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# Accreditation, Memorandum of Understanding (MoU) and Learning Programmes Guidelines for Training Providers

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## **Foreword - Guideline and disclaimer**

This is a guideline and not a definitive document on the requirements of accreditation and national, as well as Service SETA policy, always take preference. Thus, when reading this document, it is best to note that it is a developmental and information-sharing document rather than a structured policy and formal guideline document. The purpose of the document is to inform providers of the required documents needed for a desktop compliance check. The required documents must be submitted to Services SETA and be found compliant before a site visit will be scheduled.

It is also important to note that processes change and therefore there may be various versions of this document. Please ensure that you have the most up to date guideline and regularly check with the accreditation team, as well as the Services SETA website, to see if there are any updates noted.

## **Seeking Accreditation**

It is important prior to seeking accreditation to consider the following questions:

- 1 ) Why is my organization seeking accreditation?
- 2) What are the benefits to seeking accreditation?
- 3) What are the difficulties in seeking accreditation?
- 4) What are the rules/requirements of accreditation?
- 5) What is the cost of accreditation?
- 6) What is the cost of maintaining accreditation?

## **Acronyms**

- SAQA- South African Qualifications Authority
- QCTO- Quality Council for Trades and Occupations
- SSETA- Services Sector Education Training Authority
- SETA- Sector Education Training Authority
- QMD Quality Management Division
- PA- Programme approval
- NYR- Not yet recommended
- MoU- Memorandum of Understanding
- US- Unit Standard
- SO- Specific outcome
- AC – Assessment criteria
- CCFO's- Critical cross-field outcomes
- EEK's- Essential embedded knowledge
- RPL- Recognition of Prior Learning

## **Responsibilities of Accreditation**

Accreditation is not given to people or individuals but to a legal entity. It is the responsibility for those within the legal entity to ensure that the requirements for accreditation are maintained at all times. During any quality assurance activities it is the responsibility of the person directly responsible for the legal entity to be the ultimate accountable party for the legal entity.

Staff members, and even those directly responsible for the legal entity, cannot use the fact that they are new or were not part of a “regime” or “during that time,” as the legal entity is evaluated. The Services SETA looks to the accountable party within the organization to ensure succession, including sharing information, data management, and the requirements and responsibilities for maintaining accreditation.

Should this be compromised, the Services SETA has the right to withdraw the accreditation of the provider, with immediate effect.

Therefore as noted, succession planning and strategies and information- sharing sessions, with staff that are leaving and those replacing them, is critical, as is clearly documented processes to ensure that there is an opportunity to continuously ensure continued compliance.

It is important to understand that accreditation is a choice, and one which shouldn't be taken lightly. Accreditation requires significant resources to prepare and maintain accreditation as will be outlined in this document.

## **Understanding Accreditation**

Accreditation and the process of becoming an accredited training provider is governed by the rules of the South African Qualifications Authority and mandate given to form Education Training Quality Assurance departments for Sector Education Training Authorities. This was then replaced by the Quality Council for Trades and Occupations, who devolved the function back to the SETA's.

The first document that may be helpful to download is the 8-core criteria document that was written by the South African Qualifications Authority, explaining how quality learning should be benchmarked against 8 core criteria.

Any accreditation visit from a Sector Education Training Authority will use these 8 core criteria in determining suitability for the provider to become an accredited training provider.

The **8 core-criteria** are the following and the following policies and procedures should be submitted to Services SETA for a desktop compliance check.

1. Policy statement: The organization's aims, objectives and purposes are spelt out
2. QMS: Outline procedures that implement quality management

3. Review mechanisms: Outline the ways in which the implementation of policies would be monitored
4. Programme delivery: Outline how learning programmes would be developed, delivered and evaluated
5. Staff policies: Outline policies and procedures for staff selection, appraisal and development
6. Learner policies: Policies and procedures for the selection of learners are outlined, and learners are given guidance and support
7. Assessment policies: Outline policies and procedures for forms of assessments that are used and how they are managed
8. Management system and policies: Indicate the financial, administrative and physical structures and resources of the organization, as well as procedures of accountability within the organization

Something that needs to be considered is that if you are successful in your accreditation, you will have the same status as any other education institution. The Training Provider will be able to award credits, which will be registered on the National Learner Record Database, so the requirements for both legal and academic compliance are stringent.

Below is the basic process of completing the accreditation cycle.



## Types of visits

### Site visit- New Application for New Provider

A new site visit for a provider will consider all of the 8 core-criteria and will require a full report. All of the 8 core-criteria will need to be evaluated, as well as the learning programme linked to the online application. All evidence for the 8 core criteria as well as all the material for the learning programme should be submitted for a desktop compliance check. All these documents will also be validated during a site visit.

