



TRANSPORT AND EDUCATION TRAINING AUTHORITY

DESKTOP MONITORING / AUDIT TEMPLATE

Document Title	Desktop Monitoring/ Audit Template	Procedure and Rev No:	ETQAWD008
Department	ETQA	Effective date	02.02.09

REGULATIONS THAT GOVERN MONITORING OF ACCREDITED PROVIDERS

In terms of the ETQA bodies Regulation NR1127 Chapter 2 Education and Training Quality Assurance Bodies under the heading Accreditation section 2(1) States: "Education and training Quality Assurance Bodies shall be accredited in each sector by the authority for the purpose of 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 shall be assigned in terms of section 5(1)(b)(i) of the Act".

In accordance to the SAQA Regulations, ETQA's must :

1. accredit providers for specific standards or qualifications
2. Promote quality amongst providers
3. **Monitor provision by constituent providers**
4. Evaluate assessments and facilities moderation amongst providers
5. Register Assessors
6. Take responsibility for the certification of learners
7. Cooperate with the relevant body or bodies appointed to moderate across ETQA's
8. Recommend new standards or qualifications to the National Standards Bodies for accreditation
9. Maintain a database acceptable to the Authority
10. Submit reports to the authority
11. Perform such other functions assigned to it by the authority

The TETA ETQA is required by SAQA to fulfil certain obligations as highlighted above –one of these is to monitor constituent providers in the TETA Sector (see point 3 above) .



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ACCREDITED PROVIDER DETAILS				
Registered Trading Name		Trading as Name		
Ck Registration number				
TETA Accreditation Number				
Accreditation Date	YYYY / MM / DD		YYYY / MM / DD	
CATEGORY				
Micro	Small	Medium	Large	Bigger

Contact Person									
Title		First Names				Surname			
Physical Address					Postal Address				
City					City				
Post Code		Phone	Code	Number	Post Code		Fax	Code	Number
E- mail		Fax	Code	Number	Cell			Code	Number



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Document Title	Desktop Monitoring/ Audit Template	Procedure and Rev No:	ETQAWD008			
Department	ETQA	Effective date	02.02.09			
SCOPE OF TRAINING						
For which unit standards has the provider been accredited for: List		U/S		U/S		
U/S		U/S		U/S		
U/S		U/S		U/S		
Has the provider's scope changed?					YES	NO
If yes please include the additional unit standards below:						
U/S		U/S		U/S		
U/S		U/S		U/S		
EXTENSION OF SCOPE: OTHER ETQA						
Has the provider extended their scope with another ETQA? Please indicate which SETA ETQA.		ETQA		ETQA		
For which unit standards has the provider been accredited for: List		U/S		U/S		
U/S		U/S		U/S		
U/S		U/S		U/S		



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Document Title	Desktop Monitoring/ Audit Template	Procedure and Rev No:	ETQAWD008
Department	ETQA	Effective date	02.02.09

PART 1 - ITEMS 1-7



TRANSPORT AND EDUCATION TRAINING AUTHORITY

DESKTOP MONITORING / AUDIT TEMPLATE

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Department	ETQA	Effective date	02.02.09

1. QUALITY MANAGEMENT SYSTEM			
Does the provider have the following in place?	Yes	No	Evidence / comments/ If no, indicate plan to close gaps
QMS Policies			
Standard operating Procedures			
Vision and Mission statements			
Quality Manual			
Clearly defined quality objectives			
Evidence that staff have been trained			
Review of QMS from input by staff, employers, clients, learners			
Minutes of meetings where QMS was discussed			
Internal customers are satisfied with provider products and services			
Learner Satisfaction Surveys			
External customers are satisfied with provider products and services			
Employer Satisfaction Surveys			



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2. STAFF SELECTION, APPRAISAL AND DEVELOPMENT

Does the provider have the following in place?	Yes	No	Evidence / comments/ If no, indicate plan to close gaps
A policy and procedure			
Staff selection criteria and evidence that is used?			
Staff appraisal template			
Completed staff appraisal form			
Performance appraisal schedule for the year?			
Proof of staff development i.e. ATR, WSP			



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3. FINANCIAL AND PHYSICAL RESOURCES

Does the provider have the following in place?	Yes	No	Evidence / comments/ If no, indicate plan to close gaps
Registration as a legal entity			
Company is tax compliant (Tax clearance certificate from SARS)			
Company is financially sound Audited financial statements OR Letter indicating that organisation is solvent and complies with generally accepted accounting practices			
Ownership of or access to the resources and facilities required for provision List of facilities and resources required for provision Evidence of facilities owned/used and resources owned/used (i.e. the actual facilities and resources themselves or agreements with other parties for use of these)			



