

TRANSPORT EDUCATION AND TRAINING AUTHORITY

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ACCREDITATION GUIDELINES

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TETA ACCREDITATION GUIDELINES



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DEFINITIONS

"**accreditation**" means the certification, usually for a particular period of time, of a person, a body or an institution as having the capacity to fulfill a particular function in the quality assurance system set up by the South African Qualifications Authority in terms of the Act;

"**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.

"**constituent**" means belonging to the defined or delegated constituency of an organisation or body referred to in these regulations;

"**Education and Training Quality Assurance Body**" means a body accredited in terms of section 5(1)(a)(ii) of the 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 Act;

"**learning programme**" means the combination of courses, modules or units of learning (learning materials and methodology) by which learners can achieve the learning outcomes for a qualification;

"**moderation**" means the process which ensures that assessment of the outcomes described in *National Qualifications Framework* standards or qualifications are fair, valid and reliable;

"**moderating body**" means a body specifically appointed by the Authority for the purpose of moderation;

Preamble

Quality Assurance for vocational education and training forms one of the functions of a Sector Education and Training Authority (SETA). The function is the same as those specified for ETQA's by SAQA.

The primary focus of the Transport SETA (TETA ETQA) is freight logistics and passenger transport and the support functions associated therewith, including Defence Industry and the seafaring aspects of fishing.

TETA ETQA places a high value on effective, efficient and cost beneficial vocational education and training within the scope of this primary focus. The sector has a philosophy of placing its emphasis on vocational education and training outcomes in terms of prescribed competencies and as such places rewards on output rather than input and is demand driven.

In order for the sector to ensure an effective and efficient vocational education and training intervention at all levels within the defined primary focus, a suitable quality assessment instrument is needed for all providers of vocational education and training to the sector. In terms of its ETQA responsibilities, TETA ETQA will use the criteria specified herein and the Evidence Guidelines furnished to evaluate potential providers whose products coincide with the primary focus of the TETA ETQA.

Registration

In SAQA document "Criteria and Guidelines for Providers" must be registered as a provider in terms of applicable legislation at the time of application for accreditation.

According to the *Education Laws Amendment Act, 2000 (No 53 of 2000)*, FET institutions are exempt from registration until a date determined by the Minister of Education. When such a date has been determined, relevant providers will be notified.

Profile of Applicant

The constituent provider shall with its application submit a profile of the organisation seeking accreditation. The profile should describe its relationship with other providers if any, its collaboration and partnerships with other parties (such as professional associations, industry bodies, international benchmarking organisations and the like), its intended customers, its history, its staffing, its financial status, its general *modus operandi* and its focus in the provision of learning and any other activities in which it engages.

Provisional Accreditation

In certain instances it may prove to be impossible for a provider to meet all the Conforming Requirements, which are specified in this document. Under such circumstances, and at the sole discretion of TETA ETQA, providers may be Provisionally Accredited for an agreed period, which may be extended provided that the interests of both the learner and the industry concerned are protected during the implementation of a mutually agreed action plan for full Accreditation.

Full Accreditation

A provider who, in the sole discretion of TETA ETQA has complied with all criteria contained in this document, will be accredited for a period of 3 (three) years. During this time a relationship will be established with the TETA ETQA in terms of which a programme of continuous audit and quality improvement will be implemented.

Renewal of accreditation may only be considered upon receipt of the required application form and will remain subject to the sole discretion of the TETA ETQA taking into consideration the outcomes of the periodic Audits conducted and the Constituent Provider willingness to implement the required corrective action emanating from these Audits.

Appeal Procedure

Appeals against the denial of accreditation may be lodged with TETA ETQA Manager who will make the necessary arrangements for the appeal to be heard.

Reporting

Providers will be required to provide TETA with reports complying with specified guidelines, these reports would include but not be limited to:

- ❖ Assessment activities of the Provider
- ❖ Internal Moderation Reports
- ❖ At least one internal audit report of its Learning System per annum
- ❖ The training provided
- ❖ Quarterly statistics on learner achievements in the TETA ETQA prescribed format.

Rights and Responsibilities of TETA ETQA

Providers accredited by TETA ETQA accept the following:

- ❖ The right of TETA ETQA to examine at any time the activities of the Accredited Providers and to review their quality management policies and procedures. Such examinations may take the form but not be limited to:
 - Formal Audits.
 - Requests for information on a regular basis.
 - Scheduled or unscheduled visits by appointed ETQA personnel.
- ❖ TETA ETQA will have the right to temporarily suspend a provider's accreditation if Evidence Guidelines resulting from these examinations indicates that the required standards are not maintained.

