

APPENDIX A

SUMMARY OF CRITERIA FOR THE HEQC'S AUDIT SYSTEM

<i>Area</i>	<i>Sub-area</i>	<i>Criterion</i>
Institutional mission; links between planning, resource allocation and quality management		
	Fitness of purpose of institutional mission, goals and objectives in response to local, national and international context (including transformation issues)	1
	Links between planning, resource allocation and quality management	2
Teaching and learning, research and community engagement		
General quality-related arrangements for teaching and learning	Management of the quality of teaching and learning	3
	Academic support services	4
	Short courses, exported and partnership programmes, programmes offered at tuition centres and satellite campuses	5
	Certification	6
Quality-related arrangements for programme development, management and review; and for student assessment and success		
Programme development, management and review	Programme management	7
	Programme design and approval	8
	Staffing	9
	Programme review	10
Student assessment and success	Management of assessment	11
	Moderation system	12
	Explicitness, fairness and consistency of assessment practices. Security of recording and documenting assessment data	13
	Recognition of prior learning (RPL)	14
Research		
General quality-related arrangements for research (for all higher education institutions)		15
Quality-related arrangements for research (in depth evaluation for research-intensive institutions)		16
Quality-related arrangements for postgraduate education		17
Community engagement		18
Benchmarking, user surveys and impact studies		19

APPENDIX B

INSTITUTIONAL AUDITS WITHIN THE HEQC'S SCHEDULE OF ACTIVITIES: 2004 TO 2009

The HEQC's quality assurance activities during the cycle from 2004 to 2009 are structured into Phase A (2004–2006) and Phase B (2007–2009). The details below indicate how institutional audits fit into the envisaged schedule:

Phase A (2004 to 2006)

- (a) Full-scale audits commence at all public and private higher education institutions where no mergers are underway.
- (b) In the case of merged institutions, provision is made for a three-year “settling-down” period. The HEQC will undertake visits to merged institutions in the first year after the merger date in order to ascertain the nature and level of planning for institutional and programme quality management.
- (c) New programmes from all public and private higher education institutions undergo accreditation processes that include site visits in order to ensure that only programmes of good quality enter the higher education system. This includes new programmes from merged institutions.
- (d) In general, existing programmes are not re-accredited by the HEQC. Where professional councils or other statutory bodies require existing programmes to be re-accredited, the HEQC will undertake such re-accreditation jointly with other relevant ETQAs in a range of co-operation modalities.
- (e) National reviews (such as the HEQC's present MBA re-accreditation exercise) are undertaken in selected programme, qualification or disciplinary areas.
- (f) Self-accreditation status is not granted to higher education institutions. However, institutions intending to apply for self-accreditation status in Phase B (2007–2009) can use this opportunity to develop the necessary structures, systems and capacity for self-accreditation.

Phase B (2007 to 2009)

- (a) Audits continue at all institutions not affected by mergers.
- (b) Audits commence at merged institutions.
- (c) Accreditation of new programmes of all institutions continues.
- (d) Re-accreditation of existing programmes is generally not conducted by the HEQC, except if an institution performs consistently poorly in the accreditation of new programmes, or if the audits or the re-accreditation of existing programmes through national reviews, point to serious problem areas.
- (e) Institutions can apply for self-accreditation status. This status will be granted on the basis of satisfactory evidence of the effectiveness of internal quality management systems and programme quality. The HEQC may undertake selective re-evaluations of existing non-professional programmes in institutions which apply for self-accreditation status in cases where this is deemed necessary by the HEQC.

GLOSSARY¹

Academic development – Also known as Educational Development. A field of research and practice that aims to enhance the quality and effectiveness of teaching and learning in higher education, and to enable institutions and the higher education system to meet key educational goals, particularly in relation to equity of access and outcomes. Academic development encompasses four interlinked areas of work: student development (particularly foundational and skills-orientated provision), staff development, curriculum development and institutional development.

Accreditation – Recognition status granted to a programme for a stipulated period of time after an HEQC evaluation indicates that it meets minimum standards of quality.

Assessment – Systematic evaluation of a student’s ability to demonstrate the acquisition of the learning goals intended in a curriculum.

Audit – See Institutional audit.

Audit criteria – Audit criteria indicate the requirements for institutional policies, systems, strategies and resources for assuring, developing and monitoring the quality of teaching and learning, research and community engagement.

Audit cycle – A six-year period in which every higher education institution will be audited at least once.

Audit evidence – Information provided by the higher education institution in its audit portfolio and presented to the audit panel by institutional and other interviewees with regard to the claims made in the audit portfolio. Audit evidence is evaluated by the panel against the HEQC’s audit criteria in order to make commendations and recommendations on the institution’s quality management system.

Audit panel – External panel of peers and experts, selected by the HEQC, to conduct institutional audits on the basis of their relevant knowledge and experience, and who are trained by the HEQC for this purpose.

Audit portfolio – Self-evaluation report of the higher education institution to be audited in which evidence on the effectiveness of the institution’s policies, systems, strategies and resources for quality management in the areas of teaching and learning, research and community engagement is described, analysed and evaluated against the HEQC’s audit criteria.

