
CRITERIA & GUIDELINES

ETD QMS

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Criteria & Guideline: Introduction

1. Use of the Criteria & Guideline Document

1.1 Content of the Criteria & Guideline Document

The *Criteria an Guideline* document covers the following aspects regarding the theta Accreditation Process:

- 1 An Overview of an ETD QMS
- 2 An ETD QMS Model
- 3 Expanding the Policy Areas

1.2 Additional Resources

Please refer to the THETA web-site at www.theta.org.za for the following additional resources that may assist you:

No	Resource	Purpose
1	Accreditation	Overview of the THETA accreditation criteria, evidence requirements, process and conditions
3	Programme Strategy	Overview of the process of documenting a programme strategy for THETA evaluation purposes
4	Assessment Guide Design	Overview of sound assessment design that will lead to an aligned, outcomes based assessment strategy
4	Assessment Strategy Design	Overview of sound assessment design that will lead to an aligned, outcomes based assessment strategy

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1.3 Additional Support

The **THETA web-site** is www.theta.org.za and contains all the policy documents and resources mentioned in this document. All **unit standards and qualifications** within the THETA accreditation scope may also be found on the THETA web-site.

Should any further assistance be required, the **THETA Call Centre** may be contacted at **0860 100 221**

Alternatively, a **THETA Quality Assuror** will be able to assist potential providers in queries at:




Tel: (011) 217 0600.

Fax: (011) 783 7745

Email: theta@theta.org.za

1.4 Navigating the Criteria & Guideline document Learner Pack Support

The following icons have been included to assist you in navigating this guide:

Icon	Use
	Legal / policy requirement
	Tips & Truths
	Templates & Checklists

2. Introduction to the Criteria and Guideline Document

Criteria & Guidelines: ETD QMS



2.1 Purpose of the Document

This document outlines the requirements for *planning and writing your quality management policies, processes, procedures and review mechanisms*. Use the document to guide you through the design and development of your policies.



Tip:

This document is intended to provide ***broad guidelines*** on an ETD QMS only, and is ***not a comprehensive guide to either QMS, or SAQA requirements of the provider***. The provider is still required to refer to the SAQA policy document ***“Criteria & Guidelines for Providers”*** (available on the THETA web-site) for full details on legislative requirements for good practice.

2.2 Scope of the QMS

The provider must have a quality management system to ensure that the degree of excellence specified for provision and assessment is achieved.

The QMS should make provision for:

- policies that govern the providers ETD practice
- processes and procedures for the implementation of policy statements, and
- mechanisms to review these policies, processes & procedures.

The provider must be able to demonstrate that it has a quality management system that includes quality management policies, processes and procedures as well as review mechanisms.

1. Overview of an ETD QMS

1.1 Introduction

1.1.1 What is a QMS?

A QMS can be described in several ways:

Sum of the activities and information the provider uses to enable it to:

- o better and more consistently deliver products and services that
- o meet and exceed the needs and expectations of its customers and beneficiaries,
- o more cost effectively and cost efficiently, today and in the future



Tip:

Quality management is **NOT** a concept that can be applied to one aspect of the organization only. It is a total, encompassing strategy that effects the whole organization, and must be developed/implemented within the greater structure of the organization.

1.1.2 Purpose of a QMS

The purpose of a QMS in an organization is to create a system which allows an organization to:

- Say what you do and do what you say
- Document what you do, do what you document
- Maintain consistency, transparency and quality in the above
- Create a quality culture of a “**PDAC**” cycle (Plan, Do Check, Act)
- Establish a clear basis from which continuous improvement can be achieved



Tip:

The provider **QMS is developed for the organization to maintain good practice, not for the ETQA!** If the organization has no ownership over the QMS, it will fail, and become an administrative burden on the organization.

Criteria & Guidelines: ETD QMS



1.1.3 A broad QMS Scope

Providers must include policy *statements and procedures* regarding the following:

- Development, management and review of the QMS
- Managing learning programme design, development, implementation
- Managing assessment and moderation practices
- Managing administration, record keeping and reporting
- Managing ETD staff selection, management, development and partnerships
- Managing learnerships and skills programmes provision, workplace partnerships and learner support

1.1.4 Compliance vs. Conformance

Any provider must aim for **conformance (best practice)** in his ETD QMS, in other words his QMS must first and foremost state his organizational requirements for best practice.

Thereafter, an **alignment to include compliance** must be made – i.e. does my practice also comply with the ETQA / legal requirements?

1.1.5 About a Quality Assurance Committee

Quality management is **NOT** a concept that can be applied to one aspect of the organization only. It is a total, encompassing strategy that effects the whole organization, and must be developed/implemented within the greater structure of the organization.