TETA ETQA will have the right to revoke the certificate of accreditation if in the sole opinion of TETA ETQA there is a total breakdown in the provider's provision and Quality Management System.

- ❖ The right of TETA ETQA to provide guidance on issues relating to the activities of Constituent Providers.

This Quality Assurance system encompasses the following:

- It uses the Quality Assurance principles linked to productivity issues.
- It evaluates outcomes-based vocational education and training interventions where curriculum is outcomes-based and modular in nature and competence is the outcome goal.
- It assesses the provider in terms of ETQA requirements

The Accreditation Criteria Matrix System

This Accreditation Criteria Matrix System is based on aspects of the TETA ETQA accreditation process and the requirements of the South African Qualifications Authority Act.

The Quality Assurance aspects of this Accreditation Matrix System are based on the following:

Management responsibilities

Management of resources

Management of processes

Auditing and monitoring of systems

Accordingly, the TETA ETQA Quality Assurance and Accreditation Matrix System will evaluate:

- The provider's quality management system,
- the providers' ability to obtain, develop, deliver and evaluate learning programmes, which culminate in specified standards or qualifications,
- financial, administrative and physical resources,
- policies and practices for staff selection, appraisal and development;
- policies and practices for learner entry, guidance and development;
- policies and practices for the management of on-job training and assessment
- policies and practices for the management of assessment;
- policies and practices for certification;
- necessary reporting procedures; *and*
- the ability to achieve the desired outcomes, using available resources and procedures considered by the TETA ETQA to be needed to obtain, develop, deliver and evaluate learning programmes which culminate in specified standards or qualifications.
- Occupational, Health and Safety aspects

Each Quality Criteria identifies the conforming requirements (criteria), the Evidence Guidelines, and the cost of non-conformance.

The Application and Self Assessment

Applicants are required to use documentary Evidence Guidelines as required in the Accreditation Criteria Matrix System together with the completed Application and Self Assessment Matrix.

After scrutiny by TETA ETQA any documentation not required for audit purposes shall be returned to the Applicant.

Marketing

Applicants should note that once the Organisation has been provisionally or Fully accredited, that the accreditation is for specific Unit standards and Qualifications as per TETA Primary Focus. It is a requirement for Providers when marketing their services to clearly indicate the qualifications and/or unit standards for which they have been accredited by TETA. Failure to adhere to this requirement may result in the accreditation status of a provider being revoked.

Confidentiality

TETA ETQA undertakes that no information supplied to it as part of the accreditation process will be divulged to any unauthorised third party.

DOCUMENTS TO BE SUBMITTED ON APPLICATION

On formal application for accreditation, the following documents are to be submitted to TETA:

1. Completed and signed Official Application Form
2. Completed and signed Self Assessment
3. Tax Clearance Certificate
4. Concise CV's of Trainers outlining their qualifications and experience in the area of learning for which accreditation is applied as well as qualifications and experience as an ETDP/trainer.
5. If possible a copy of the Quality Management System
6. Proof of and other accreditation, approval or recognition as a training provider by any recognised body (e.g. SA-CAA, SAMSA, AA etc.)
7. A profile of the Provider as outlined in this document, page 4.

These items are to be delivered to:

TETA
ETQA Unit
2nd Floor, Sonsono Building
344 Pretoria Avenue,
Randburg

Private Bag X10016
Randburg, 2125
RSA

Contact:

ETQA UNIT
Tel (011) 781-1280
Fax (011) 504-9252

PROVIDER QUALITY AND ACCREDITATION GUIDELINES

The Quality Management System will consist of the following Components:

- POLICY MANUAL/SECTION
- PROCEDURE MANUAL/SECTION
- SUPPORT MATERIAL MANUAL/SECTION

1. POLICY MANUAL/SECTION

The Policy Manual of the Quality Management System will define that which a provider wishes to achieve. It will provide direction to staff members regarding strategic objective and operational plans as well as policy statements on key business processes. In a larger organisation, the policy Manual will be a separate manual but in a smaller organisation it may be a section of the entire QMS Manual. Additional guidance can be found in the SAQA document *Criteria and guidelines for Providers*. The following components should appear in a Policy Manual:

- Vision and Mission Statements: A **vision** is a motivating statement, stating where the organisation wishes to be at some point in the future usually in about five years time. The **mission statement** is more current and describes in broad terms the purpose of the organisation.
- Quality Policy Statement: A Quality Policy Statement specifies the **degree of excellence** the organisation wishes to achieve. It will normally serve several purposes. Firstly it will provide a commitment from senior management regarding the level of quality and service it promises to deliver. Secondly it will commit the staff to the same level of quality and service. In support of the above it may include the organisations quality and business objectives. All of the above should be in the context of training. The senior manager must sign the statement. To ensure effectiveness of the Quality Policy Statement, it should not merely be a paragraph hidden away somewhere in a file in a cupboard. It should be clearly visible to both the public and staff in prominent positions. It should also not be empty words that only pay lip service but should be institutionalised through effective and dynamic policies and procedures.
- Company Objectives/Strategic Priorities: In order to achieve the vision the provider has set, long term priorities and shorter term objectives need to be determined. The objectives must be specific, measurable, achievable, realistic and time based.
- Business Plan: A business plan is necessary to guide decision-makers on financial issues and is normally written annually and reviewed at a mid-year interval. Amongst other things, it will guide the carrying out of plans to achieve the objectives through projected cash flows etc.
- Budgets: A budget is often part of a business plan but can be a separate document. It must contain expected income and planned expenditure.
- Marketing Strategy/Plans: All training providers should have a marketing plan or strategy, whether it is an internal provider or a public provider.

- Company Organogram: A company organogram should be included, which includes the positions and names of staff filling each position.
- Defined Responsibilities: It is important that all staff are fully aware of their responsibilities. These responsibilities must be defined in the Quality Management System, and signed by the respective personnel. It is also important in terms of specific issues regarding the management of the QMS, for example:
 - Who is responsible for controlling the QMS and all its associated documentation?
 - What are the responsibilities of others in the management of the QMS?
- Policy Statements on Key Business Processes: Policy statements must be written for all the following Key Business Process:
 - Physical Resources
 - Human Resource Processes
 - Staff Recruitment Selection
 - Appraisal
 - Training and Development
 - Learning Programme Development and Provisioning
 - Learner Entry Guidance and Support
 - Financial and Admin Processes
 - Management of Assessment Processes
 - Management of On Job Training (Learnerships)
 - Management Review Processes
 - Management of Documentation and Records
 - Management Review Processes
 - Internal Auditing Processes
 - The writing of policy statements for marketing, customer service and any other processes as determined by the provider are optional but recommended.

2.PROCEDURE MANUAL/SECTION

The Procedure Manual/ Section of the Quality Management System will describe how the various quality objectives and policies are implemented in the organization. Procedures are documented not only to provide compliance to the TETA Accreditation criteria but also to give clear guidance to all functions within the organization on how to achieve quality. The former refers to the system procedures and the latter as the operational procedures. The procedures may be considered the core of the Quality Management system, as the procedures describe the authorities, responsibilities and activities to be performed within the function.

There are distinct advantages for creating such a document: Clear transmission of information, permanent record, dependable resource, provides direction, uniformity of understanding, basis of control, eliminates confusion, prevents short cuts and ensures changes are strictly controlled.

There is no particular format is promoted as being the best, as each organization is unique, however the two main methods are flow diagrams or text based procedures.

Irrespective of whether it is text based or flow charts, the main heading of the procedure should not change. These headings are:

FRAMEWORK

Each Procedure must have a document number and revision number and date.

Purpose: this is a concise description of the intent of the procedure

Scope: this defines the parameters within which the procedural activities are confined

References: this section lists other documents, which may be read in conjunction with the procedure to enhance its effectiveness

Definitions: unusual or confusing terminology as well as abbreviations

Procedure/Activity/Method: the actual activities, responsibilities for their performance, the frequency and how the activities are performed

Records: any forms that should be completed, where they are kept and retention periods

Attachments/appendices/annexes: sample forms may be attached, preferably completed examples

TYPE AND CONTENT OF PROCEDURES

The type and content of the procedures as defined by the TETA ETQA Accreditation criteria are as follows:

- Learning Programme Development and Provisioning In the outcomes based Education, Training and Development (ETD) environment it is expected that courses will be developed in conformance with industry needs. In the current environment these may be expressed through:
- Workplace and Sector Skills Plans
 - Recognised procedures & practice,
 - Skills needs analyses,
 - Unit standards,

As well as by standards and qualifications registered on the National Qualifications Framework (NQF).

The goal is to have each programme course developed into a complete plan for instruction with measurable objectives geared toward helping the individual master a set of specific, relevant competencies that are based on the current and future requirements of the workplace and registered unit standards.