### Site visit- MOU Provider

Refers to a visit where another SETA is the Primary body in charge of quality assurance, and even though it the SETA's right to evaluate considering all of the 8 core criteria, the important issue is that the MoU can only be in place for as long as the Primary accreditation is in place. (The date of expiry should be noted with the

Primary SETA). The policies linked to moderation specifically in the QMS need to be reviewed, as Services SETA requirements for moderation is 25% and this is not the same with other SETA's. The ability for the Provider to be able to deliver the programme are critical in consideration of ETD role players namely facilitators, assessors and moderators. In addition the Learning Programme is considered as per the requirements noted and all learning material as per the MOU application needs to be submitted for a desktop compliance check and this will still be validated during a site visit.

## **RPL**

An RPL evaluation is specific to the delivery of RPL Assessment and Providers are required to register as assessment centres with the Services SETA, and undergo an evaluation for RPL, which uses a different report to the Accreditation Evaluation Report. Currently, the Services SETA only considers RPL for full qualifications, which have been designed against the exit level outcomes and associated assessment criteria of the qualification and which consider naturally occurring evidence, in addition to the appropriate assessment instruments, linked to collecting evidence. An application for RPL would only be looked at if the training provider is already accredited to offer the qualification for training and provisioning purposes.

## **Evaluation requirements which should be submitted for a desktop compliance check and which must be available during a site visit.**

### **Legal entity**

- It is a requirement that there is a legal entity in place which is accredited.

This could include a company either a cc or PTY Ltd, or an organization like a Non-Profit section 21.

The Services SETA does not accredit sole proprietors who trade as an organization.

### **Requirement to be submitted for a desktop compliance check: Proof of registered legal entity**

## **I. Policy statement: The organization's aims, objectives and purposes are spelt out**

### **Requirements to be submitted for a desktop compliance check.**

- The Provider is required to have a vision and mission in place. It is recommended that the vision and mission reflect the values of the organisation, but that they are also linked to education, training and development.
- There must be an organogram in place and sufficient capacity to deliver as a training provider. It is recommended that full time staff members are noted as having a solid line on the organogram and contractors are reflected with a broken line.

### **Recommendations/Best Practice**

It is recommended that the Provider have strategic objectives.

## **2. QMS: Outline procedures that implement quality management**

### **Types of QMS**

There are many different kinds of quality management systems. Two commonly used QMS are:

#### Policy and Associated Procedure

In this kind of QMS the policies and procedures are separated. There is a policy statement for each policy sub section. In addition, there is a procedure for each policy under the procedure section. Finally, the templates used for documents are included in a separate section for templates and reporting.

#### Integrated Policy and Procedure

In this kind of QMS the policy statement is noted first, followed by a procedure. Templates are normally found either within the combined document or directly thereafter.

### **Requirements to be submitted for a desktop compliance check**

- The Provider is required to develop a singular framework Quality Management System.
- There should be policies and procedures developed against SAQA's 8 core criteria.
- There should be a responsible party who will sign the QMS into being and will take accountability for its implementation.
- Version control is required on the QMS document as is review dates.
- The policies and procedures should be in line with the delivery methodology of the Provider
- The policies and procedures should be in line with the design methodology of the Provider.

The following is a recommended framework to meet the requirements for a desktop compliance check:

- Vision
- Mission
- Organogram
- Quality Policy
- Review Policy and Procedure
- Learning Programme Design and Development Policy and Procedure
- Staff Selection and Development Policy and Procedures
- Learner Entry, Guidance and Support Policy and Procedures
- HIV/AIDS Policy
- Assessment Policy and Procedure
- Moderation Policy and Procedure
- Appeals Policy and Procedure
- RPL Policy and Procedure
- Offsite/Worksite Management Policy and Procedure
- Financial Management Policy and Procedure
- Administration Policy and Procedure
- Records Policy and Procedure
- Strategic Management Policy and Procedure

### **Recommendations/Best Practice**

QMS understanding is shared with staff members, and all role players associated with the Provider through QMS workshops.

Provider has basic understanding of SETA specific policies and procedures.

## **Requirements for a desktop compliance check**

### **3. Review mechanisms: Outline the ways in which the implementation of policies would be monitored**

- Within the review policy it should state that a QMS review would be done at least every year.
- Within the review policy it should state that a material review will be conducted after implementation, and should be done every year.
- There should be version control confirmed within the QMS
- Review dates should be noted; including the first review date and this should be evidenced in a review note as per agreed date.

#### **Recommendations/Best Practice**

Provider should consider developing a learning material review template.

Provider should consider developing a QMS review template.

## **Requirements for a desktop compliance check**

### **4. Programme delivery: Outline how learning programmes would be developed, delivered and evaluated**

There are various factors that shape the evaluation process of learning programmes. This section considers both the delivery methodology, as well as the design methodology.

When a provider extends their scope the delivery model will be different for the new learning programme and therefore the delivery model must be documented in the provider's QMS.

