

3 STAR Grading System	Doc Nr	3S – G 002
GUIDELINE TO MEMBERS FOR THE EVALUATION OF WSP/ATR AUDITS	Rev Status	2 nd Issue
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This document serves as a guideline to members for the preparation of an evidence file for the WSP/ATR Audit

Please bear the following in mind when preparing for the audit:

1. You should compile a new file with COPIES of all documentation – THE AUDITOR WILL TAKE THIS FILE AWAY AFTER THE AUDIT AND SUBMIT IT TO SERVICES SETA.
2. The file that you prepare for the audit should contain ALL the items listed in the table below – the auditor will not be allowed to accept any further information after the day of the audit.
3. Please number the evidence according to the numbers given in the table below.
4. Once the auditor has started conducting the audit, he/ she will not be allowed to come back to continue the audit on subsequent days – if you are not prepared on the agreed date, the auditor will audit your company according to the incomplete information.
5. If you are found “not compliant”, your company can only be audited again for the next skills period – it is therefore imperative that you prepare properly.
6. The WSP and ATR do not represent evidence in and of themselves – ALL information contained in them must be substantiated by FURTHER evidence (if you include everything contained in the list below, there will be no problem).
7. The process that the auditor will follow on the day of the audit is as follows:
 - a. Interview the SDF, a beneficiary (Training, RPL, Assessment, CPD) and a skills development committee member
 - b. Take the WSP and ATR from the file
 - c. Look for the evidence that corresponds with the particular information contained in the WSP and the ATR
 - d. Check whether the evidence substantiates what is contained in the WSP and the ATR
 - i. NB: In many instances the information doesn't correspond – e.g. current employment profile in the WSP doesn't correspond with the MIS printout (probably because the evidence was drawn for a different date than the information contained in the WSP). Ensure, therefore, that your evidence does in fact show that the WSP or ATR information is correct.
 - e. Record the evidence, as well as record any discrepancies (no information available, or information that doesn't correspond)
 - f. Compile an audit report with findings and recommendations
8. Subsequent to the audit, all documentation is submitted to the lead auditor, who verifies the audit report and adds any appropriate comments.
9. The Services SETA will communicate the findings and recommendations of the auditor and the lead auditor to you shortly after completion of the lead auditing process.

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Approved by: 3 STAR Co-ordinator	Signature:	Date:

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10. Withholding information from the auditor will result in non-payment of grant from SSETA

Section 0: Qualitative measures

Quality Assurance Item
1) SSETA Star 1 application form
2) Evidence of Communication to Staff requesting Training Committee nominations
3) Record of Training Committee members and selection of members
4) Training committee meeting schedule
5) Evidence of Communication of training committee meeting schedule to committee members
6) Training Committee Meeting attendance registers and minutes signed by chairperson
7) Constitution/Policies and Guideline of training committee
8) Evidence of communication of minutes to committee members
9) Evidence of how training of skills needs where determined (skills audits or otherwise)
10) Evidence that the NSDS was incorporated in to the training objectives
11) Evidence that the training committee supports the principles of the Employment Equity Act

Section A1: Company details:

Quality Assurance Item
12) WSP 2004-2005
13) ATR 2004-2005
14) Letterhead or business card
15) MIS printout substantiating number of employees for WSP and ATR (Financial year preceding WSP submission)

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16) MIS printout substantiating annual payroll for WSP and ATR (Financial year preceding WSP submission)

17) Copies of SARS receipts for April 2004 – March 2005

Section A2: Banking details

Quality Assurance Item

18) Copy of latest bank statement (without balance and transactions) or letter from bank confirming details

Section A3: SDF¹

Quality Assurance Item

19) Copy of SDF's Identity Document

20) CEO letter of appointment of SDF

21) Evidence that committee has signed off on the appointment of the SDF

Section B1: Employee Profile

Quality Assurance Item

22) MIS printout that includes name, surname, ID number, race, gender, disability status and occupation of full staff complement

Section B2A: Planned Recognition of Prior Learning

Quality Assurance Item

23) RPL policy or other evidence that the company is working towards implementing RPL

24) Communications to staff members regarding RPL

25) Evidence of the availability of RPL to all possible candidates

26) List of beneficiaries as indicated in ATR – first name, surname, ID number, race, gender, disability status, occupation and area of RPL

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27) Proof of assessor registration of people who performed RPL assessment

Section B2B: Planned training activity

Quality Assurance Item
28) Training policy
29) Training plan
30) Evidence of accreditation of training providers
31) Evidence of registration of assessors
32) List of beneficiaries - first name, surname, ID number, race, gender, disability status, occupation and area of training

Section B2C: Planned Assessment activity

Quality Assurance Item
33) Assessment Policy
34) List of beneficiaries as indicated in the ATR - first name, surname, ID number, race, gender, disability status, occupation and area of assessment
35) Evidence that assessors have been registered to perform assessment
36) Sample copies of unit standards that were assessed

Section B2D: Planned Certification activity

Quality Assurance Item
37) Certification Policy
38) List of beneficiaries as indicated in the ATR - first name, surname, ID number, race, gender, disability status, occupation and area of Certification
39) Evidence that certification partners have been registered to perform certification

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40) Evidence that the certification information has been forwarded to the SETA

Section B2E: Planned Continuous Professional Development (CPD) activity

Quality Assurance Item
41) CPD Policy
42) List of beneficiaries as indicated in the ATR - first name, surname, ID number, race, gender, disability status, occupation and area of CPD

Section B3: Employment Equity Profile

Quality Assurance Item
43) Latest Employment Equity Report that was submitted to DoL
44) Evidence of consultation in the formation of the plan
45) Evidence that the Employment Equity Report was submitted to DOL
46) MIS printout indicating employment dates of new recruits that received any form of training intervention including first name, surname, ID number, race, gender, disability status, occupation and area of training

Section C: Annual Skills Priorities

Quality Assurance Item
47) Evidence of a consultative process in the formulation of the priorities (minutes and attendance register of meeting)
48) In the event of WSP/ATR not corresponding with reference to the set priorities , please supply a documented explanation of the differences

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