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4. MANAGEMENT OF ASSESSMENT			
Does the provider have the following in place?	Yes	No	Evidence / comments/ If no, indicate plan to close gaps
Does the training provider adheres to ALL principles of assessments (VARCS Principles)			
Is there sufficient constituent assessors to match the provider scope of accreditation (proof of assessor registration)			
Learner results are submitted promptly to learners a (Learner record database)			
Learner results are securely stored and remain confidential (Storage facilities for materials and records)			
The assessments address both theoretical and practical components of the learning programme			
Assessment methods and instruments/tools clearly defined			
Availability of original learner Portfolio of Evidence (PoEs)			
Document outlining steps to be followed in appeals process			



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DESKTOP MONITORING / AUDIT TEMPLATE

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Outline of assessment plan including: When learners will be assessed How learners will be assessed What assessment methods will be used			
Outline of moderation procedures			
Is there availability of permanent or contracted constituent internal moderators? (proof of registration)			
Does the training provider conduct internal moderations of assessments? (Internal Mod reports)			
Consolidated reports exist on the success rate of assessments			
Problems are identified and rectified in the assessment process.			
MIS Uploads is done on a regular basis.			
Quarterly reports are communicated to the SETA on a regular basis			



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DESKTOP MONITORING / AUDIT TEMPLATE

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5. LEARNER ENTRY, GUIDANCE AND DEVELOPMENT

Does the provider have the following in place?	Yes	No	Evidence / comments/ If no, indicate plan to close gaps
Learner records are kept			
Names and details of contact person/people responsible for learner support are provided			
RPL procedure for learner entry			
Career path mapped and defined to learners			
Prospectus provided together with costs involved			
There is a policy in place which permits the repetition of courses for a limited number of times at no additional cost			



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Document Title	Desktop Monitoring/ Audit Template	Procedure and Rev No:	ETQAWD008
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6. ADMINISTRATION			
Does the provider have the following in place?	Yes	No	Evidence / comments/ If no, indicate plan to close gaps
Attendance registers are maintained and include; names, contact details, dates, course type, signatures of learners			
Training schedule exists where courses are pre planned with proper structure and time allocation			
Control documents for the booking in and out of learner portfolios			
Certificate register with serial numbers and signature of acknowledgement of receipt			
7. PROGRAMME DELIVERY AND DESIGN			
Does the provider have the following in place?	Yes	No	Evidence / comments/ If no, indicate plan to close gaps
Approval letter from the SETA for each learning programme presented			
Learner /facilitator and assessor feedback is used to update the training material.			



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DESKTOP MONITORING / AUDIT TEMPLATE

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There is policies and procedures in place for the design of the training material			

DECLARATION:

I hereby declare that the information provided is correct and true, and I am authorised to submit this monitoring/ audit tool on behalf of
 (Company Name)

FULL NAME

SIGNATURE

CAPACITY

DATE



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DESKTOP MONITORING / AUDIT TEMPLATE

Document Title	Desktop Monitoring/ Audit Template	Procedure and Rev No:	ETQAWD008
Department	ETQA	Effective date	02.02.09

PART 2 - ITEMS 8-13



TRANSPORT AND EDUCATION TRAINING AUTHORITY

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8. Off Site Management			
Does the provider have the following in place?	Yes	No	Evidence / comments/ If no, indicate plan to close gaps
Learners are able to implement the training received in the work environment.			
Logbooks identifying different tasks			
Proof of support and management of on job training. (Where applicable)? (course reports, assessment reports, etc			
9. Internal QMS Auditing			
Does the provider have the following in place?	Yes	No	Evidence / comments/ If no, indicate plan to close gaps
Audit Plan / Schedule available?			
Internal QMS audits conducted? (availability of audit report)			
Outputs Documented- Reporting (Non Compliance Reports; Corrective Reports etc)			
10. Management Review			



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Does the provider have the following in place?	Yes	No	Evidence / comments/ If no, indicate plan to close gaps
Plan / Schedule available?			
Outputs Documented – Reporting (Minutes, QMS updated, etc)?			

11. Customer Service			
Does the provider have the following in place?	Yes	No	Evidence / comments/ If no, indicate plan to close gaps
The provider has standard templates /tools and procedures for the collection of learner satisfaction feedback.			
Learner satisfaction surveys are compulsory			
The information from the consolidated reports are being utilised in the review of the organisational policies, processes and procedures			
12.. Certification			
Does the provider have the following in place?	Yes	No	Evidence / comments/ If no, indicate plan to close gaps



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Documented Policies & Procedures available? (central record)			
Template available?			
Security measures available to prevent fraud and illegal issuing?			
Certificates Copies kept			

13.. Occupational Health Safety			
Does the provider have the following in place?	Yes	No	Evidence / comments/ If no, indicate plan to close gaps
OHS Procedures available/ displayed?			
OHS committee minutes/ tasks allocated?			
Safety signs visible?			
Emergency exits designated?			
First aid kits available?			
Fire extinguishers available?			
Emergency evacuation plan displayed?			
Safety representative appointed?			



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