#### **Delivery methodology**

These are some of the most commonly used delivery methodologies.

## **Conventional facilitated delivery**

Conventional delivery is regular facilitated learning, with a structured curriculum and rollout plan which focuses on the delivery of learning through a facilitated event. Learners complete formative and summative and workplace activities (if relevant).

## **RPL**

RPL evaluation and delivery requires an understanding of RPL practice and methodology. There is a specialized report which needs to be completed specifically for RPL evaluation.

In this kind of delivery, learners are evaluated for suitability for RPL based on their previous experience, they undergo a briefing session with the RPL advisor, there is a pre-assessment meeting to explain the process, there is clear delineation of role players and support and guidance are critical in this methodology. The model has to be carefully considered as part of the evaluation.

As there is no formative, learners complete a summative assessment instrument which has been designed using exit level outcome design methodology.

To understand more about this kind of methodology read the Services SETA “RPL Guidelines for Providers.”

## **Basic rules**

- Skills programmes must contain unit standards from a singular qualification.
- All unit standards within a skills programme must not have expired.
- Replaced unit standards of expired unit standards CANNOT replace the original unit standard. The original unit standard takes on the life of the qualification but can no longer be offered on its own.
- All learning material needs to be available during the compliance check and desktop evaluation.

- It should be confirmed if the material was purchased, if this is the case, then an agreement of sale to use the material should be presented and submitted to Services SETA during the desktop compliance check and this should be customised to suit the training provider's specifications.
- Material should be current, and references to articles prior to 2011, are questionable.

## **Design methodology**

There are multiple kinds of design methodology and the ones listed below are the most commonly used ones. Please note that the design methodology needs to be determined as the Programme Evaluation Guidelines are linked to the design and delivery methodology.

The design methodology is selected based on the target audience of the Provider.

## **Singular unit standard**

Singular unit standard programmes, do not consider integration and the delivery of learning is per unit standard.

If Providers are offering singular unit standard delivery on full qualifications, then additional requirements are in place like a requirement for a final integrated summative assessment against the exit level outcomes and associated assessment criteria of the qualification.

## **Thematic**

This is where unit standards from a singular qualification are clustered into a module, cluster or skills programme. The Provider decides their own theme and the unit standards are clustered accordingly to that theme. There may be integration, but this should not be confused with exit level outcome and associated assessment criteria alignment.

If Providers are offering thematic delivery, and there is integration on full qualifications, there is still a possible requirement for a final integrated summative assessment against the exit level outcomes and associated assessment criteria of the qualification. However, this could be demonstrated either through a final integrated summative assessment or an alignment matrix of current assessment instruments to indicate the compliance. It would however be for the Training Provider to demonstrate how the exit level outcome and associated assessment criteria have been met.

## **Exit level outcome**

Exit level outcome (ELO) design, curriculates the unit standard/s against the most appropriate exit level outcome and its associated assessment criteria (AAC). They include the core, electives and then link the fundamentals if appropriate. They develop an ELO and AAC matrix which indicates how the assessment instruments, which are integrated within the various cluster, modules or skills programmes, not only meet the specific outcomes and assessment criteria, essential embedded knowledge and critical cross field outcomes, but also the AAC's of the ELO's.

This is one of the most "economical" ways to design, and it is recommended but not a requirement.

## **Programme Evaluation Requirements for a desktop compliance check**

### **Unit standard**

The following is a list of learning material normally developed for a singular unit standard:

1. **Curriculum document**-The curriculum document normally includes the purpose of the learning programme, learning assumed to be in place, the target audience, the design methodology used, the delivery methodology to be used, the resources (human and other) required, the kinds of assessment linked.
2. **Alignment matrix**- should align the learning material, facilitation methodology and the assessments to the unit standard's specific outcome, assessment criteria, critical cross-field outcomes, the range statements, and essential embedded knowledge. The assessments are further delineated between formative and summative assessment.

Specifically the learner guide should be aligned with page numbers(reference should clearly be made to specific documents and page numbers) so that this can be validated during the desktop compliance check and site visit. See example below (please note that this is not a required template but the information noted below should be contained in whatever template the Provider has):

Specific Outcome	Assessment Criteria	Range Statement	Learner Guide	Delivery methodology
Develop a human capital plan for the nurturing and retention of staff	The importance of generating a human capital plan for nurturing and retention of staff within a function is explained in terms of the overall human capital plan of the entity.	The human capital plan is the overall plan for the function. It must be distinguished from the plan referred to in Specific Outcome 3.	18-23	Facilitation, Facilitated lead activity

Specifically the assessments should indicate the actual assessment rather than the assessment method or instrument, so that this can be validated during the evaluation.

