



QUALITY ASSURANCE CHECKLIST FOR THE EVALUATION OF MEMBERS

Quality assurance item	Was evidence available?		Evidence gathered	Evidence reference number
	YES	NO		

1) Organisation Name				
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SECTION 0: QUALITATIVE MEASURES

1) EVIDENCE OF CONSULTATION PROCESS: (Show evidence of the following and determine if a consultative process was followed)	YES	NO		
2) Is there a Training Committee in place ¹	YES	NO		
3) How was the Training committee formed? - Evidence of communication to staff requesting nominations - Record of nominations & selection of members for finalisation of the committee	YES	NO		
4) Regular Meetings of Training Committee - Meeting Schedule of Training Committee - Evidence of communication of this schedule to committee - Attendance Registers	YES	NO		
5) Did the management team and the training committee of the company (forum) jointly determine the Skills Development Priorities that will be addressed?	YES	NO		

¹ Companies employing more than 50 people are required to have established a formal training committee, incorporating equal representatives from management and labour.

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	YES	NO		
<p>6) Constitution/ Policies and Guideline of Training Committee must include:</p> <ul style="list-style-type: none"> - Roles and responsibilities - Terms of office - Objectives - Dispute Resolutions (may refer to company's general dispute resolution policy) 	YES	NO		
<p>7) Meetings</p> <ul style="list-style-type: none"> - Minutes of meetings must be dated and signed by chairperson - Evidence of communication to committee - Are meetings valid i.e. do they only take place with a Quorum present? 	YES	NO		
<p>8) Representation</p> <ul style="list-style-type: none"> - How representative is the committee in terms of employer, employee and union representation, race and gender in relation to staff profile. 	YES	NO		
<p>9) Training</p> <ul style="list-style-type: none"> - How were the skills needs determined (was there a skills audit or did they use another method – evidence of one on one consultation, or skills audit questionnaire) 	YES	NO		
<p>10) Was the NSDS incorporated into the objectives of the Training Committee</p> <ul style="list-style-type: none"> - Did the company have access to the PESTEL (Political, Economical, Social, Technological, Environmental, Legislative) influences exercise conducted by the SETA. 	YES	NO		
<p>11) Does the training committee support the principles of the employment equity act?</p>	YES	NO		
<p>12) Was the Committee Trained?</p> <ul style="list-style-type: none"> - Attendance Registers - Minutes of forums 	YES	NO		

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Section A1: Company details: (NON NEGOTIABLE ITEM)

Quality assurance item	Was evidence available?		Evidence gathered	Evidence reference number
	YES	NO		
1) Period for which WSP is submitted <i>((The WSP for any period being audited must be accompanied by an ATR for that period which is only due in the year following the WSP submission))</i> EG: in April of 2005 the WSP for 2004 to 2005 cannot be used as the ATR is only due for submission in July 2005.	YES	NO		
2) SARS Registration (SDL Number) (Copies of SARS receipts must be supplied to verify levies are being paid) Remittance Advises are not acceptable.	YES	NO		
3) Organization Name (refer bank statement)	YES	NO		
4) Trading As (refer bank statement)	YES	NO		
5) Postal & Physical Address, Telephone and Fax Numbers e.g. Letterhead or business card	YES	NO		
6) Company annual pay-roll (Must be verified against SARS receipts to determine that the levies being paid are correct – 1% of payroll) - What is the annual payroll of the company? (Information from the company MIS, could be submitted)	YES	NO		
7) Total no. of employees for whom SDL levies are paid Can the number of employees be substantiated? (Information from the company MIS, could be submitted)	YES	NO		

Section A2 : Banking details

Quality assurance item	Was evidence available?		Evidence gathered	Evidence reference number
	YES	NO		
1) Copy of latest bank statement excluding transactions and balance (this will assist to validate the current banking account used) <ul style="list-style-type: none"> • Name of Bank • Name of Branch • Branch Code • Name of Bank account • Type of Account • Account Number Is the account still valid and active? (Can it be substantiated?)	YES	NO		

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Section A3 : SDF² (This section pertaining to the SDF, is how it is required by the WSP)

Quality assurance item	Was evidence available?		Evidence gathered	Evidence reference number
	YES	NO		
1) SDF Identity Number <ul style="list-style-type: none"> • Is a copy of the ID of the SDF available? (This is to substantiate that the SDFs listed actually exist) 	YES	NO		

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2) Duration of functioning as SDF <ul style="list-style-type: none"> • Is the letter of the CEO available, where he/she nominated the SDF? • Is the person who made the nomination, a member, bargaining council or employee of the company? (Has the person or entity had the right to have made the nomination? – mandated) • Has the committee signed-off on the appointment of the SDF? For companies with less than 50 employees, is there proof of a consultative process in the appointment of the SDF. 	YES	NO		
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Section B1: Employee Profile

