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ACCREDITATION POLICY



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1. Purpose and background

Sub regulation 9(1)(a) of the Education and Training Quality Assurance Bodies Regulations, 1998 (No. R 1127 of 1998) (ETQA Regulations), promulgated under section 14 of the South African Qualifications Authority Act (Act No. 58 of 1995) requires ETQAs to “accredit constituent providers for specific standards or qualifications registered on the National Qualification Framework” in terms of the criteria established for this purpose.

The main text of this document contains an outline of the proposed requirements for an application by a provider for accreditation with the BANKSETA ETQA.

1.1 Legal / regulatory and policy reference

Sub regulation 9(1)(a) of the Education and Training Quality Assurance Bodies Regulations, 1998 (No. R 1127 of 1998) (ETQA Regulations), promulgated under section 14 of the South African Qualifications Authority Act (Act No. 58 of 1995) requires ETQAs to “*accredit constituent providers for specific standards or qualifications registered on the National Qualification Framework*” in terms of the criteria established for this purpose.

Summary of legal and policy reference documents

- Constitution of the Republic of South Africa (Act No 108 of 1996)
- Promotion of Administrative Justice Act (Act No. 3 of 2000)
- South African Qualifications Authority Act (Act No. 58 of 1995)
- Education and Training Quality Assurance Bodies Regulations (No. R 1127 of 1998)
- SAQA 2001 *Quality Management Systems for Education and Training Providers*
<http://www.saqa.org.za/>Documents>Criteria and Guidelines>All Documents>
- SAQA 2001 *Criteria and Guidelines for Providers*
<http://www.saqa.org.za/>Documents>Criteria and Guidelines>All Documents>
- SAQA 2002. *Criteria and Guidelines for the Registration of Assessors*
<http://www.saqa.org.za/>Documents>Criteria and Guidelines>All Documents>



1.2 Definitions

The definitions of the terms below apply to their use in this policy:

- **“Accreditation”** means the certification, usually for a particular period of time, of a person, a body or an institution as having the capacity to fulfil a particular function in the quality assurance system set up by the South African Qualifications Authority in terms of the SAQA Act.
- **“Accreditation scope”** means the list of qualification(s) and/or unit standard(s) for which a body is accredited for a defined purpose.
- **“Assessor”** means the person who is registered by the relevant Education and Training Quality Assurance Body in accordance with criteria established for this purpose by a Standards Generating Body to measure the achievement of specified National Qualifications Framework standards or qualifications, and "constituent assessor" has a corresponding meaning.
- **"Education and Training Quality Assurance Body" (ETQA)** means a body accredited in terms of Section 5(1)(a)(ii) of the SAQA Act, responsible for monitoring and auditing achievements in terms of national standards or qualifications, and to which specific functions relating to the monitoring and auditing of national standards or qualifications have been assigned in terms of Section 5(1)(b)(i) of the SAQA Act.
- **"Moderation"** means the process which ensures that assessment of the outcomes described in National Qualifications Framework standards or qualifications is fair, valid and reliable.
- **“Moderator”** means a person who is competent to conduct a moderation process.



- "**Primary focus**" means that activity or objective within the sector upon which an organization or body concentrates its efforts.
- "**Provider**" means a legal entity that delivers learning programmes which culminate in specified National Qualifications Framework standards or qualifications and manages the assessment thereof.
- "**Quality assurance**" means all actions taken to ensure that standards and procedures are adhered to and that delivered products or services meet performance requirements according to SAQA regulations.
- "**Registered standards**" means unit standards or qualifications registered on the National Qualifications Framework.
- "**Registration scope**" means the list of registered standards for which an assessor or moderator is registered with the SETA as an assessor or moderator.
- "Accreditation scope" means list of qualifications, skills programmes and unit standards for which a training provider is accredited with BANKSETA.

1.3 Application and scope

The policy applies to all processes conducted by BANKSETA ETQA staff related to provider accreditation, validation of programmes and registration of constituent assessors and moderators.

1.4 Relationship to other ETQA policies

- Assessor and Moderator Registration Policy
- Assessment and Verification Policy
- Monitoring and Evaluation Policy
- Certification Policy



1.5 Accountability and responsibility

The ETQA staff and / or its representatives are responsible and accountable for managing and overseeing the implementation, maintenance, review and improvement of the BANKSETA policy and procedures.