See example below:

Specific Outcome	Assessment Criteria	Range Statement	Formative Assessment	Summative Assessment
Develop a human capital plan for the nurturing and retention of staff	The importance of generating a human capital plan for nurturing and retention of staff within a function is explained in terms of the overall human capital plan of the entity.	The human capital plan is the overall plan for the function. It must be distinguished from the plan referred to in Specific Outcome 3.	Question 2 Question 3  Assessment Guide  Page 20-30	Knowledge question 4 Assignment 1  Assessment Guide  Page 25-35

3. **Learner Guide**-should be in place, and there should be learning material for every single unit standard, every specific outcome, and assessment criteria, and the critical cross field outcomes, the range statements, and essential embedded knowledge should all be integrated into the learning material. Learning material should be current. There is also a requirement to ensure that the learning material is learner friendly, meets the level associated with the learning programme, it is linked to (refer to SAQA's level descriptors for further guidance) and considers outcomes based learning methodology as its core.

4. **Facilitator Guide**- should be in place and which covers instructions to facilitators, notional hour matrix as well as detailed training plans. Please note the training plans should be day planners with activities and delivery noted, even if high level, but should be validated against the notional hour matrix. A cut and paste of the learner guide will not be accepted, as there is no way to indicate how the material should be delivered.

5. **Notional hour matrix**-should be developed and should consider the time spent in the classroom as well as any experiential learning. There is a rough 30% delivery 70% experiential learning split which was originally used for Learnerships and which has become part of the cannon, please note that this is a guide and the specific outcomes and assessment criteria of the unit standard should be used as a guide. Please also note that only 10% of time should be used for assessments. 1 credit equals to 10 notional hours

The notional hour matrix is determined by the Qualification requirements. This is in terms of the number of hours that should be spent in the classroom and the amount of time that should be spent in the classroom. The percentages should be based on the requirements of the qualification.

6. **Formative Assessment**-Formative assessments are used to confirm readiness for summative assessments. The formative assessment should be aligned within the assessment matrix and should prepare the learner, in terms of knowledge, simulation or other assessment methods to grasp an understanding of the content and the specific outcomes and assessment criteria. Multiple assessment methods are encouraged. In addition, if formative evidence is to be used for summative judgement this should be reflected on the formative and learners should be allowed to submit a revised assessment, once confirmation of readiness is established, for summative assessment purposes.

7. **Summative Assessment**-The Summative assessments should be evaluated for suitability to collect evidence against the specific outcomes and assessment criteria. If the criteria are practical, a theoretical approach using a knowledge questionnaire is not appropriate. The summative assessment activities must be validated against the alignment matrix and all components of the unit standard should be assessed: every specific outcome, and assessment criteria, and the

critical cross field outcomes, the range statements, and essential embedded knowledge should all be assessed.

8. **Assessment Guide**-should be in place for the programme, which includes instructions to the assessors as well as model answers/guided responses for both knowledge and practical tasks. The reporting templates for the organization should be explained in this document as well as copies of the templates for reporting noted in the electronic folder. A copy of the assessor report should also be included, as well as the assessment review.
9. **Learner POE guide**-there should be a basic template in place, which should cover the assessment planning and contracting. It should also request certified copies of ID's, Cv's and learners previous certificates
10. **Moderator Guide**-should be in place, with the moderation report the Provider intends to use, the process of moderation as well as any advice specific to the learning programme that the moderator should be aware of and an internal moderation report for the learning materials.

## **Programme Evaluation Requirements for a desktop compliance check**

### **Skills programme**

The following is a list of learning material normally developed for a skills programme:

1. **Curriculum document**-For a skills programme there should be a consideration why the skills programme was developed, why the unit standards were selected, and how the target audience can benefit from this kind of programme. In addition, it should explain if the programme is integrated or not. The curriculum document normally includes the name of the programme, credit value, level, duration, purpose of the learning programme, learning assumed to be in place, the target audience, the design methodology used, the delivery methodology to be used, the resources (human and other) required and the kinds of assessment linked to the learning programme.
2. **Alignment matrix**- should align the learning material, facilitation methodology and the assessments to the unit standard's specific outcome, assessment criteria, critical cross-field outcomes, the range statements, and essential embedded

knowledge. The assessments are further delineated between formative and summative assessment.

Specifically the learner guide should be aligned with page numbers so that this can be validated during the evaluation. See example below (please note that this is not a required template but the information noted below should be contained in whatever template the Provider has):

<b>Specific Outcome</b>	<b>Assessment Criteria</b>	<b>Range Statement</b>	<b>Learner Guide</b>	<b>Delivery methodology</b>
Develop a human capital plan for the nurturing and retention of staff	The importance of generating a human capital plan for nurturing and retention of staff within a function is explained in terms of the overall human capital plan of the entity.	The human capital plan is the overall plan for the function. It must be distinguished from the plan referred to in Specific Outcome 3.	Pages 18-23	Facilitation, Facilitated lead activity

Specifically the assessments should indicate the actual assessment rather than the assessment method or instrument, so that this can be validated during the evaluation.