In recognising the variety of learners' learning styles, as well as the variety of instructional styles with in the instructional process, TETA ETQA supports competency-based instruction utilising current technology both in the traditional classroom based setting and in independent self-paced study.

Providers must demonstrate their ability to obtain, develop, deliver and evaluate learning programmes, which include learning material and assessment guides, which culminate in specified registered standards or qualifications. This material must be evaluated by a Subject Matter Expert and recommended by the TETA ETQA Standing Committee in order to assess whether it meets industry and learner requirements.

Since the instructional process revolves around the individual learner, the provider provides appropriate services to support learners during the vocational education and training process, as this is essential for their success. Additional counselling should be available to identify and serve the needs of the traditional, non-traditional and special needs of learners throughout their learning period.

- Learner Entry Guidance and Support Each learner should be put through a comprehensive induction programme. The induction programme should detail the aspects that the instructor needs to address, such as the evacuation procedures, the details of the Learnership (if applicable) as well as the appeals procedure.

This must link to motivation for reporting requirements: learner information is used to design programmes, courses, materials, learner support, and guidance services that are flexible and learner-centred.

In respect of ensuring a quality experience for all learners, learners' special needs need to be considered in the design of course and learning support materials, assessment arrangements and communication with teachers, tutors, lecturers, educators or trainers. Learners with special needs also need to be taken into account in the design of the institution which should be relevant to the form of delivery of learning programmes.

Learner guidance is a form of learner support that should be available at a minimum of three points in the learning process unless the learning programme dictates otherwise. Learners need to have access to reliable advice and information before they enrol in a particular programme; during the period they are engaged in the learning programme and when they complete the programme. Considerations of age, race, gender and language should be made in order to render this service as accessible as possible.

- Finance In respect of adequate financial resources, the provider will be required to demonstrate that they have the necessary financial resources to sustain the learning services throughout the period of accreditation. In addition, the provider should demonstrate that proper budgetary and financial management processes are in place including the allocation of resources adequate to the requirements for providing and developing quality learning services. An important element of this criterion would be the evaluation of the financial policies and procedures in respect of the goals and mission of the provider as well as the relationship of the financial system to the attainment of the provider's goals and objectives.
- Administration. A key feature of the administrative resource requirements would be the database of learner information and learner records. Policies and procedures for the accurate capturing, maintenance and regular updating of learner information and records will be required and monitored. Other details such as access control and verification procedures need to be documented.
 - Management of Documentation: a major aspect of administration in terms of the TETA ETQA requirements is that of document control: Identification, storage, protection, retrieval, retention, times and disposal times.
- Physical Resource Facilities, equipment and learning materials must support the learning process and must be appropriate to the learning services that are provided. Suitable policies and procedures for the management, maintenance and upgrading of facilities, resources and materials, are required. Staff and learners must be trained in the use of the materials, equipment and facilities as well as providers communication and information systems.
- Human Resources Each provider employee is a valuable resource to the organisation. The provider will work with all employees to enable them to meet the pre-established requirements for their jobs. Employees at all levels will be provided the opportunity to interact with each other in such a way that mutual respect for one another and for the organisation is achieved.

The provider ensures a quality work environment, which is supportive of people doing their jobs right the first time in meeting the vocational education and training of their customers, the TETA ETQA. The organisational climate fosters an attitude of respect for one another and provides opportunities to maximise every employee's potential. Such an environment is safe, clean, technologically current, comfortable and attractive for vocational education and training administrative functions. To add to the improvement of the services offered by the provider all the employee need to be appraised on a regular basis and this

should be linked to individual development plans, which address capacity building needs.

The provider employees are expected to display behaviour that creates a positive attitude, enthusiasm, loyalty and a commitment to the goals, the objectives and the mission of the institution. Employee commitment, dedication and hard work will, in turn, enable the provider to meet its goals, objectives and mission.

- Management of Assessment. The education and training system is one in which learning attainment is based on achievement through appropriate assessment of learning outcomes specified in *NQF* registered standards and qualifications. Assessment can thus be defined as a measurement of the achievement of the learning outcome/s as per the unit standards.

