



TABLE OF CONTENTS

INTRODUCTION.....	3
SECTION A: MANAGEMENT SYSTEMS.....	3
Organisation details	3
Vision, mission and primary focus	4
Organisation structure	4
Occupational Health and Safety	5
Financial management	5
Quality management policies and procedures	6
Quality system review	6
SECTION B: PHYSICAL RESOURCES	7
Provider’s own educational infrastructure and physical resources	7
External education and training infrastructure	7
Workplace learning procedures	7
SECTION C: STAFF RESOURCRES.....	8
ETD staff	8
SECTION D: LEARNER SUPPORT	9
SECTION E: ADMINISTRATION AND RECORD KEEPING SYSTEMS.....	9
SECTION F: EDUCATION AND TRAINING SYSTEMS.....	10
Qualifications and unit standards	10
SECTION G: ASSESSMENT.....	11
The assessment process	11
SECTION H: MODERATION	12
DOCUMENTATION REQUIRED FOR RECORD KEEPING	14

ACCREDITATION GUIDELINE FOR PROVIDERS



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INTRODUCTION

This document has been developed to assist providers in completing the application form, to provide additional information in terms of the accreditation process, as well as to explain relevant terminology that may require clarification by providers.

Providers can apply to be accredited in the following categories:

Delivery only site

This is a provider who is responsible for training and formative assessments.

Assessment only site

This is a provider who is responsible for summative and RPL assessments.

Delivery and assessment site

This is a provider who delivers learning programmes and manages the assessment thereof.

Please remember that SAQA regulations stipulate that a training provider may only be accredited by one ETQA. If you are already accredited by another ETQA but want to offer qualifications or unit standards that fall within BANKSETA's scope, you need to submit an Extension of Scope document. Contact the ETQA for more details.

This guideline document follows the same structure as the accreditation application.

SECTION A: MANAGEMENT SYSTEMS

Organisation details:

Contact details: Please provide the contact details and ID number of the person directly responsible for your accreditation application, and at least one other contact person.

Registration as a legal entity: Please provide the required information and documentary proof of your registration. The document that needs to be attached depends on the business form of your organisation.



SARS registration: Please provide your SARS registration number and SDL levy number.

Vision, mission and primary focus:

The vision and mission of your organisation should indicate that your organisation is committed to the achievement of the objectives of the NQF, which are to:

- Create an integrated national framework for learning achievements.
- Facilitate access to, and mobility and progression within, education, training and career paths.
- Enhance the quality of education and training.
- Accelerate the redress of past unfair discrimination in education, training and employment opportunities.
- Contribute to the full personal development of each learner and the social and economic development of the nation at large.

Make use of the organisation's vision and mission statement, but align it to cover training programme provision.

Organisation structure:

It is important for the ETQA to understand your organisation structure and to gauge your organisational capacity to deliver the education and training for which you seek accreditation. You are therefore required to include an organogram / organisational flowchart. This organogram should specifically indicate the following roles and responsibilities:

- General management
- Trainers / facilitators
- Assessors / moderators
- Mentors
- Administration
- Financial management
- Individual(s) ultimately responsible for quality assurance.



In the organogram indicate the number of people employed. If you outsource any functions give a clear description of the contractual arrangements and the parties involved in such arrangements. Attach copies of contractual agreements.

Occupational Health and Safety:

Organisations with more than 20 employees are required to have health and safety representatives (members of staff appointed as such). Facilities used for training purposes should without exception adhere to Occupational Health and Safety legislation, of which some of the requirements are:

- Emergency plans and procedures (evacuation plans).
- First aid kit and trained personnel on site.

Where external / conference facilities are utilised, confirmation must be obtained that the supplier will ensure compliance with Occupational Health and Safety requirements.

Financial management:

Providers are required to demonstrate that:

- They have the necessary financial resources to sustain the training services throughout the period of accreditation.
- Proper budgetary and financial management processes are in place.
- Financial resources are adequate to conclude all contractual obligations in terms of training and assessment.
- They comply with relevant legislation in terms of the annual financial statements.

You need to provide an unqualified financial audit report.



Quality management policies and procedures:

You need to provide policies and procedures that govern and indicate how quality provision will be ensured and managed. As you work through the guideline document, you will see the areas that need to be addressed by the Quality Management System.