See example below:

<b>Specific Outcome</b>	<b>Assessment Criteria</b>	<b>Range Statement</b>	<b>Formative Assessment</b>	<b>Summative Assessment</b>
Develop a human capital plan for the nurturing and retention of staff	The importance of generating a human capital plan for nurturing and retention of staff within a function is explained in terms of the overall human capital plan of the entity.	The human capital plan is the overall plan for the function. It must be distinguished from the plan referred to in Specific Outcome 3.	Question 2 Question 3  Assessment Guide  Page 20-23	Knowledge question 4  Assignment I  Assessment Guide  Page 35-39

3. **Learner Guide**-should be in place, and there should be learning material for every single unit standard, every specific outcome, and assessment criteria, and the critical cross field outcomes, the range statements, and essential embedded knowledge should all be integrated into the learning material. Learning material should be current. There is also a requirement to ensure that the learning material is learner friendly, meets the level associated with the learning programme it is linked to (refer to SAQA's level descriptors for further guidance) and considers outcomes based learning methodology as its core.
4. **Facilitator Guide**- should be in place and which covers instructions to facilitators, notional hour matrix as well as detailed training plans. Please note the training plans should be day planners with activities and delivery noted, even if high level, but should be validated against the notional hour matrix. A cut and paste of the learner guide will not be accepted, as there is no way to indicate how the material should be delivered.
5. **Notional hour matrix**-should be developed and should consider the time spent in the classroom as well as any experiential learning. There is a rough 30% delivery 70% experiential learning split which was originally used for Learnerships and which has become part of the cannon, please note that this is a guide and the specific outcomes and assessment criteria of the unit standard should be used as a guide. Please also note that only 10% of time should be used for assessments.
6. **Formative Assessment**-Formative assessments are used to confirm readiness for summative assessments. The formative assessment should be aligned within the assessment matrix and should prepare the learner, in terms of knowledge, simulation or other assessment methods to grasp an understanding of the content and the specific outcomes and assessment criteria. Multiple assessment methods are encouraged. In addition, if formative evidence is to be used for summative judgement this should be reflected on the formative and learners should be allowed to submit a revised assessment, once confirmation of readiness is established, for summative assessment purposes.
7. **Summative Assessment**-The Summative assessments should be evaluated for suitability to collect evidence against the specific outcomes and assessment criteria. If the criteria are practical, a theoretical approach using a knowledge questionnaire is not appropriate. The summative assessment activities must be

validated against the alignment matrix and all components of the unit standard should be assessed: every specific outcome, and assessment criteria, and the critical cross field outcomes, the range statements, and essential embedded knowledge should all be assessed.

8. **Assessment Guide**-should be in place for the programme, which includes instructions to the assessors as well as model answers/guided responses for both knowledge and practical tasks. The reporting templates for the organization should be explained in this document as well as copies of the templates for reporting noted in the electronic folder. A copy of the assessor report should also be included, as well as the assessment review.
9. **Learner POE guide**-there should be a basic template in place, which should cover the assessment planning and contracting. It should also request certified copies of ID's, Cv's learners previous certificates
10. **Moderator Guide**-should be in place, with the moderation report the Provider intends to use, the process of moderation as well as any advice specific to the learning programme that the moderator should be aware of and an internal moderation report for the learning materials.

### **Qualification Programme Evaluation Requirements for a desktop compliance check**

The following is a list of learning material normally developed for a qualification:

1. **Curriculum document**-The curriculum document normally includes the purpose of the learning programme, learning assumed to be in place, the target audience, the design methodology used, the delivery methodology to be used, the resources (human and other) required, the kinds of assessment linked to the learning programme.
2. **Rules of the Qualification**- The rules of the qualification should be checked to ensure that the correct core and fundamentals have been used, in addition the electives should be checked against the qualification document and the correct credit value for electives should be confirmed as per the minimum requirements noted in the rules of the qualification. In addition, if there is a learning programme registered against a qualification, the rules or requirements

associated with it should also be checked.(Generic qualifications contain various LP's which are areas of specialization and are quality assured by different quality assurance bodies).

3. **Exit Level Outcomes**-The exit level outcome alignment should be confirmed, and there should be an alignment matrix as well as a final integrated summative assessment, in the case that the Provider has offered thematic or singular unit standard delivery. The ELO's can also be met if there is an alignment to existing summative assessment activities, which directly meet the AAC's of the qualification. This should be demonstrated rather than inferred.
4. **Alignment matrix**- should align the learning material, facilitation methodology and the assessments to the unit standard's specific outcome, assessment criteria, critical cross-field outcomes, the range statements, and essential embedded knowledge. The assessments are further delineated between formative and summative assessment.

