 4:**

Ensure that the information partners understand the implications of cooperating or not cooperating with SAQA requests

**Lead:** Verifications Manager; Executive Office

**Action:**

- Enlist the assistance of government departments such as DHET and DPSA;
- Liaise with the information partners frequently; and
- Ensure that the information partners receive acknowledgement of their responses and efforts.

### Foreign Qualifications Evaluation and Advisory Services

RISK 1	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Substandard work will increase the likelihood of reputational risk and litigation	<ul style="list-style-type: none"> <li>• Loss of skills due to staff turnover as a result of change;</li> <li>• Limited ability to identify and/or source relevant skills for new roles;</li> <li>• Staff development not realised due to operational demands and challenges;</li> <li>• High pressure / low support environment;</li> <li>• Controls that are lacking or not effective;</li> <li>• Lack of sufficient networking / links;</li> <li>• Impaired ability to source information;</li> <li>• Rapid technological and information changes; and</li> <li>• Lack of knowledge / understanding of the impact of the policy / legislative environment.</li> </ul>	4	5	20	Yes
<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> <ul style="list-style-type: none"> <li>• Ensure specific intensive development interventions;</li> <li>• Continue leadership development;</li> <li>• Identify and nurture talent; and</li> <li>• Involve staff in change and manage their fears and insecurities.</li> </ul>					
<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> <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; and</li> <li>• Continuous development of DFQEAS Workflow System in order to work effectively and efficiently.</li> </ul>					

**Strategy 3:**

Pursue accuracy and consistency

**Lead:** Director: Foreign Qualifications: Evaluation and Advisory Services

**Actions:**

- Finalise and implement development manual and Standard Operating Procedures;
- Implement and monitor effectiveness of Policy and Procedures for Review and Appeals;
- Ensure continuous scanning of and alignment with relevant legislation;
- Ensure optimal system support to minimise inconsistency; and
- Enhance dialogue with stakeholders and networking partners, locally and internationally.

**RISKS RELATING TO SAQA'S LEADERSHIP ROLE****Programme 1: Administration and Support****Executive Office**

RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Uneven 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; and</li> <li>• Differing ideas regarding priorities.</li> </ul>	4	5	20	Yes

**Strategy 1:**

SAQA engages constructively with the Minister, his representatives and advisers and the QCs to ensure that:

- the principles, values and benefits of systemic co-ordination of the NQF are understood and implemented
- accurate and comprehensive information is available to assist in decision making and implementation
- SAQA's role as the NQF oversight and leadership body in upholding the NQF in the national interest is agreed and supported

**Lead:** Chair, Board members, Executive Office

**Action:**

- Consultations with Ministers & advisers;
- Advice to the Minister on the NQF Act's Regulations and Policy;
- Present information and advise the Portfolio and Select Committees; and
- Consultation via the NQF Forum and the CEOs Committee and the Quality Councils, as appropriate.

**Strategy 2:**

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.

**Lead:** Chair, Board members, Executive Office

**Action:**

- Meetings with key NQF role players to ensure shared meanings and understandings;
- Consultation with key partners regarding transitional arrangements and advocate a coherent understanding of the NQF Act, the NQF Policies, and the Ministerial Guidelines on strategies; and
- Participation in the workings of the QCs and other initiatives.

RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
SAQA does not oversee and monitor the implementation of NQF Policies	SAQA is in the phase, where policy development is completed and policy implementation must begin	4	5	20	Yes

**Strategy 1:**

Facilitate organisational readiness for the new phase to monitor implementation of new policies

**Lead:** Executive Office, Director: HR, Director: DRR, Director: IL

**Action:**

- Staff development or mode to acquire the required skills set to understand policy and monitor implementation; and
- Recruit / source the required skills.

**Advocacy, Communication, and Support**

RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION

Uncertainty of roles as a result of changes brought about by the movement of the CDS project to DHET	Differences of opinion about the roles, responsibilities and implementation actions as well as lack of sufficient communication about the relevant roles of CDS at DHET and the NQF Helpline at SAQA	4	4	16	Yes
<b>Strategy 1:</b> Mobilise all NQF partners, stakeholders and the public to raise awareness, understanding and value of Career advice and development and the NQF. <b>Lead:</b> Director: ACS, Director in the office of CEO <b>Action:</b> <ul style="list-style-type: none"> <li>•Take the lead in clarifying the roles of various bodies; and</li> <li>•Take the lead and involve the NQF partners in publicising positive aspects of the systems and services.</li> </ul>					
<b>Strategy 2:</b> Acquire all the necessary resources to ensure that the NQF Helpdesk is fully operational and is able to provide the required service to the public. <b>Lead:</b> Director: ACS, Director in the office of CEO <b>Action:</b> <ul style="list-style-type: none"> <li>•Monitor the NQF Helpdesk operations and make changes/improvements where necessary.</li> </ul>					

## Programme 2: Registration and Recognition

RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Full operational capacity at the QCs (especially the QCTO) is slow and this impacts on systemic alignment.	<ul style="list-style-type: none"> <li>• The landscape transforms too rapidly and QCTO processes are overtaken or subsumed under new emerging leadership in regard to the direction of the NQF;</li> <li>• Budgetary constraints slow the pace of implementation;</li> <li>• Stakeholder pressure resulting from expressed sectoral needs;</li> <li>• Executive and senior management underestimate resource implications;</li> <li>• Lack of cooperation between QCs; and</li> <li>• Legislative contradictions.</li> </ul>	4	5	20	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; and
- Ensure appropriate capacity building interventions for staff.

RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
The QCs fail to cooperate with Professional Bodies	There is no common understanding within QCs of what role the Professional Bodies can play.	4	4	16	Yes

**Strategy 1**

Ensure that strategically key information is obtained and cascaded on time

**Lead:**

Directorate management

**Action:**

- Continued participation of recognized professional bodies in the NQF; and
- Holding of seminars, conferences, and all the NQF-relevant dialogues – and timeous and comprehensive sharing of information.

RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Statutory professional bodies fail to apply for SAQA recognition	Interpretation of legislation that established professional councils vis a vis the NQF Act	4	5	20	Yes
<b>Strategy 1:</b> Draft and implement a plan for engaging the professional councils <b>Lead:</b> Director: DRR <b>Action:</b> <ul style="list-style-type: none"> <li>Analyse the different statutory councils' legislation; and</li> <li>Develop a stakeholder engagement plan and meet with the statutory councils' registrars' or CEOs to discuss them being recognised.</li> </ul>					

RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
SAQA does not consistently apply the criteria during the implementation of the recognition of professional bodies and the registration of professional designations <b>(DRR)</b>	The different policies such as RPL are not interpreted in the same way across the staffing resources and committee structures.	4	5	20	Yes
<b>Strategy 1:</b> Ensure that staff in DRR and members of the Q&S Committee to all have a similar understanding of the key policies impacting on the recognition of professional bodies <b>Lead:</b> Director: DRR <b>Action:</b> <ul style="list-style-type: none"> <li>Prior to presenting professional bodies for recognition to the Q&amp;S Committee, highlight how the various policies impacting on recognition have been applied; and</li> <li>Internal DRR workshops to create a common understanding in interpreting the policies that impact on professional bodies' recognition.</li> </ul>					

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

RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
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> <li>Policy changes influencing the importation of foreign skills; and</li> <li>Increasing deliverables e.g. establishment of counter fraud unit.</li> </ul>	5	5	25	Yes
<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> <ul style="list-style-type: none"> <li>Engage with stakeholders and partners to identify gaps / niche areas in respect of which the role DFQEAS can expand its role</li> <li>Pursue new / additional income generating services and/or products to address these gaps / niche area</li> </ul>					
<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> <ul style="list-style-type: none"> <li>Review evaluation tariffs against inflation and implement adjustments;</li> <li>Explore ways to recover monies paid for verifying authenticity of qualification documents;</li> <li>Explore possibilities of bidding for external contracts; and</li> <li>Apply the verification services to wider clients.</li> </ul>					

RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Lack of understanding of Directorate role in relation to the NQF Act as well as other legislation	<ul style="list-style-type: none"> <li>Current approach regarding evaluation of foreign qualifications; and</li> <li>Interpretation of section 13(m) of the NQF Act.</li> </ul>	5	5	25	Yes
<b>Strategy 1:</b> Review legal advice regarding the NQF Act <b>Lead:</b> Director: Foreign Qualifications: Evaluation and Advisory Services <b>Actions:</b> <ul style="list-style-type: none"> <li>Review legal advice regarding the interpretation and understanding of the Act;</li> <li>Engage staff to encourage understanding of the Act;</li> <li>Align processes and procedures - with the Act; and</li> <li>Take cognizance of DFQEAS role in relation to other legislation e.g. Immigration Act.</li> </ul>					

RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Increasing prevalence of fraudulent qualifications as well as constraints in detecting fraud	<ul style="list-style-type: none"> <li>Failure of internal processes to prevent and detect fraudulent qualifications;</li> <li>Increased work volume makes it difficult to detect fraud; and</li> <li>Rise in degree mills.</li> </ul>	5	5	25	Yes
<b>Strategy 1</b> Put appropriate checks and resources in place Lead: Director: Research, Research Directorate <b>Actions:</b> <ul style="list-style-type: none"> <li>Monitor quality and progress at least monthly (by communicating with partners); and</li> <li>Allow a small portion of “consultants’ fees” in the budget, for emergencies.</li> </ul>					
<b>Strategy 2</b> Ensure that each SAQA Research Partnership is led by a partner with high-level specialist expertise in the field concerned – a person with high capacity levels for conducting and managing nationally and internationally recognized research, publishing in peer-reviewed journals, and supervising and mentoring post-graduate students. And further, ensure that these partnerships have committed sub-partners and post-graduate students – and that all members of the partnerships support NQF implementation and further development. <b>Lead:</b> Director: Research, Research Directorate <b>Action:</b> Select SAQA Research Partnership leaders, sub-partners, and post-graduates and strategically carefully according to these quality and commitment criteria					
<b>Strategy 3</b> Enter into research partnership contracts with institutions/organisations rather than individuals <b>Lead:</b> Director: Research, Research Directorate <b>Actions:</b> <ul style="list-style-type: none"> <li>Ensure that all future contracts are signed with institutional heads (rather than the researchers).</li> </ul>					