2. Statement of policy intent

2.1 Purpose and content

The purpose of this policy is to:

- Set out clear and legible accreditation **policy provisions** for providers to be accredited with the BANKSETA ETQA.
- **Inform providers** and BANKSETA staff of the accreditation policy, process and procedures for the accreditation of training providers.
- Ensure that training providers accredited in terms of SAQA and BANKSETA ETQA requirements have the necessary capacity to provide quality learning provision.
- Assure and enhance the quality of programmes in the sector by identifying and approving programmes that meet requirements for approval, or demonstrate the potential to do so in a stipulated period of time.
- Protect learners from poor quality programmes through accreditation and re-accreditation arrangements that build on reports from self-evaluation and external evaluation activities, including BANKSETA monitoring and audits, and other relevant sources of information.
- Encourage and support **provisional accredited providers** to meet the requirements for full accreditation.



- Ensure that the provision of quality education and training is consistent with the **principles of the NQF**.
- Ensure that accredited providers **implement** these principles when managing, developing and delivering learning programmes.
- Ensure that providers accredited with BANKSETA ETQA are **monitored and audited** at regular and predetermined intervals to ensure continued compliance.
- Provides for clear and legible policy provisions for the **expiry, review, re-accreditation, suspension and or de-accreditation of providers and appeals** thereby for decisions taken by BANKSETA ETQA.
- Ensure that all ETQA policies are **maintained, reviewed and improved** for continued relevance and suitability.

2.2 Principles

This policy and its associated procedures are based on adherence to the following principles in respect of accreditation:

The BANKSETA ETQA will promote basic values and principles governing public administration as enshrined in Section 195 of the Constitution of the Republic of South Africa.

In particular:

- a) High standard of professional ethics must be promoted and maintained.
- b) Efficient, economic and effective use of resources must be promoted.
- c) Services must be provided impartially, fairly, equitably and without bias.
- d) Transparency must be fostered by providing the public with timely, accessible and accurate information.



Adherence to procedural fairness as required by the Promotion of Justice Act (Act No. 3 of 2003) in terms of:

- a) Reasonable notice (nature and purpose),
- b) A chance to make representations,
- c) A clear statement of the administrative action,
- d) Advice as to review or internal appeal, and
- e) Advice as to the right to request reasons.

Programmes will be considered for accreditation if they are offered by a body or provider in one of the following categories:

- Institutions currently accredited with BANKSETA ETQA, and / or
- Accredited by other ETQAs will be considered for evaluation in terms of Memorandum of Understanding between ETQAs

The following principles guide the BANKSETA ETQA programme accreditation requirements:

- a) Programme accreditation / approval decisions must of acceptable quality.
- b) The primary responsibility for programme quality rests with independent and constituent providers to establish and sustain effective mechanisms that facilitate programme quality in terms of programme planning, self-evaluation, external evaluation and reporting.
- c) BANKSETA ETQA's responsibility is to establish internal and external programme evaluation mechanisms that can validate institutional effectiveness that can ensure the quality of the programmes.
- d) BANKSETA will use its ETQA staff and or system of expert review in order to ensure credible and consistent programme evaluation.

2.3 General requirements

BANKSETA shall establish policy provisions for provider accreditation, maintain, review and improve a register of accredited providers whose primary business coincides with the primary focus of the BANKSETA ETQA for the purposes set out above in this policy and according to the detailed policy provisions as described in the rest of this document.



The provider accreditation procedures shall be clearly and accurately documented according to the BANKSETA ETQA policy document.

2.4 Criteria for accreditation

A provider whose primary focus coincides with the primary focus of the BANKSETA ETQA shall be accredited if the applicant seeking accreditation can provide proof that it:

- 1 Is registered as a provider in terms of the applicable legislation at the time of application for accreditation.
- 2 Has a quality management system which includes but is not limited to
 - a Quality management **policies** that define that which the provider wishes to achieve;
 - b Quality management **procedures** which enable the provider to practice its defined quality management policies; and
 - c **Review** mechanisms that ensure that the quality management policies and procedures defined are applied and remain effective.
- 3 Is able to **develop, deliver and evaluate** learning programmes which culminate in specified registered standards and or qualifications.
 - a A comprehensive list of NQF-registered qualifications and unit standards relating to all training interventions provided by the provider organisation and for which the provider organisation would like to be accredited must be included in the application.
 - b The application must include an undertaking that this list will be kept updated and that an extension of accreditation will be requested should unit standards and / or qualifications be added to the list.
- 4 Has the
 - a necessary **financial, administrative and physical resources;**
 - b policies and practices **for staff selection, appraisal and development;**
 - c policies and practices **for learner entry, guidance and support systems;**
 - d **policies and practices for the management of off-site practical or work-site components;**
 - e **policies and practices for the management of assessment;**
 - f necessary **reporting procedures;**