Specifically the learner guide should be aligned with page numbers so that this can be validated during the evaluation. See example below (please note that this is not a required template but the information noted below should be contained in whatever template the Provider has):

<b>Specific Outcome</b>	<b>Assessment Criteria</b>	<b>Range Statement</b>	<b>Learner Guide</b>	<b>Delivery methodology</b>
Develop a human capital plan for the nurturing and retention of staff	The importance of generating a human capital plan for nurturing and retention of staff within a function is explained in terms of the overall human capital plan of the entity.	The human capital plan is the overall plan for the function. It must be distinguished from the plan referred to in Specific Outcome 3.	18-23	Facilitation, Facilitated lead activity

Specifically the assessments should indicate the actual assessment rather than the assessment method, so that this can be validated during the evaluation. See example below:

Specific Outcome	Assessment Criteria	Range Statement	Formative Assessment	Summative Assessment
Develop a human capital plan for the nurturing and retention of staff	The importance of generating a human capital plan for nurturing and retention of staff within a function is explained in terms of the overall human capital plan of the entity.	The human capital plan is the overall plan for the function. It must be distinguished from the plan referred to in Specific Outcome 3.	Question 2 Question 3	Knowledge question 4 Assignment 1

5. **Learner Guide**-should be in place, and there should be learning material for every single unit standard, every specific outcome, and assessment criteria, and the critical cross field outcomes, the range statements, and essential embedded knowledge should all be integrated into the learning material. Learning material should be current. There is also a requirement to ensure that the learning material is learner friendly, meets the level associated with the learning programme it is linked to (refer to SAQA's level descriptors for further guidance) and considers outcomes based learning methodology as its core.
6. **Facilitator Guide**- should be in place and which covers instructions to facilitators, notional hour matrix as well as detailed training plans. Please note the training plans should be day planners with activities and delivery noted, even if high level, but should be validated against the notional hour matrix. A cut and paste of the learner guide will not be accepted, as there is no way to indicate how the material should be delivered.
7. **Notional hour matrix**-should be developed and should consider the time spent in the classroom as well as any experiential learning. There is a rough 30% delivery 70% experiential learning split which was originally used for Learnerships and which has become part of the cannon, please note that this is a guide and the specific outcomes and assessment criteria of the unit standard should be used as a guide. Please also note that only 10% of time should be used for assessments.
8. **Formative Assessment**-Formative assessments are used to confirm readiness for summative assessments. The formative assessment should be aligned within the assessment matrix and should prepare the learner, in terms of knowledge, simulation or other assessment methods to grasp an understanding of the

content and the specific outcomes and assessment criteria. Multiple assessment methods are encouraged. In addition, if formative evidence is to be used for summative judgement this should be reflected on the formative and learners should be allowed to submit a revised assessment, once confirmation of readiness is established, for summative assessment purposes.

9. **Summative Assessment**-The Summative assessments should be evaluated for suitability to collect evidence against the specific outcomes and assessment criteria. If the criteria are practical a theoretical approach using a knowledge questionnaire is not appropriate. The summative assessment activities must be validated against the alignment matrix and all components of the unit standard should be assessed: every specific outcome, and assessment criteria, and the critical cross field outcomes, the range statements, and essential embedded knowledge should all be assessed.
10. **Final Integrated Summative Assessment** – If the Provider is required to do a final integrated summative assessment, this should follow the same rules for any summative, but the assessment instrument must assess against the associated assessment criteria of the qualification and exit level outcomes. The instrument should consider theoretical versus practical requirements and the assessment should use the most appropriate method to the AAC's.
11. **Assessment Guide**-should be in place for the learning programme, which includes instructions to the assessors as well as model answers/guided responses for both knowledge and practical tasks. The reporting templates for the organization should be explained in this document as well as copies of the templates for reporting noted in the electronic folder. A copy of the assessor report should also be included, as well as the assessment review.
12. **Learner POE guide**-there should be a basic template in place, which should cover the assessment planning and contracting. It should also request certified copies of ID's,Cv's learners previous certificates.
13. **Moderator Guide**-should be in place, with the moderation report the Provider intends to use, the process of moderation as well as any advice specific to the learning programme that the moderator should be aware of and an internal moderation report for the learning materials.

## FETC Qualifications

If the Provider is offering level 4 qualifications, which are Further Education Training Certificates, please note the following rules contained within FETC Qualifications:

*The Fundamental Component consists of Unit Standards in:*

- Mathematical Literacy at NQF Level 4 to the value of 16 credits.*
- Communication at NQF Level 4 in a First South African Language to the value of 20 credits.*
- Communication in a Second South African Language at NQF Level 3 to the value of 20 credits.*

**It is compulsory therefore for learners to do Communication in two different South African languages, one at NQF Level 4 and the other at NQF Level 3.**

*All Unit Standards in the Fundamental Component are compulsory.*

- Provider is required to develop second language material as per prescribed pack including a learner guide, facilitator guide, formative and summative assessments and these needs to be included on the alignment matrix. The choice of language should consider the target audience of the Provider unless they are willing to consider developing 2<sup>nd</sup> language in all of the other 10 official languages (English mostly noted as first language based on delivery materials and content being in English).