¹ The definitions of terms provided in this Glossary refer to their use in the text of the *Criteria for Institutional Audits*, and may not necessarily include other possible interpretations of the same terms.

Audit report – Evaluation report from the HEQC to the audited higher education institution. On the basis of the quantitative and qualitative evidence gathered during the audit, the report is developed by the HEQC on the basis of panel deliberations and finalised in consultation with the chairperson and other members of the audit panel. The report provides an assessment of the adequacy and effectiveness of the internal quality arrangements of the institution, as well as commendations and recommendations in the various target areas of the audit.

Audit scope – Range of areas for evaluation during the institutional audit.

Audit visit – Site visit of two to five days, during which time the audit panel engages in various evaluative activities, such as conducting interviews and scrutinising documents in order to validate the claims that are made in the audit portfolio.

Benchmarking – A process by which a higher education institution, programme, faculty, school or any other relevant unit evaluates and compares itself in chosen areas against internal and external, national and international reference points, for the purposes of monitoring and improvement.

Community engagement – Initiatives and processes through which the expertise of the higher education institution in the areas of teaching and research are applied to address issues relevant to its community. Community engagement typically finds expression in a variety of forms, ranging from informal and relatively unstructured activities to formal and structured academic programmes addressed at particular community needs (service learning programmes).

Co-operative education – A philosophy of learning that promotes the concept of enhanced learning based on co-operation between education institutions and industry, commerce and the public sector.

Criteria for programme accreditation – Minimum standards necessary to support and enhance the quality of teaching and learning, research and service learning programmes.

Education and Training Quality Assurer (ETQA) – Body responsible for monitoring and auditing the level of achievement of national standards or qualifications offered by providers and to which specific functions have been assigned by the South African Qualification Authority (SAQA).

Examination – A written, oral or practical assessment of learning, including supplementary examination and re-examination, continuous evaluation, and evaluation of experiential learning.

Existing programmes – Programmes that are registered on the National Qualifications Framework (NQF) and have been accredited by the Universities and Technikons Advisory Council (AUT), SAQA or the HEQC.

Experiential learning – A term traditionally used within the former technikon sector for work-based learning (see Work-based learning).

Institutional audit – An improvement orientated, external evaluation of institutional arrangements for quality in teaching and learning, research and community engagement, based on a self-evaluation conducted by the institution. The external evaluation is conducted by a panel of peers and experts against the HEQC's criteria and other quality requirements set by the institution itself. The audit panel's report forms the basis of the HEQC's report to the audited institution with commendations on good practice and recommendations for improvement.

Institutionally managed evaluation – Evaluation activities which are initiated, managed and financed by the institution itself.

Institutional quality management system – Institutional policies, systems, strategies and resources for assuring, developing and monitoring the quality of teaching and learning, research, and community engagement.

Moderator – A person, apart from the examiner, that is appointed by the institution to be responsible for ensuring the standard of the examination and its accompanying marking framework and response exemplars, and for marking a representative sample of examination responses.

New programme – A programme which has not existed before, or a programme whose purpose, outcomes, field of study, mode or site of delivery has been changed considerably.

Professional programmes – Programmes that have to meet the licensure and other professional and work-based requirements of statutory councils.

Programme – A Purposeful and structured set of learning experiences that leads to a qualification.

Programme evaluation – The external quality assurance processes undertaken to make an independent assessment of a programme's development, management and outcomes and to validate the findings of an internal programme review.

Quality assurance – Processes of ensuring that specified standards or requirements have been achieved.

Quality improvement plan – A plan developed by the audited institution specifying activities, designated responsibilities and time-frames in order to address the requirements and recommendations of the audit report.

Quality management – Institutional arrangements for assuring, supporting, developing and enhancing, and monitoring the quality of teaching and learning, research and community engagement.

Recognition of prior learning (RPL) – Formal identification, assessment and acknowledgement of the full range of a person's knowledge, skills and capabilities acquired through formal, informal or non-formal training, on-the-job or life experience.

Self-accreditation status – Status granted by the HEQC to an institution for a period of six years. Self-accreditation status will enable the institution to re-accredit existing programmes, where no statutory professional council has jurisdiction. Information which will be considered by the HEQC in order to grant self-accreditation status will include the audit findings for the institution, as well as programme quality information from HEQC sources, the DoE and SAQA. The institution also has to present a quality management plan for the execution of its re-accreditation responsibilities during the period of self-accreditation.

Self-evaluation – Within the context of an audit, self-evaluation refers to the process by which an institution reviews the effectiveness of its quality management system for assuring, developing and monitoring the quality of teaching and learning, research and community engagement against the requirements of the HEQC's audit criteria and any other quality criteria that the institution deems relevant. The self-evaluation process leads to the development of an audit portfolio by the institution for submission to the HEQC.

Service learning – Applied learning which is directed at specific community needs and is integrated into an academic programme and curriculum. It could be credit-bearing and assessed, and may or may not take place in a work environment.

Work-based learning – A component of a learning programme that focuses on the application of theory in an authentic, work-based context. It addresses specific competences identified for the acquisition of a qualification which relate to the development of skills that will make the learner employable and will assist in developing his/her personal skills. Employer and professional bodies are involved in the assessment of experiential learning, together with academic staff.