Quality assurance item	Was evidence available?		Evidence gathered	Evidence reference number
	YES	NO		
1) Was a list of all employees supplied containing the following per employee: <ul style="list-style-type: none"> ▪ Name/Surname ▪ ID number ▪ Job title of employee ▪ Race and gender ▪ Disability status ▪ Occupational Category <ul style="list-style-type: none"> • Substantiate/Confirm if this is the employee profile of permanent or temporary employees • Establish/verify if the job titles were correctly allocated to the different categories? 	YES	NO		

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Section B2A : Planned Recognition of Prior Learning

Quality assurance item	Was evidence available?		Evidence gathered	Evidence reference number
	YES	NO		
1) Does the company have an RPL policy?	YES	NO		
2) If no policy is available, does the company show intent or commitment to the RPL process (evidence?)	YES	NO		
3) Is Information about RPL services and programmes Available to all employees ³ ?	YES	NO		
4) Is RPL actively promoted to prospective candidates?	YES	NO		
5) Are admissions procedures and systems user friendly and inclusive of learners with diverse cultural, ethnic, linguistic and educational backgrounds and indigenous knowledge.	YES	NO		
6) Is there equal access to opportunities for advice, support, time and resources for all RPL candidates?	YES	NO		
7) Is access to quality advising and assessment opportunities in the workplace possible?	YES	NO		

³ **Source:** RPL draft policy document

<p>8) Was all the information that was required to substantiate the profile in the ATR, supplied?</p> <p>a) Was a list with beneficiary's full particulars supplied in terms of?</p> <ul style="list-style-type: none"> ▪ Name/Surname ▪ ID number ▪ Race and gender ▪ Disability status ▪ Area of RPL ▪ Job title of employee ▪ (copy of payslip / ID book) ▪ Occupational Category 	YES	NO		
<p>9) Can it be substantiated that the RPL candidates are in fact employees of the company? (a small sample would suffice as sufficient proof) (payslip / copy of ID document)</p>	YES	NO		
<p>10) Are the "people" who performed the RPL activity, registered assessors?</p> <ul style="list-style-type: none"> ▪ What evidence can be supplied to substantiate the above? 	YES	NO		

Section B2B : Planned training activity⁴

Quality assurance item	Was evidence available? ²		Evidence gathered	Evidence reference number
	YES	NO		
1) Does the company have a Training Policy?	YES	NO		
2) How was the planned training activity drawn up?	YES	NO		
3) Was all the information that was required to substantiate the profile in the ATR, supplied? <ul style="list-style-type: none"> • Was a list with beneficiary's full particulars supplied in terms of? <ul style="list-style-type: none"> • <u>Name/Surname</u> ▪ ID number ▪ Race and gender ▪ Disability status ▪ Area of training or development ▪ Job title of employee ▪ (copy of payslip / ID book) ▪ <u>Occupational Category</u> 	YES	NO		
4) Can it be substantiated that the people that were trained, are current employees? (company MIS system as proof)	YES	NO		
5) Is there evidence of equitable distribution in relation to the staff profile of training among all the employees in the company?	YES	NO		
6) What plans are put in place by the company to get ALL people trained in the company at some stage or another? ⁵	YES	NO		
7) Training Provider	YES	NO		

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⁴ This section should be analysed in conjunction with section C – Annual skills Priorities

⁵ This could assist the SETA in compiling its Sector Skills Plan (SSP)

<ul style="list-style-type: none"> Is the company that/who conducted the training <u>accredited</u>? Are the programs that <u>were</u> presented, accredited? Are the trainers of the training company registered? <p>Is the company registered to perform assessments?</p>			
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Section B2C : Planned Assessment activity

Quality assurance item	Was evidence available?		Evidence gathered	Evidence reference number
	YES	NO		

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1) Are the assessors that conducted the assessment, registered assessors? (Can this be substantiated?)	YES	NO		
2) Are the unit standards that were used for assessment, registered or draft standards? (Can this be substantiated?)	YES	NO		
3) Confirm that the assessors that were used are registered with the appropriate SETA? (a copy of the registration form) <u>a) Was a list with beneficiary's full particulars supplied in terms of?</u> <ul style="list-style-type: none"> <u>Name/Surname</u> <u>ID number</u> <u>Race and gender</u> <u>Disability status</u> <u>Area of Assessment</u> <u>Job title of employee</u> <u>(copy of payslip / ID book)</u> <u>Occupational Category</u> 	YES	NO		