In addition if Provider is to consider credit accumulation and transfer, or recognition of prior learning then:

- **Credit Accumulation and Transfer Policy and Process**—Should learners have a matric certificate then Provider is recommended to develop a Credit Accumulation and Transfer Policy and award credits for Senior Certificate against the fundamental unit standards (communication specifically) for levels 4 (first language) and level 3 (second language). However, material still needs to be in place, for those that don't qualify for CAT to ensure open access to all learners employed by the organisation (unless the organization is an employer as well as provider and the organization requires that all staff have a senior certificate).

## **Requirements for a desktop compliance check**

### **5. Staff policies: Outline policies and procedures for staff selection, appraisal and development**

This criterion requires the demonstration against not only the staff related policies, but also the contractors who may offer service to the Provider. The role-players who supply any service to the organization should be considered for their expertise, as well as confirm the legal relationship with the Provider.

#### **Requirements**

- There should be policies and procedures about staff selection, appraisal and development
- The policies and procedures should be relevant to the size of the organization
- The policies and procedures should be relevant to the staff as noted on the organogram.
- The functions noted within the QMS should be relevant to the staff as noted on the organogram

#### **Role-players**

##### **Generic Role-players**

There should be sufficient role-players to meet the 8 core-criteria. Prior to considering accreditation, as has been previously mentioned, there must be sufficient personnel to be able to support all functions within the organization.

#### **Management**

Management should be demonstrated in terms of both strategic as well as operations based management.

## **Administration**

Administration should be demonstrated in terms of maintaining administrative records and ensuring the availability of information to report to the Services SETA and other stakeholders.

## **Learning, programme design and development**

There should be a clear understanding of learning programme, design and development. A clear understanding of unit standard based learning is required specific to outcomes based methodology.

## **Education, Training and Development Role-players**

### **Facilitator**

The Facilitator is evaluated for suitability as a subject matter expert in the field. Currently, the Services SETA does not require that the facilitator be a registered assessor against the qualification or learning programme they are facilitating. However, during the evaluation expertise will be confirmed, as well as facilitation or previous education experience in the delivery of learning.

- **Legal relationship-**There must be a legal relationship between the Provider and the facilitator in the form either of a full time employment contract or a service level agreement if they are a contractor.

### **Assessor**

The Assessor should be a subject matter expert in the field they are assessing. It is a requirement that in order to assess (formative, summative, workplace learning) that the assessor be a constituently registered assessor against the qualification or learning programme they are assessing.

The following two items should be noted:

## **Services SETA Constituent Report-**

- The constituent report should be current. All current reports expire 31 March 2016.
- The validity of the registration should be confirmed and in most cases would be valid until 31 March 2016.
- At the end of the report it will indicate that the person is either registered as an assessor, or an assessor and moderator.
- The outcome of the report is per learning programme. If the person has been awarded it, it will indicate this accordingly.
- If the qualification has learning programmes associated with it, and the assessor is only registered against the generic qualification they will not be considered as having scope for the learning programme.
- For Provider's applying for a skills programme or single unit standard linked to a learning programme, that the assessor has the correct scope for that learning programme
- **Legal relationship-**There must be a legal relationship between the Provider and the assessor in the form either of a full time employment contract or a service level agreement if they are a contractor.

## **Moderator**

The Moderator should be a subject matter expert in the field they are moderating. It is a requirement that in order to moderate that the moderator be a constituently registered moderator against the qualification or learning programme they are moderating. The following should be noted- A moderator cannot fulfill the role of the facilitator and then moderate on the programme, as they will have been biased as well as have prepared the learners for formative assessment.

The following two items should be noted:

### **Constituent Report-**

- The constituent report should be current. All current reports expire 31 March 2016.
  - The validity of the registration should be confirmed and in most cases would be valid until 31 March 2016.
  - At the end of the report it will indicate that the person is registered as an assessor and moderator.
  - The outcome of the report is per learning programme. If the person has been awarded it, it will indicate this accordingly.
  - If the qualification has learning programmes associated with it, and the moderator is only registered against the generic qualification they will not be considered as having scope for the learning programme.
  - For Provider's applying for a skills programme or single unit standard linked to a learning programme, that the moderator has the correct scope for that learning programme
- 
- **Legal relationship-**There must be a legal relationship between the Provider and the moderator in the form either of a full time employment contract or a service level agreement if they are a contractor.

