



**TRANSPORT AND EDUCATION TRAINING AUTHORITY**

**Self Assessment Form - Accreditation**

Document Title	Self Assessment Form	Document and Rev No:	ETQAWD003-1
Department	ETQA	Effective date	1 July 2008
Approved		1 <sup>st</sup> Issue Date	November 2003

**NAME OF PROVIDER:**

**DATE SUBMITTED:**


**For Office Use**

**RECEIVED BY:**

\_\_\_\_\_

**DATE RECEIVED:**

\_\_\_\_\_

	<b>TRANSPORT AND EDUCATION TRAINING AUTHORITY</b> <b>SELF ASSESSMENT FORM</b>			
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**Criteria and Self Assessment Form for Provider QMS Document**

**NOTE:** For consideration of application, this questionnaire must be completed fully.

**A. APPLICATION FOR:**  
 (if not sufficient space, please add additional lines/ page/s in the same format)

SAQA ID NUMBER	UNIT STANDARD TITLE



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**B. SELF ASSESSMENT:**

Conforming Requirements	Evidence Guidelines	Y	N	Comments
<b>1. Strategic and Operational Plan</b>	1.1 Business Plan			
	➤ Mission & Vision			
	➤ Strategic Goals & objectives			
	➤ Organogram			
	➤ Defined Responsibilities			
	➤ Training Budget			
<b>2. QMS Policy Section</b>	2.1 Quality policy Statement			
	2.2 Quality Management Representative appointed			
<b>3. Learning Programme Development and Provisioning Procedure</b>	<b><u>3.1. Development procedures for:</u></b>			
	a. Methodology for the Design and Development of Learning Material			
	b. Approval / submission of Learning Programme/Material to ETQA			
	c. Contractual Agreements of purchased material			
	d. Availability of:			



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Conforming Requirements	Evidence Guidelines	Y	N	Comments
	<ul style="list-style-type: none"> <li>➤ Facilitator guides</li> <li>➤ Learner guides</li> <li>➤ Assessment guides</li> </ul>			
	<p><b><u>3.2.Provisioning procedures for:</u></b></p> <p>a. Ability of ETD Practitioners/ Facilitators to train against relevant unit standards /qualifications</p>			
	b. Facilitator Code of Conduct			
	c. Learner/Facilitator Ratio/s			
	<p><b><u>3.3 Revision of Learning Material</u></b></p> <p>a. Process to review and effect changes to Learning Programme/ Material as and when required</p> <p>b. Re-alignment plan in terms of qualification/unit standard lifespan</p>			
<b>4. Learning Entry, Guidance and Support Procedure</b>	<b><u>4.1 Learner Induction:</u></b>			
	a. Organisation			
	b. Facilities			
	c. Fees structure (if applicable)			
	d. Learning structure			



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	<ul style="list-style-type: none"> <li>➤ Theory</li> <li>➤ Practical</li> <li>➤ On-job-training</li> </ul>			
	e. Registration process			
	f. Emergency Evacuation			
	g. Procedures in learning areas			
	h. Communication channels			
	<b>4.2 Guidance:</b>			
	a. Career Guidance			
	b. Appeals Processes			
	c. Pre-Assessment of Learners			
	d. Identify Learners with Learning Difficulties			
	<b>4.3 Support:</b>			
	a. Clearly outlining outcomes of Training			
	b. Support learners with difficulties			
	c. Support/Counselling system			
	d. Learners satisfaction survey			
<b>5. Management of On-Job Training</b>	<b>5.1 Procedure to include:</b> <ul style="list-style-type: none"> <li>a. Guidance of Learners towards on-job training (induction)</li> </ul>			



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	5.2. Support of Learners during learning (practical)			
	5.3 Ensure that Coaches and Mentors are available on-job			
	5.4 Management of Workplace Assessment			
	5.5 Liaison between On-job Training and Place of Learning			
	5.6 Logbook System			
	5.7 Structure of on-job learning			
	5.8 Work Place Assessors			
	Workplace Assessors registered			
<b>6. Management of Assessment</b>	<b>6.1 Registration:</b>			
	a. Do you have existing registered assessors?			
	b. Do you have existing registered moderators			
	<b>6.2 Procedure to include:</b>			
	a. Principles of Assessment			
	b. Planning Process, including Learner readiness and preparation of learners for Assessment			
	c. Conduct the Assessment			
	d. Feedback to the Learner			