- g the ability to achieve desired outcomes, using available resources and procedures considered by the ETQA to be needed to develop, deliver and evaluate programmes which culminate in a specified registered standards or qualifications contemplated in paragraph 3 .
- 5 Has not already been granted accreditation by or applied for accreditation to another Education and Training Quality Assurance Body.

2.5 Duration and status of accreditation

- a. The SETA shall grant **full accreditation** status to a constituent provider, if the constituent **provider meets all accreditation requirements** and can provide proof as contemplated in Section 4.1 (a-e) as stipulated above.
- b. The ETQA shall grant full accreditation status to a provider for a period of 4 years.
- c. In cases where a constituent **provider does not meet all criteria for full accreditation** as provided for in section 4.1 (a-e), but **has met minimum requirements**, in such instance the ETQA shall grant full accreditation status for 1 year **provided that learner interest are protected**. Further development action will be expected during the first year, including a successful on-site monitoring audit visit.
- d. The provider with provisional accreditation status will be required to work to corrective measures to address the **developmental areas within a specified time frame**.
- e. The period for provisional accreditation status shall not exceed 2 years, starting from the date as stipulated in accreditation letter is issued.

All providers that are accredited with BANKSETA shall have the training scope for accreditation.

2.6 Extension for the accreditation of provider scope

- a) A BANKSETA accredited training provider that desires the extension of its accreditation to include standards or qualifications falling outside the accreditation scope of BANKSETA ETQA shall:



- Submit a letter of intent or request for external programme evaluation to the relevant BANKSETA ETQA, demonstrating the details of the unit standards or qualifications and the relevant SETA ETQA for such extension of accreditation.
 - The BANKSETA ETQA shall, in terms of Memorandum of Understanding with other SETA ETQAs, arrange such extension of accreditation as is required for the standards or qualifications for which application has been made.
- b) Another SETA ETQA accredited provider that desires the extension of accreditation to include unit standards or qualifications falling outside the accreditation scope of its primary SETA ETQA, shall:
- Submit a letter of intent or request for external programme evaluation through its primary SETA ETQA with which it is accredited, demonstrating the details of the unit standards or qualifications and the BANKSETA ETQA for such extension of accreditation.
 - The primary SETA ETQA shall, in terms of Memorandum of Understanding with BANKSETA ETQA, arrange such an extension of accreditation as is required for the unit standards or qualifications for which application has been made.
- c) The BANKSETA ETQA shall, in consultation with the SETA ETQA of primary focus contemplated in sub regulation (b) ensure that the criteria for accreditation contemplated in Regulation 13 for the specified standards or qualifications are met.
- d) Upon the granting of the extension, the certificate of accreditation shall be endorsed as contemplated in Regulation 14(1) (b).

2.7 Expiry, review and re-accreditation

- (i) The BANKSETA ETQA providers shall be monitored and audited in terms of ETQA Monitoring and Accreditation Policy. This process shall investigate the extent to which compliance requirements are effectively, economically and efficiently met.



- (ii) Providers shall be required to apply for re-accreditation six months prior to the expiry of their accreditation status, based on the internal audit cycle.

- (iii) Granting of provider re-accreditation status and period shall depend on the findings of auditing process.

3. Process for the submission of applications for accreditation

The process for submitting the application will start with a meeting at the provider site that will afford the ETQA specialist the opportunity to pose and answer questions relating to the written submission for clarification by the person accountable. The applicant will then have the opportunity to either supplement or alter the document as required before submitting the final copy.

The granting or denial of the accreditation will follow within twenty working days of submission. The ETQA specialists will process the application and will then present the comments and the recommendation about compliance/non-compliance to the ETQA manager. The final decision will rest with the ETQA manager who may consult the SETA CEO in the event of any doubt.