### **Recommendations/Best Practice**

- The assessor and moderator have been supplied with organizational specific templates for reporting purposes.
- Evidence exists of induction meetings with role players.

## Requirements for a desktop compliance check

### **6. Learner policies: Policies and procedures for the selection of learners are outlined, and learners are given guidance and support**

The wellbeing of the learner and the success of the learner are paramount to the Provider's ability to deliver quality learning. Therefore, the following should be clearly documented:

There should be clear policies and procedures linked to the learner and these should be specifically focused on learner entry, guidance and support.

**Learner Entry-** consider the entry criteria of the learning programme as documented either through the "Learning assumed to be in place" at the unit standard and qualification level, and consider this against the target audience of the training provider.

**Learner Guidance-** what guidance will be there in terms of providing options to learners in terms of the learning programmes offered and suitability for programmes.

**Learner Support-** what coaching and mentoring programmes will be offered to learners, how would this be translated into the workplace?

The resources of the organization should have sufficient capacity to be able to meet the needs of its learners.

There should be a clear induction programme developed which helps to share information with the learner about outcomes based methodology, the learning programme they are registered on as well as the learning pathway that they will follow.

#### **Requirements**

- Validation of learner entry, guidance and support policy.
- Validation against resources to be used for learner support

- The induction process for the learner should be provided and will be validated.

### **Recommendations/Best Practice**

Learner grievance procedure developed.

Learning counselors contracted for learner support.

## **Requirements for a desktop compliance check**

### **7. Assessment policies: Outline policies and procedures for forms of assessments that are used and how they are managed**

Assessment is critical in outcomes based learning and the focus on correct assessment practice, design, and implementation is critical.

#### **Requirements**

Development of the following policies is required:

- Assessment policy, which should include the assessment principles (Fair, Valid, Reliable, Practicable) as well as the evidence collection principles (Valid, Authentic, Current, Sufficient), and should indicate practically how these will be met. The assessment policy should include the process to be followed, assessors' constituent registration and assessment best practice.
- Assessment procedure, which should include how planning for assessment, conducting assessment, providing feedback, and review of assessment will be done in a practical sense.
- Moderation policy, which should include the moderation principles (consistency, transparency or openness), how the moderation will evaluate the assessment and evidence collection principles, moderators constituent registration and how moderation will be practically implemented. Moderation practice should be defined to explain how it will meet best practice. Moderation must be confirmed and it must state that the sample required is 25% of registered learners and

comparative moderation should be noted as a sampling requirement, across both competent and not yet competent learners, assessors, regions, or groups.

- Moderation procedure which explains the process of moderation, planning moderation, meeting with assessors, conducting moderation, documenting moderation decisions, providing feedback to assessors, moderation review.
- Appeals Policy, which should include the policy about the appeals as a fundamental right as well as the process to follow which should be noted separately and include the template to be used.
- Recognition of Prior Learning Policy, which should note the principles of RPL but unless provider is registering as an assessment centre, should not include process.

### **Recommendations/Best Practice**

Standard operating procedure developed for the cycle of assessment and moderation.

## Requirements for a desktop compliance check

### **8. Management system and policies: Indicate the financial, administrative and physical structures and resources of the organization, as well as procedures of accountability within the organization**

The documents noted below are required for consideration of evaluation.

#### **Requirements**

- The registration documentation should match the application and the legal name should be clearly documented through a validation of CIPC/CIPRO documentation, or documents issued for Non-Profits.
- Confirmation that legal entity is still registered with CIPC should be demonstrated (annual returns filed with CIPC and administrative fee paid)
- A valid and current Tax clearance certificate in the name of the legal entity must be provided.
- Confirmation of Accounting Officer/Auditor for the entity is required
  - Practice Number for the accounting officer should be recorded on a formal letter from them, if not noted on the financial statements.
- Audited Financial Statements should be provided for the last financial year. The auditor's report/accounting officer's report will be read to ensure that there is compliance to accounting practice and that no concerns are noted.
- Financial resources should be sufficient to maintain accreditation and registration of learners.
- Business Plan should be in place, this should indicate how the training will generate revenue and sales and produce sufficient resources to maintain the business.
- Confirmation of business bank account should be available
- Public Liability Insurance should be confirmed if the Provider will offer

training at its premises.

- If applicable, agreement to offer training at rented venues should be confirmed with a contract.
- If applicable, rental agreement for premises should be confirmed.
- OHS audit and information should be supplied to demonstrate compliance to occupational health and safety.

## **Further reading**

South African Qualifications Authority (2001) “Criteria and Guidelines for ETQAs”

South African Qualifications Authority (2001) “Criteria and Guidelines for Providers”

South African Qualifications Authority (2001) “Quality Management Systems for Education and Training Providers”

South African Qualifications Authority (2001) “Criteria and Guidelines for Assessment of NQF Registered Unit standards and Qualifications”