The following elements, amongst others, need to be taken into account in designing, implementing and maintaining the assessment system:

- the assessment strategies must be in keeping with the aims and outcomes of the learning programme or course and as these relate to the outcomes specified in the standard or qualification.
- a range of parties is involved in the assessment of learners. This can be designed appropriate to context and outcome and can include self-, peer and other forms of group assessment.
- Moderators for assessment and even assessment monitors can be included in this grouping.
- Assessment information, including learning outcomes, assessment criteria as well as assessment procedures and dates, should be provided to all learners and assessors.
- Records of assessments must be kept and learners must receive detailed and accurate feedback on their progress and performance.
- The processes and results of assessment must fulfil the requirements of the *NQF* standards and qualifications for which the provider has been accredited and must meet the requirements of the ETQA.
-
- Management of On Job Training In respect of components of learning delivery, which do not happen under the direct management of the provider, it is expected that the provider should give Evidence Guidelines of how they will assure the quality of the “practical” or “experiential” element of the learning programme.

Mechanisms for ensuring valid “off-site” learning experiences and for safeguarding the rights of learners in this process will be required. As part of the system for practical or experiential learning, the provider will need to give Evidence Guidelines for managing assessment across sites and for the maintenance of learner information.

- Internal Auditing. An audit is defined as “a systematic, independent and documented process for obtaining evidence and evaluating it objectively to determine the extent to which audit criteria are fulfilled”. The audit will determine that an organizations activities: conform to specified policies and objectives; conform to requirements of the TETA ETQA Accreditation Criteria; do

not contravene any statutory regulations and fulfils the requirements of specified Codes of Practice.

- Management Review: Auditing is a management tool, which is useful in directing or managing an organization, or parts thereof, in a more effective manner.
- Certification Procedure: The provider will certify learners. Proof of the type of certificate to be issued to learners need to be maintained, recorded and stored according to the certification procedure.
- Occupational Health and Safety The Constituent Provider shall ensure that it brings about and maintains, as far as reasonably practicable, a work/learning environment that is safe and without risk to the health of the learners as per the Occupational Health and Safety Act.

3. SUPPORT MATERIAL MANUAL/SECTION

The Support Material Section includes forms, templates and report that are or will be used by the provider in the day today implementation of its QMS. This section is cross-referenced with the Policy and Procedure Manual.

All official master documentation will be kept in this Manual, and will include documents such as :

- Management Review Report Forms
- Training Report Forms
- Training Records Formats
- Data Collection forms
- Amendment Record Sheet
- Quality Documents Distribution Forms
- Learner feedback forms
- Customer Satisfaction Surveys
- Logbooks for on-job Training
- Induction Template and Brochures
- Assessment Guide Template

ACCREDITATION PROCESS.

Step 1

Obtain necessary documents from The TETA ETQA, which includes the following:

- ❖ Application Form
- ❖ Accreditation Guideline and Process (This document)
- ❖ Self Assessment Form
- ❖ Assessor Registration Criteria Document
- ❖ Assessor Registration Application form

Step 2

Applicants complete the application form/s and the self-assessment form and submit it to the TETA ETQA together with other relevant documentation as specified on page 8 of this document. The self-assessment will enable the applicant to test their application for potential success before time, effort and expenses of the actual process is embarked upon. It is therefore essential that all sections of the self-assessment be completed honestly and thoroughly.

Step 3

After sufficient time has been allowed for the ETQA Staff to review both the application and self-assessment form submitted, the documents will either be returned for supplementation/alterations or an appointment will be made with the Applicant.

Step 4

Accreditation Committee visits Applicant to evaluate Learning System to verify conformance to Accreditation Criteria.

Step 5

The outcomes of the site visit will be one of the following:

- ❖ **Full Accreditation.**
This will be granted if the Applicant complies fully with the Accreditation Requirements.
- ❖ **Provisional Accreditation**
Provisional Accreditation may be granted to a provider who does not fully meet the requirements, subject to the implementation of the necessary corrective actions based on a mutually agreed action plan in line with the timeframes as in 4.2 above.
- ❖ **TETA ETQA has the right to reject any applications for accreditation with costs if:**

The provider applying for accreditation does not meet the requirements for accreditation and has no intention to implement the required corrective actions.

Step 6

Providers approved for Provisional Accreditation will be notified in writing together with a list of non-conformances to be addressed. An action plan will be agreed on between the provider and TETA ETQA to meet outstanding requirements. Monitoring visits will take place to monitor progress with agreed action plan.

Providers approved for Full Accreditation will be notified in writing and issued with an Accreditation Certificate as per the TETA ETQA Certification Procedure.

Monitoring and Auditing

Regular auditing of provider will take place to ensure that the required level of quality is being maintained and improved upon.