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	e. Controlling of assessment tools/results			
	<b>6.4 Internal Moderation:</b>			
	a. Planning Process for Internal Moderation			
	b. Design of Assessment tool and instrument			
	c. Verification of Assessment Outcomes			
	d. Conducting Internal Moderation			
	e. Compilation of Internal Moderation Reports			
	f. Liaison with External Moderators			
	<b>6.5 Appeals:</b> Appeal Process for Assessments (refer to 4.2.c)			
<b>7. Physical Resources</b>	7.1 Appropriate facilities and equipment for the Learning Programme/s			
	7. 2 Compatibility of Learning tools/equipment to Industry			



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	7.3 Contractual agreements (where facilities and equipment are rented)			
	7.4 Maintenance Procedures/ Schedules/ Agreements			
	7.5 Financial provisioning for improvements and maintenance			
<b>8. Certification</b>	8.1 Procedure			
	8.2 Access control			
	8.3 Template of certificate			
	8.4 Permission to use logos			
	8.5 Measures to monitor and control fraudulent and duplicate certificates			
<b>9. Financial Procedures</b>	9.1 Auditors/annual financial report or equivalent record			
	<b>9.2 Procedures for:</b>			
	a. Invoicing			
	b. Payments			
	e. Delegated Responsibility for Book-keeping			



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	<b>9.3 Procedure:</b>			
	a. Capturing			
	b. Maintenance			
	c. Updating			
	f. Access control (security)			
	g. Verification processes			
<b>10. Admin + Management of documents and records Procedure</b>	<b>10.1 Procedure for:</b>			
	a. Capturing			
	b. Maintenance			
	c. Updating			
	d. Access control (security)			
	e. Verification processes			
	f. Identification, storage, protection, retrieval, retention periods and disposition/disposal procedure			
	<b>10.2 NLRD Compliance</b>			
<b>11. HR Procedures</b>	11.1 Sufficient Personnel to perform training duties			
	11.2. Individual Development Plan for Staff (Training)			



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	<b>11.3 HR Procedures:</b>			
	a. Selection			
	b. Recruitment			
	c. Promotion			
	d. Termination			
	e. Training and Development			
	11.4 Performance Appraisal System			
<b>12. Quality Auditing and Management review</b>	<b>11.5 Management of Contracted Staff</b>			
	a. Competencies			
	b. Agreements/Contracts			
	<b>12.1 <u>Audit procedure to include:</u></b>			
	a. Bi-annual audit in relation to provider accreditation action plan			
b. Responsibilities of Planning and Conducting Audits				
c. Reporting				
d. Identification of Non-Conformances				
e. Corrective Action-Implementation				



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	f. Preventive Action-Implementation			
	g. Follow-up activities of the Planned and Scheduled Audits.			
	<b>12.1.1 <u>How the Organisation Deals with Non – Conformances?</u></b>			
	a. Reviewing of non-conformances			
	b. Action to ensure that non-conformances do not reoccur			
	c. Implementation of Corrective Action taken			
	d. Review of the Corrective Action taken			
	12.3 Follow-up activities of the Planned and Scheduled Audits.			
	<b>12.2 Management review:</b>			
	a. Planning of management review meetings/ at least per annum.			
	b. Review inputs			
	1) Results of Audits			
	2) Customer feedback			
	3) Status of corrective			



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	actions and preventive actions			
	4) Follow up action from previous review meeting			
	5) Recommendation for improvements			
	c. Review Outputs			
	1) Improvements to QMS			
	2) Minutes of review meetings			
<b>13. Marketing</b>	13.1 Marketing Plan / Strategy			
	13.2 Resources available			
	13.3 Implementation of marketing plan			



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<b>14. Customer Services</b>	<b>14.1 <u>Customer satisfaction survey:</u></b>			
	a. Learner			
	b. Provider			
	c. Customer			
	14.2 Grievances/ customer complaints			
	14.3 Process/ Procedure to address grievance and customer complaints			
<b>15. Occupational Health and Safety</b>	15.1 Procedures			
	15.2 Report on OHS Compliance			
	15.3 Safety Representative appointed?			
	15.4 Appropriate emergency signs + evacuation plans visible			



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**C. DECLARATION:**

**I certify that the above information is correct:**

**Name:**

**Position:**

**Signature:**

**Date:**