Appeals against denial of accreditation may be lodged with the ETQA, which will arrange for a defence by the provider organisation of its application.

3.1 Confidentiality

The confidentiality of the applications (both written and verbal) submitted to the ETQA will be maintained. However, no conditions of confidentiality will apply to the granting or denial of accreditation.



3.2 Motivation in the event of accreditation being denied, terminated or suspended

In the event that the ETQA denies an application for accreditation or indeed in the future terminates or suspends accreditation of any organisation, the ETQA will provide the SETA council and the provider in question a written motivation for its decision. This motivation will be treated as confidential at the discretion of the provider organisation, but the fact of denial or suspension or cancellation of accreditation will not be treated as confidential.

3.3 Suspension and termination of accreditation of providers by the ETQA

Any provider organisation may terminate its accreditation as a provider simply through an unequivocal statement of its intention to do so, addressed and delivered to all its customers in the banking sector and to the administrator of the ETQA. The statement must be signed by the Chief Executive Officer of the provider organisation and must be witnessed. The termination will become effective on the date of the reply document signed by the chairman of the SETA Council noting the relevant request to terminate accreditation. Notwithstanding anything stated in contracts and service agreements, termination of accreditation shall not unilaterally release the provider organisation from obligations to customers in the banking sector in consequence of such contracts and service agreements, provided that the relevant customer(s) continue to honour the customer's obligations in respect of contracts and service level agreements.

Should the ETQA terminate the accreditation of a provider without the request to do so emanating directly from the provider, then the termination will become effective on the date of the document signed by the chairman of the SETA Council informing the provider organisation of the termination of its accreditation. Such termination of accreditation shall not unilaterally release the provider organisation from obligations to customers in the banking sector arising from contracts and service agreements, unless such agreements explicitly provide for such release under these circumstances. The ETQA may, without a request to do so being received from a provider organisation itself, terminate the accreditation of that provider only in the event that the SETA Council instructs it to do so, and only three conditions are contemplated for such an instruction being issued:



- The provider organisation is shown through civil action to be regularly in default of its contract(s) and / or service agreement(s) with its customer(s) in the banking sector, such that the relevant contract(s) and / or service agreements may be unilaterally terminated by the relevant customer(s) and indeed such termination has been effected.
- The provider organisation has been shown in a quality audit to be substantially in default in matters germane to the sector's quality management which were investigated during the relevant quality audit, and moreover that the provider organisation has not effected sufficient rectification as directed on the basis of the audit within the time permitted.
- The termination of the provider's accreditation is ordained through or in consequence of legislation or governmental regulation, or as an unequivocal instruction issued by SAQA.

The ETQA may suspend the accreditation of a provider only in the event that the SETA council instructs it to do so, and only one condition is contemplated for such an instruction being issued, to wit that the provider organisation has been shown to be substantially in default in matters germane to the sector's quality management system which were investigated during the relevant quality audit, that while the provider organisation has effected significant rectification within the time permitted, more time is required in order for it to effect sufficient rectification, and that the provider organisation intends to effect sufficient rectification in the time during which the suspension applies.

3.4 Separation between suppliers and customers

Training providers applying for accreditation may conceivably be distinguishable operating units, business units, cost centres, or wings of organisations, in which case they shall be designated as "in-house providers". Moreover, they may be business units, cost centres, wings, etc. of the organisations which will subsequently be their customers. It is quite conceivable that organisations may have more than one operating unit, business unit, cost centre or wing wishing to obtain accreditation as an in-house provider.



Providers which are not themselves part of a bank shall be designated as "independent providers".

3.5 Charges for accreditation

The BANKSETA will fund the ETQA and therefore accreditations will occur without charges to applicants.

3.6 Re-application

Ending an accreditation, either by voluntary withdrawal or through suspension and or de-accreditation process, will not preclude a provider from applying for accreditation in future. A re-application will be evaluated under the same requirements and procedures applicable to every other applicant training provider at the time of application. Re-applications will not be accepted by BANKSETA ETQA until a minimum of three months have elapsed since the previous accreditation was drawn.

3.7 Public notification

All instances of suspension or withdrawal of accreditation (whether voluntary or involuntary) will be publicised by BANKSETA ETQA including but not limited to, notices being placed on the BANKSETA Internet web site.