## RISKS RELATING TO STAFF DEVELOPMENT

### Programme 1: Administration and Support

#### Human Resources

RISK	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. <b>(HR5)</b>	<ul style="list-style-type: none"> <li>• Inconsistent interpretation and application of PDMS principles;</li> <li>• Managers do not carry out PMC duties;</li> <li>• Contracting stretch targets and challenging work assignments;</li> <li>• Assessments;</li> <li>• Management culture; and</li> <li>• Management behaviours.</li> </ul>	5	4	20	Yes
<b>Strategy 1:</b> Initiate Leadership Development Programme <b>Lead:</b> HR Director <b>Action:</b> Implement a Leadership Development Programme that will empower managers to effectively demonstrate leadership behaviours in order to manage performance, provide feedback, recognise and reward staff.					

RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Key activities not completed at the required level of quality.	SAQA requires scarce specialized skills in a number of areas	4	5	20	Yes
<b>Strategy 1:</b> Sourcing the identified required training as per the personal development plans and directorate training plans. <b>Lead:</b> HR Directorate, Directors & FD <b>Action:</b> Prioritize the implementation of the identified CORE training so as to ensure the development of the specialized skills.					

#### Information Technology

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	The loss of skilled staff members or contracted individuals that have specialised on SAQA systems	4	5	20	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; and</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; and</li> <li>Ensure knowledge transfer takes place from service provider.</li> </ul>					

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

RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Limited staff capacity	<ul style="list-style-type: none"> <li>Lack of systems to identify skills and gaps;</li> <li>Lack of effective capacity building initiatives;</li> <li>Staff absenteeism; and</li> <li>Weak skills fit.</li> </ul>	4	5	20	Yes
<b>Strategy 1:</b> Invest in building staff capacity <b>Lead:</b> Director: Foreign Qualifications: Evaluation and Advisory Services <b>Actions:</b>					

- Identify development needs of staff and create need based capacity building initiatives; and
- Continue creating opportunities for multi-skilling current staff.

## RISKS RELATING TO PUBLIC POSITIONING OF SAQA

### Programme 1: Administration and Support

#### Advocacy, Communication, and Support

RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
Expectations cannot be met due to limited resources for advocacy and communications activities	The MTEF indicates government funding that is below the budgetary requirements of SAQA. Reaching the 50 million South Africans as required by the NQF Act requires a multimillion rand initiative	5	4	20	Yes
<b>Strategy 1:</b> Utilise appropriate Forums to communicate and create support for NQF Advocacy. <b>Lead:</b> Advocacy, Communication and Support Director, Director in the office of the EO <b>Action:</b> <ul style="list-style-type: none"> <li>• Implement Integrated Communication Strategy (ICS) in line with agreed timeframes and cost constraints; and</li> <li>• Enter into partnerships to promote the NQF.</li> </ul>					
<b>Strategy 2:</b> Publish more electronically <b>Lead: Director: ACS, DD: ACS</b> <b>Actions:</b> <ul style="list-style-type: none"> <li>• Print less hard copies and more CDs; and</li> <li>• Place the publication on the website.</li> </ul>					

RISK	SOURCES OF RISK	ASSESSMENT OF RISK			
		L	I	LEVEL	ACTION
SAQA giving out-of-date and inaccurate information to clients	<ul style="list-style-type: none"> <li>• The education and training environment is changing fast leading to lack of understanding of the changes and their impact on SAQA and the NQF;</li> </ul>	5	5	25	Yes

There is lack of co-operation and support from directorates for reception	<ul style="list-style-type: none"> <li>• Insufficient communication between ACS and the affected directorates; and</li> <li>• Directorates not ensuring quality and accuracy as well as necessary approval of content before relaying work to ACS for lay-out and design.</li> </ul>				
<b>Strategy 1:</b> To strengthen Policy on SAQA Publications to ensure quality of content at the source <b>Lead:</b> Director: ACS <b>Action:</b> <ul style="list-style-type: none"> <li>• To create and employ an Assistant Director: Editing to improve sub-editing of content;</li> <li>• Ensure implementation of the Policy on SAQA Publications; and</li> <li>• Ensure Directorates seek the necessary approvals from the EO before the production process starts.</li> </ul>					