Providers must include policy statements and procedures regarding the following:

- Development, management and review of the QMS.
- Managing learning programme design, development and implementation.
- Managing assessment and moderation practices.
- Managing administration, record keeping and reporting.
- Managing ETD staff selection, management, development and partnerships.
- Managing learnerships and skills programmes provision, workplace partnerships and learner support.

Quality system review:

In order to retain a high quality learning environment training providers are required to review their policies and procedures on a regular basis. In this section of the accreditation application you are required to describe the mechanisms used in your organisation to ensure that all policies and procedures are revised and updated to ensure that they remain current, in line with legislation and regulatory requirements, efficient and in line with the needs of the organisation. These quality review mechanisms can take the form of an internal audit process, a management review process etc.



SECTION B: PHYSICAL RESOURCES

Provider's own educational infrastructure and physical resources:

The outcome and assessment criteria of unit standards and / or qualifications sometimes point to the use of specific equipment and as such providers are required to make the relevant physical resources available to learners. The number and location of physical resources such as training venues, workshops, libraries, offices and equipment should be recorded. Learners should have access to these facilities and must have the necessary skills to effectively utilise these resources, for example if learners must use an electronic library there must be personnel to assist them to gain the specific skills necessary to access the library system, if the need arises.

External education and training infrastructure:

Some providers may use training facilities other than their own, for example conference facilities or the training facilities of employers. These training providers are responsible to ensure that these facilities are suitable for the courses that they are offering, that all the necessary equipment is available, that the facilities can accommodate the number of learners enrolled and that the facilities are in a good condition. In the accreditation application you must demonstrate that your organisation has mechanisms in place to evaluate training venues before they are used. Such mechanisms may include site visits (checklists may be useful), contractual agreements with the owners of the facilities etc.

Workplace learning procedures:

Some qualifications and unit standards include practical skills development and outcomes that can only be achieved in a real work situation. If your organisation intends to offer such qualifications or unit standards you should demonstrate that you have practical placement opportunities available where learners can gain practical experience. Such practical training may take the form of a learnership. In your



accreditation application you are required to describe the arrangements that you have in place and to provide proof of agreements with employers.

SECTION C: STAFF RESOURCES

ETD staff:

In your accreditation application you are required to complete a short table of your ETD staff. It is a requirement for accreditation that training providers should have policies and procedures in place covering the following:

- Recruitment and selection of staff.
- The handling of grievances.
- The handling of disciplinary actions.
- Performance management.
- Termination of employees' services.

These should be documented (documentary proof required) and should be communicated to staff members. The provider should also have specific criteria governing decisions around staffing, e.g. what skills and knowledge and experience employees should possess. The provider should furthermore be fair and non-discriminatory in its human resources practices.

A personal file should be kept for each employee with typical HR documents, such as CV, letter of appointment, job description, performance evaluation, etc.

Training providers must note that all **assessors and moderators** involved in the assessment of qualifications or unit standards that are quality assured by BANKSETA should be registered with BANKSETA for the specific qualifications or unit standards. Registration as assessors and moderators with other ETQAs or for other qualifications or unit standards does not provide automatic registration as assessors or moderators for these qualifications or unit standards.



SECTION D: LEARNER SUPPORT

Learner support includes:

- Learner induction.
- Learner code of conduct and discipline.
- Learner grievances.
- Other learner support systems.

Providers are expected to provide documentary proof that the above mentioned learner support mechanisms are in place and that all relevant information is clearly communicated to learners, for example learners must be informed of disciplinary and grievance procedures. They must also be fully aware of all assessment criteria, procedures and the appeals processes (in respect of assessments) available to them.

SECTION E: ADMINISTRATION AND RECORD KEEPING SYSTEMS

Providers are required to demonstrate that they have the administrative and recordkeeping procedures, infrastructure and personnel to ensure a high quality learning environment. Learner application and registration procedures are particularly important and include aspects such as:

- Marketing and communication.
- Application and registration procedures.
- Learner administration policy and / or procedures.
- Learner administration system.
- Reporting procedures on learner achievements.

In your accreditation application describe the procedures and systems that you have in place and attach documentary proof as far as possible. The keeping of detailed learner records and submitting it to the ETQA is a statutory requirement of all accredited providers.