Requirements for provider submission

(Supporting documentation: Accreditation checklist for desktop review)

4. Quality management system

4.1 Management representative

The accreditation submission must contain a letter of appointment of a member of the training provider's management who will act as the accountable person to any customer in the banking sector, describing his/her responsibility and authority, the relevant reporting structure and job descriptions, and outlining key performance indicators.



One of the duties of the management representative must be to report on the quality management system implementation within organization and this must be made explicit in the documentation. The document must also make explicit the direct reporting relationship to the chief executive officer of the training provider organisation by the relevant management representative.

4.2 Quality management policy

A suitable quality management policy statement signed by the training provider's chief executive officer and dated by him/her must be provided.

This statement must reflect the provider's quality management objectives, with particular reference to its submission for the application for accreditation and taking into account the requirements, expectations and needs of the customers within the banking sector.

The application must contain documented records of communication within the provider organisation of its quality management policy to staff, for instance, relating to induction training. The communication should make clear the intended role of the training provider's staff in implementing the provider organisation's quality management policy and in meeting the training provider quality management goals.

The application should provide evidence that the provider has identified and studied relevant legislation and regulations.

The application should provide for revision of the organisation's quality management policy in the case of changes in its activities or in the needs and expectations of the provider organisation's customers within the banking sector, and an undertaking should be provided to notify the ETQA of changes in the training provider quality management policy so that the ETQA may reconsider its accreditation in the light of these adjustments.



4.3 Quality management system procedures

The application must be accompanied by the provider organisation's mission statement. The training provider quality management procedures, describing who is responsible for what activity, and when and where it is to be carried out, must accompany the application. Relevant documentation and records must be stipulated.

4.4 Review of quality management system

The application must contain an undertaking to conduct regular review of its quality management system, at defined intervals sufficient to ensure its continuing suitability and effectiveness in satisfying the requirements of customers in the banking sector.

The application must contain an undertaking that checks and audits will be carried out in the provider organisation for corrective and preventive actions relating to quality management, and to ensure that improvements are implemented.

The provider organisation must in its application undertake to maintain records of these reviews for a period of at least five years.

5. Resources

The application must contain an identification of resource requirements for training and assessment activities, including human, physical, financial and other resources and describe its approach to the assignment of appropriate personnel, in relation to education and training staff, maintenance of standards, performance of work, assessment, verification and moderating activities.

The training provider applying for accreditation must provide detail of the organisation's staffing policies and procedures, including those relating to recruitment, selection, appointment, promotion and termination.



The training provider must show that:

- it has available sufficient and suitably qualified education and training personnel to assure the quality of learning and achievement of the specified standards and qualifications.
- it has the necessary physical resources for carrying out the organisation's activities in respect of the banking sector.

The training provider seeking accreditation must produce a business plan and a financial budget for the year after the submission of its application for accreditation with BANKSETA.

The training provider must also provide assurance as to its financial viability over the next five years.

This should be done by providing suitable audited financial statements and reports (include a copy of the most recent annual report) and a longer-term business plan.

5.1 Staff development

The application must show how the development of staff to be involved in rendering training and assessment services to clients in the banking sector will be undertaken.

The application must describe how the training needs of staff are to be addressed, and how these solutions are to be evaluated.

The application must contain the undertaking of the provider organisation to monitor and evaluate its personnel to evaluate the outcomes of any learning experience whatsoever provided to its personnel, and to verify the competence of its personnel after training.

6. Management and support of learners

The application for accreditation must describe the procedures for the management and support of learners. These must be shown in the application to ensure safety and security, control of assessments completed by the learner, control of documents and maintenance of learner records.



The application must specify pre-and post learning support to be offered to learners by the organisation.

A list of competence requirements per learning programme to be offered to customers must be provided, and an undertaking must be provided to update this list as long as the training provider remains accredited with BANKSETA.

The application must contain an undertaking by the training provider to notify its customers in the banking sector of any problems, loss or damage experienced relating to management and support of learners.

7. Design of learning programmes

(Supporting documentation: Programme strategy template)

A learning programme is described by SAQA as the “process” through which a learner achieves a standard or qualification. Thus, elements of a learning programme should encompass its relevance to registered standards or qualifications with reference in particular to learning outcomes, purpose, critical cross-field outcomes and assessment requirements.