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Section B2D : Planned Certification activity

Quality assurance item	Was evidence available?		Evidence gathered	Evidence reference number
	YES	NO		
1) Does the company have a Certification policy?	YES	NO		
2) Was all the information that was required to substantiate the profile in the ATR, supplied? a) Was a list with beneficiary's full particulars supplied in terms of? <ul style="list-style-type: none"> ▪ Name/Surname ▪ ID number ▪ Race and gender ▪ Disability status ▪ Area of Certification ▪ Job title of employee ▪ (copy of payslip / ID book) ▪ Certificates or proof that information has been forwarded for certification ▪ <u>Occupational Category</u> 	YES	NO		
Can it be substantiated that the people who were certificated, are current employees?	YES	NO		
3) Is the certification partner (industry) registered to perform the functions of certification?	YES	NO		
4) Has the certification information been forwarded to the SETA for verification? (Can this be substantiated?)	YES	NO		
5) Does the candidate/name list that was supplied for certification, correspond with the records of the Training Provider? (a small sample would suffice as sufficient proof)	YES	NO		

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Deleted: 7) Does the company meet the 50% tolerance level i.e. Does the ¶ evidence of the ATR indicate that the company has implemented at ¶ least 50% of the Certification interventions as indicated in the WSP?

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Section B2E : Planned Continuous Professional Development (CPD) activity

(Any skills programme, learning programme, workshop, seminar or other activity designed to give life and opportunity for application of a particular standard or entire qualification **within the working environment** or **the professional elements of an industry** will be recognised for continuing professional development purposes, as long as that activity has formally been registered with our ETQA Division⁶)

Quality assurance item	Was evidence available?		Evidence gathered	Evidence reference number
	YES	NO		
1) Does the company have a CPD policy?	YES	NO		
2) Was all the information that was required to substantiate the profile in the ATR, supplied? a) Was a list with beneficiary's full particulars supplied in terms of? <ul style="list-style-type: none"> • Name/Surname • ID number • Race and gender • Disability status • Area of CPD • Job title of employee • (copy of payslip / ID book) • <u>Occupational</u> Category 	YES	NO		

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Deleted: 3) Does the company meet the 90% tolerance level i.e. Does the ¶ evidence of the ATR indicate that the company has implemented at ¶ least 90% of the CPD interventions as indicated in the WSP?

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⁶ Source : WSP Guidelines

Section B3 : Employment Equity Profile

Quality assurance item	Was evidence available?		Evidence gathered	Evidence reference number
	YES	NO		
Did the company submit an Employment Equity Report to the Department of Labour? (Can this be substantiated?)	YES	NO		
1) Was the Employment Equity report "consulted/negotiated" with all relevant parties as prescribed by DoL? (Can this be substantiated?)	YES	NO		
2) Has the EE <u>report</u> been "signed off" by the CEO? (Can this be substantiated?)	YES	NO		Deleted: plan
3) Which employees were recruited during the previous submission year? ⁷	YES	NO		
4) Was a list with new employees that received Training, RPL, Assessment, Certification and/or CPD supplied in terms of beneficiary's full particulars supplied in terms of? <ul style="list-style-type: none"> • Name/Surname • ID number • Race and gender • Disability status • Area of appointment (SOC) • Job title of employee • Type of Intervention (Training, RPL, Assessment, Certification, CPD) • <u>Occupational Category</u> 	YES	NO		Formatted: Bullets and Numbering
5) Can it be substantiated that these employees were appointed during the previous submission year? (a small sample would suffice as sufficient proof)	YES	NO		Deleted:

⁷ WSP submission periods are from 1 April to 31 March

Section C : Annual Skills Priorities

Quality assurance item	Was evidence available?		Evidence gathered	Evidence reference number
	YES	NO		
1) Were all the skills priorities (training) that was indicated, obtained? What were the reasons for not achieving their targets? ⁸	YES	NO		

Section F: Authorisation

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Quality assurance item	Was evidence available?		Evidence gathered	Evidence reference number
	YES	NO		
1) Were the company name and SDL number indicated? a) Did the company indicate to which chamber it is associated?	YES	NO		
2) Have all the members as indicated signed the WSP? <ul style="list-style-type: none"> ▪ Manager/Owner or ▪ Financial Manager or ▪ Skills Development Facilitator or ▪ Signature of person who appointed SDF or ▪ External SDF (if applicable) and ID number or ▪ Employee Representative Note : A minimum of 3 people must sign the WS	YES	NO		

⁸ This could assist to determine trends of whether the client is committed to the process of skills development or whether the client is just filling in the WSP because they have to!