Providers are also required to submit learner records to BANKSETA shortly after learners have successfully achieved the unit standards or qualifications for which they had enrolled. BANKSETA will then verify the results and issue the necessary certificates. Learner achievement information will then be submitted to the National Learners' Records Database (NLRD) which is maintained by SAQA. The NLRD is a national register of all the qualifications and unit standards attained by all learners in South Africa.

SECTION F: EDUCATION AND TRAINING SYSTEMS

Learning programmes should be developed around standards / outcomes / qualifications and must be outcomes based. Learner and employer needs should be considered to ensure that learning programmes are valid, effective and relevant at all times. The ETQA is specifically interested in the mechanisms used by providers to ensure the quality of content and to ensure that the content of programmes are regularly revised and updated.

The trainer or presenter facilitating the training should have the necessary Education, Training and Development Practitioner (ETDP) skills.

Once a learning programme has been developed and delivered, evaluation is necessary to ensure the quality of the learning programme, that it is aligned to outcomes and / or standards, and that it is relevant and up to date. This should take place on a continuous basis and should involve inputs from learners, trainers, training / education committees, etc.

Qualifications and unit standards:

The qualifications and / or unit standards for which you apply for accreditation must be listed in your accreditation application.



For each course / qualification you need to submit a complete course / qualification map. This document provides details about the qualifications and their constituent unit standards. All the outcomes and assessment criteria of all the unit standards should be listed and should be linked to the components of the learning material that specifically address the particular outcomes. It should also refer to the components of the assessments that address the specific assessment criteria. This map will assist the ETQA and subject matter experts in evaluating whether the course content sufficiently covers the outcomes of the qualification or unit standards.

In addition to the course / qualification map you should also submit the course content, assessment and facilitator guides and examples of assessment instruments. These will be evaluated by subject matter experts.

SECTION G: ASSESSMENT

The assessment process:

In order to obtain accreditation, providers must demonstrate that they have procedures for the management and administration of assessments and appeals against assessment. Providers must ensure that assessments adhere to the principles of assessment.

An assessment process must include the following steps:

- Planning and preparation for assessment.
- Preparing learners for assessment.
- Conducting the assessment using appropriate tools / instruments.
- Recording the results of assessment and to make a decision in terms of competence.
- Providing feedback to the learner and third parties after the assessment.
- Reviewing the assessment process to ensure continuous improvement.
- Providing for appeal by learners.



In the application for accreditation providers must include an assessment policy which should provide for:

- Access to assessments.
- Assessment guides and activities.
- Use of registered assessors.
- Re-assessments.
- Learner appeals against assessments.
- Administration of assessments.
- Support to learners (with regard to assessments).

Providers who apply for accreditation must submit an RPL policy and procedures that are appropriate for the qualifications and / or unit standards for which the providers seek accreditation.

SECTION H: MODERATION

Moderation ensures that learners who are being assessed are assessed in a consistent, accurate and well-designed manner. It ensures that all assessors who assess a particular unit standard or qualification are using comparable assessment methods and are making similar and consistent judgements about learners' performance. Moderation of assessments should occur at both the level of the provider (internal moderation), and at the level of the ETQA (external moderation).

SAQA requires that only registered moderators moderate unit standards and qualifications and requires the provider to have access to registered moderators with relevant subject matter expertise in the unit standard being assessed.



The moderation policy must also stipulate how frequently moderation will take place and the sample sizes that will be moderated (i.e. the percentage of assessments that will be scrutinised by the moderator). BANKSETA recommends sample sizes of not less than ten percent of the total. Larger proportions may be moderated if learner numbers are relatively small. The moderation policy must also ensure that moderators draw random samples and that the work of all assessors is moderated.

The following table provides guidelines with possible evidence required to ensure successful submission.



DOCUMENTATION REQUIRED FOR RECORD KEEPING

Scope	Criteria	Evidence that will be evaluated and validated by ETQA specialist
Organisation Information and Management Systems	The provider has developed, established and implemented quality assurance policies, procedures and plans.	<ul style="list-style-type: none"> ▪ <i>Organisation information</i> ▪ <i>Vision and mission statements</i> ▪ <i>Policy and procedures to support the mission</i> ▪ <i>Occupational health and safety procedures</i> ▪ <i>Financial management</i> ▪ <i>Quality assurance policy and procedures that indicate how the quality of learning provision will be maintained</i> ▪ <i>Quality review mechanisms</i>
Physical Resources	The provider has sufficient physical resources to offer learning programmes listed on their scope	<ul style="list-style-type: none"> ▪ <i>List of resources</i> ▪ <i>List of training facilities</i> ▪ <i>Descriptions of facilities for learner development</i> ▪ <i>Equipment required for learners to practice skills</i> ▪ <i>Procedures to evaluate suitability of external facilities</i>