The needs of learners and employers are essential in programme development and, in this respect, should promote access and adapt to the changes prevalent in the environment. Following the establishment of suitable aims and outcomes of the programme, delivery and assessment methods may then also be chosen and developed.

7.1 Design and development planning

There must be an outline of the process by which the learning programme design and unit standard analysis and alignment are compiled by the training provider. In order for learning programmes to be as relevant as possible,



it is important that development planning process also includes the audit of existing programmes, market research, sectoral and national priorities, liaison with other education and training providers and consider the language profile of learners.

There must be an undertaking by the training provider organisation to control design documentation properly and to undertake reviews of design plans once these have been implemented.

7.2 Organisational and technical interfaces

The training provider's application must contain a declaration to the effect that organisational and technical interfaces (i.e. the training department must consult subject matter experts) between different groups which make inputs into the design process will be defined and the necessary information will be documented, communicated and regularly reviewed.

7.3 Design input

The application must contain a declaration to the effect that learning programme design input requirements will take into account regulatory requirements, statutory requirements, requirements of research funding bodies, requirements of accreditation bodies, the requirements of customers in the banking sector, technical requirements, and industry standards.

7.4 Design review

The application must contain a declaration to the effect that formal documented reviews of the learning programme design will be conducted at appropriate stages.

7.5 Design validation



The application must contain a declaration to the effect that the provider organisation will perform design validation to ensure conformance to stated requirements.

7.6 Design changes

The application must contain a declaration to the effect that all design changes and modifications will be identified, documented, reviewed and approved by authorised personnel in the client organisation before implementation.

8. Delivery of learning programmes

The delivery of learning programmes is a critical part of the activities of a training provider, as the programmes which are offered ultimately provide learners the opportunity to gain relevant qualifications and skills.

In view of this, the application must include a clear and consistent description of the methods of programme delivery in accordance with the NQF principles.

In addition, an application must indicate the provision made for the style of learning and training, theoretical and practical learning components, appropriate experiential learning where relevant, learning and learning support resources and requirements and programme validation.

9. Evaluation of learning programmes

The evaluation of learning programmes is necessary for the effective quality management of learning provision.

The application must describe how learning programmes will be evaluated through evaluation mechanisms, not limited, to assessment results, learner progress, learner feedback and line/organisational feedback.



Given the important role of evaluation, there should be a clear indication how evaluation results are fed back into the continual improvement and quality management process of learning programme development and delivery.

10. Assessment and moderation

(Supplementary documentation: Assessment verification report)

For training providers who intend to be both assessment and delivery sites, the application needs to include a documented assessment policy and procedures which takes into account alignment of assessment strategies with aims and outcomes of learning programmes linked to unit standards or qualifications, formative and outcomes-based assessments, development of range of appropriate assessment tools, registration and training of assessors and moderators, assessment recordkeeping, access to assessment information, internal moderation activities to ensure consistency of assessment results, an appeals system and a Recognition of Prior Learning (RPL) policy and process.

Overall, the assessment system and approach must be consistent with and reflect the principles of the NQF.

For further information on workplace assessment and moderation, training provider may access the BANKSETA ETQA Policy on Workplace Assessment and Moderation on the BANKSETA website (<http://www.bankseta.org.za/etqa/default.asp>)

If a provider intends to deliver learning programmes but not undertake assessments, an indication must be given of possible routes for learners to achieve recognition for their learning.

11. Learner selection, guidance and support systems

The policy and procedures in respect of selection of learners, how learner's needs are met and support and guidance services need to be explicitly described.



In alignment with the NQF principles, the following principles related to learners thus require consideration and application when delivering a programme:

- Learner-centeredness
- Learner participation
- Relevance of programme to learners
- Recognition of prior learning
- Lifelong learning

The application must also indicate the policy for learning programmes for learners with special needs and counselling for learners which should include access to reliable advice and information before enrolling, during the learning programme and after completion.

The application must include an undertaking that learners will be supplied with a list of competence requirements per learning programme and that this list will be kept updated.

12. Service level agreements

12.1 The contract

Training providers are expected to establish and maintain service level contracts with the primary client (except in cases where the clients are individuals who attend courses). The application for accreditation must contain a pro forma of the standard contract which will be used, itemising relevant customer service procedures and other contents of the contract, for instance relating to recognition of prior learning and credit transfers and learning appeals, a list of marketing literature and relevant accreditation records.

12.2 Contract review

The review process for service level agreements must be stipulated, including policies and procedures relating to reviews, the recording of such reviews and the process by which capacity and resources will be reviewed.



12.3 Contract amendments

The application must show how amendments to service level agreements will be effected, how records will be kept, how relevant communication will take place, and how such amendments are to be authorised, in addition to other procedures relating to such amendments.

13. Document and data management

13.1 Document and data control

The application must contain the training provider's undertaking to maintain and make available on demand copies of all plans, control lists of approved sub-contractors including casual staff, curricula, syllabi, and materials, assessment schemes, examination papers, timetables, programme information, computer software and database and guidelines on the control of manuals, catalogues, and any other documents that could influence this service if not controlled properly, a master-list of documentary evidence to be maintained by the provider, and the provider's system for recalling invalid and/or obsolete documents.

The application must include relevant policy statements of regulatory requirements and there must be an undertaking to properly maintain and update records to identify revision status.

13.2 Document and data changes

The application should contain a declaration by the provider that provisions for proper processes in respect of documents and data changes and version control, including provision for review and approval with the same function/organisation as the original review.

13.3 Handling, storage and packaging

The application must contain the provider organisation's undertaking to establish and maintain documented procedures for handling, storage, packaging, preservation and delivery of materials



associated with its product/interventions which could affect the quality of education and training provided by it.

13.4 Control of records

The provider organisation must provide an undertaking to maintain quality records and make these available to demonstrate conformance to requirements and the effective operation of its quality management system. There must be an undertaking to keep these records for no less than four years.

The application must describe the provider organisation's processes for establishing learning programme completion rates, tracking the progress of learners, reporting to the Director-General of Labour, the National Skills Authority and the South African Qualifications Authority, and the subsequent placement of employees where relevant.

The application must contain a declaration by the provider organisation to the effect that it will apprise itself of findings of any developmental needs analyses undertaken by the BANKSETA, and will make such inputs into these needs analyses and the SETA's skills development planning as the SETA may call for from time to time.

14 Process management

14.1 Process control, monitoring and assessment

The application must contain an undertaking to engage in continuous quality monitoring, evaluation and improvement. There must be an outline of how the provider organisation will perform its functions in relation to the client organisation, describing actual procedures.

There must be a description of pre-evaluation and assessment procedures including control functions to ensure quality of delivery in relation to initial assessment, learners' prior learning, selection, enrolment, dealing with learning difficulties, assessment profiles, facilitating selection,



recognition of prior learning, pre-assessments and evaluation and evaluation of curriculum suitability, as relevant.

Detail must be provided of "in-process" evaluations (formative assessments) and assessments of performance, addressing curriculum monitoring, monitoring of administration systems, and equipment and facility monitoring.

The application must also provide detail on the procedures for evaluation and assessment status, assessing learning outcomes, learning progress, assessment tasks, and assessment results.

A list of reports to be presented in these matters, indicating in each case the frequency of reporting, must be provided.

15. Non-conformance and corrective measures

15.1 Non-conformance

The provider organisation's procedures for non-conformance and corrective action must be provided.

The provider must undertake to maintain a register for non-conformance, and must undertake to follow up all non-conformances with corrective action and to verify the effectiveness of corrective action.

15.2 Corrective and preventive action

The application must contain the policies and procedures regarding corrective and preventive action. In particular it must be shown that corrective and/or preventive action taken to correct non-conformance and to eliminate potential non-conformance is appropriate to the magnitude of the problem and commensurate with the risk encountered.



Preventive action procedures must include the use of appropriate sources of information, such as processes and work operations which affect quality, concessions, audit results, quality records, service reports and customer complaints, to detect, analyse and eliminate potential causes of non-conformities. The procedures must include the determination of steps needed to deal with problems requiring preventive action. The procedures must include a description of the measures for initiating preventive action and application of controls to ensure it is effective. The procedures must describe measures for ensuring that relevant information on action as submitted for management review. Finally, the procedures must prescribe how preventive action is to be documented and followed up within a reasonable time to determine whether the action has been effective.

The application must contain the provider organisation's undertaking to implement and record any changes to the documented procedures resulting from corrective and preventive action.