ACCREDITATION GUIDELINE FOR PROVIDERS



Scope	Criteria	Evidence that will be evaluated and validated by ETQA specialist
Staff Resources	<p>The provider has sufficient staff resources to support the delivery of learning programmes listed on their scope</p> <p>The provider has implemented sufficient QMS systems to manage Practitioners</p>	<ul style="list-style-type: none"> ▪ <i>Number of learners / number of ETD practitioners</i> ▪ <i>Qualification and experience of practitioners</i> ▪ <i>Administration staff</i> ▪ <i>Assessors / moderators</i> ▪ <i>Recruitment and selection of staff</i> ▪ <i>Staff contracts</i> ▪ <i>Performance management systems</i> ▪ <i>Code of conduct for assessors / moderators</i> ▪ <i>Staff development plans</i>
Learner Support	<p>The provider has sufficient policies and procedures in place to support learners when entering a learning programme until exiting</p>	<ul style="list-style-type: none"> ▪ <i>Entry requirements for learning programmes defined</i> ▪ <i>Learner registration procedures implemented</i> ▪ <i>Learner induction materials</i> ▪ <i>Breakdown of learning materials that learners will receive</i> ▪ <i>Learner contracts</i> ▪ <i>Resources available to learners</i> ▪ <i>Coaching for learners</i> ▪ <i>Disciplinary policies and procedures</i> ▪ <i>Report of learner progression through the learning programme</i> ▪ <i>Feedback for employers where learners are applying skills</i>

ACCREDITATION GUIDELINE FOR PROVIDERS



Scope	Criteria	Evidence that will be evaluated and validated by ETQA specialist
Record and administration systems	<p>The provider maintains sufficient records of learner personal details as well as assessment results and evidence of learning</p> <p>The provider has sufficient systems to support all the administration requirements around ETD delivery, assessments and moderation</p>	<ul style="list-style-type: none"> ▪ <i>Learner files</i> ▪ <i>Portfolio of evidence</i> ▪ <i>Database of record keeping system</i> ▪ <i>Types of records</i> ▪ <i>Storage of records</i> ▪ <i>Procedures for keeping records</i> ▪ <i>Access control of records</i> ▪ <i>Reporting procedures for successful completion of learning programme</i>
Education and training support	<p>The provider has approved learning programmes to transfer knowledge and skills</p>	<ul style="list-style-type: none"> ▪ <i>Programme approval obtained from ETQA</i> ▪ <i>Programme strategy</i> ▪ <i>Delivery methods applicable and clearly defined</i> ▪ <i>Training schedules</i> ▪ <i>Progress reports of learning</i> ▪ <i>Facilitators reports</i> ▪ <i>Report from workplace</i> ▪ <i>Learner and facilitators guides</i> ▪ <i>Evaluation forms for learning programme evaluation</i> ▪ <i>List of qualifications and unit standards you seek accreditation for</i>

ACCREDITATION GUIDELINE FOR PROVIDERS



Scope	Criteria	Evidence that will be evaluated and validated by ETQA specialist
Assessment	The provider has implemented fair, valid, consistent and sufficient assessment practices that support the assessment decisions made by assessors	<ul style="list-style-type: none"> ▪ <i>Assessment policy</i> ▪ <i>Registered assessors and proof of registration</i> ▪ <i>Assessment strategies</i> ▪ <i>Assessment guides</i> ▪ <i>Assessment instruments</i> ▪ <i>Assessor reports</i> ▪ <i>Assessment review reports</i> ▪ <i>Code of conduct</i> ▪ <i>RPL policy</i> ▪ <i>Appeals procedures and policy</i>
Moderation	The provider has implemented fair, valid and sufficient moderation practices to support assessments	<ul style="list-style-type: none"> ▪ <i>Moderation plan</i> ▪ <i>Moderation reports</i> ▪ <i>Qualified moderators and proof of registration</i> ▪ <i>Code of conduct</i> ▪ <i>Contracts of external moderators</i> ▪ <i>Moderators policy</i>