16 Quality audits

The application must contain a declaration of the provider's willingness to subject itself, apart from any internal auditing conducted on its own behalf, to a quality audit conducted by or through the ETQA and/or its agents and to maintain relevant documentation of that audit.

There should also be an undertaking that the training provider will during such audits give access to the auditing body/agency to all relevant materials, documentation, venues and persons within the provider organisation. Moreover, the application must contain an express recognition that the training provider shall be liable for all costs attaching to such an audit in the event that the audit is occasioned by allegations of quality defaults by the provider organisation which are substantiated by the audit itself.

There should also be an understanding that the audit dimensions will require evidence that the activities of the training provider support and promote the objectives of the NQF.



There should be an undertaking that the effect of changes brought about as a result of quality audits will be properly assessed and that additional action will be planned if changes did not achieve the desired affect.

Moreover, the application must contain a declaration by the provider organisation to act on the recommendations of the audit or to accept immediate and indefinite suspension of its accreditation.

16.1 Accreditation and monitoring visits

(Supplementary documentation: Accreditation guideline document, Accreditation site visit guideline)

The BANKSETA ETQA follows an enabling route for the accreditation of providers, in partnership with providers.

16.2 Pre-accreditation site visit

The purpose of the pre-accreditation site visit is to meet with the provider and discuss the process of accreditation with BANKSETA. The training provider and the ETQA representative will also review the feedback report and discuss any areas of concerns. An action plan will be developed as to the way forward and a date for the accreditation site visit will be scheduled.

16.3 Accreditation site visits

(Supplementary documentation: Accreditation checklist for site visits)

The application must contain a declaration by the provider organisation of its willingness to make an annual post-accreditation presentation to a representative from the ETQA for the purpose of a monitoring exercise in terms of the SAQA requirements. The post-accreditation site visit will be to the organisation accredited by the BANKSETA ETQA and accountable to the ETQA for the provision of education and training. Should an in-house provider be centrally accredited by the ETQA, it accepts accountability for education and training across the entire employer organisation. This is significant in view of the fact, that every branch of every banking organisation is potentially



a site for education and training and the ETQA will not visit every branch of every bank for the purposes of accreditation.

16.4 Internal audits

(Supplementary documentation: Interim internal audit checklist for desktop review, Interim internal audit checklist for site visit)

The application must contain a declaration by the provider organisation of its willingness to conduct an internal audit at stipulated intervals.

Annual internal quality audits addressing specified dimensions of the provider organisation's quality management system must be routinely conducted and reported on by all accredited education and training providers. An internal auditor must conduct a 'quality audit'.

The outcomes of the internal quality audit are to:

- verify progress towards excellence
- submit outstanding and or revised information, policies and procedures
- collect relevant information about the quality process
- identify quality areas where improvements are necessary
- include judgements by the quality auditor to the effect that proper evidence has been / not been presented as required in respect of every particular audit dimension
- compile and submit a copy of the audit report to the BANKSETA ETQA

The purpose of the annual internal audit is to review specified dimensions of the quality management system and the procedures and mechanisms of the provider as stipulated in their application for accreditation as a provider with the BANKSETA ETQA. The internal audit report will assist the ETQA to assess whether the provider is applying the procedures and mechanisms and therefore remaining effective.

ACCREDITATION POLICY



The qualitative nature of the internal audit should facilitate the identification of trends and possible problems in the quality management system of the provider organisation. Internal auditing should directly contribute to organisational improvement and feed into an audit report.

The internal auditor is required to conduct the audit through the revision of existing evidence and report on the current profile of the provider organisation by completing and submitting an audit report to the BANKSETA ETQA.

The internal auditor conducting the internal audit must be granted access to premises, materials and activities of provider organisations to accumulate relevant evidence. Unlimited access to premises, materials and/or activities will under no circumstances be presumed. The internal auditor must be prepared to itemise and motivate all access required for the conducting of the audit prior to commencement of the audit itself. Refusal or failure to grant the requisite and properly motivated access shall be deemed to be equivalent to failure to provide the relevant evidence. The onus is on the constituent provider to provide the relevant evidence.

Subsequent to the internal audit the provider will submit an internal audit report to the ETQA. If any gaps have been identified, the provider will also submit an action plan indicating the activities to be carried out, with the anticipated time lines. Once the gaps have been filled, the provider once again reports to the ETQA.