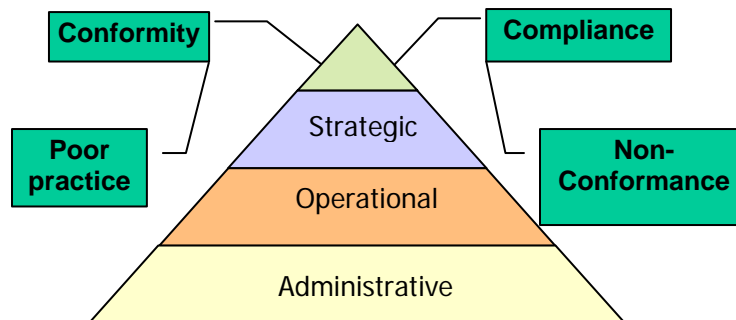


Tip:

“Piloting” it through the provider is acceptable, as long as the organization develops a strategic plan to extend the quality management system to the rest of the organization

1.2 The QMS Context

1.2.1 QMS Levels



All Quality Management Systems have **three broadly defined areas**:

Strategic

Policy statements which clearly state the organizational position towards an ETD practice, and where required, states a clear inclusion and exclusion of expected practice

Operational

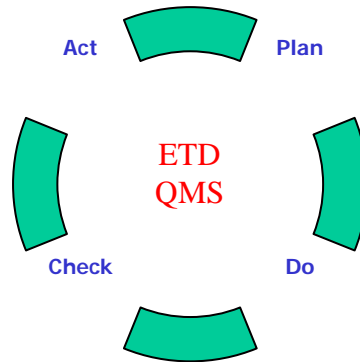
Processes that show how the policy statements will be implemented, and normally includes a "by who"

Administrative

Supporting documents to be used in the process of implementation – whether it is learning material, registration forms, assessment guides, moderator reports, codes of conducts, information brochures ...

Criteria & Guidelines: ETD QMS

1.2.2 The Quality Cycle



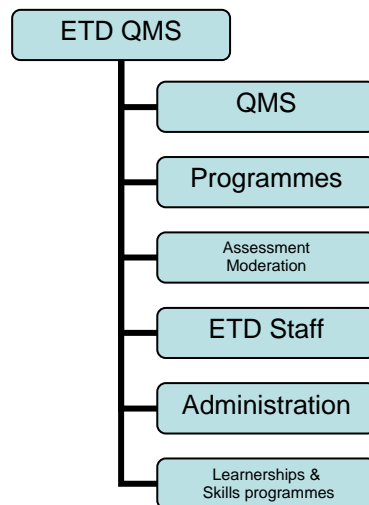
The implementation of any Quality Management System is a continuous cycle of “**Plan Do, Check Act**”. The Quality Cycle broadly requires the following actions:

1. **Plan the QMS:** Planning, scoping, design and development
2. **Do the QMS:** Implement the policies, processes and supporting documentation
3. **Check the QMS:** Check actual practice against proposed QMS and evaluate implementation
4. **Act the QMS:** Align practice to policy, or policy to process – whichever will allow for best fit for purpose conformity and compliance.

2. An ETD QMS Model

2.1 An ETD QMS Model

2.1.1 The ETD QMS Model



The ETD QMS Model:

The QMS Model is broadly divided into **6 policy areas**:

- Development, management and review of the QMS
- Managing learning programme design, development, implementation
- Managing assessment and moderation practices
- Managing administration, record keeping and reporting
- Managing ETD staff selection, management, development and partnerships
- Managing learnerships and skills programmes provision, workplace partnerships and learner support

Criteria & Guidelines: ETD QMS



2.1.2 Purpose of the Model

The purpose of the proposed model is to give a **broad guideline** to the types of policy areas and elements that should be present in an ETD QMS. This model is a **generic basis** only, and is by no means a comprehensive representation – the provider is required to **customize the proposed model** to include all elements relevant to his organization method of operation.

3.1.3 QMS Policy Areas

The following table is a broad description of the nature of the content of the QMS Policy.

(In accordance with organizational requirements, the QMS Model may contain more or less policy areas - this serves as a guide only)

No	Area	Description
1	QMS Policy	Policy and process on the establishment and maintenance of the QMS
2	Learning Programme Management	Policy and process on the design, development, implementation and evaluation of WSP and NQF / unit standard aligned learning programmes
3	Assessment & Moderation Management	Policy and process on the assessment and moderation of WSP and unit standard aligned learning programmes
4	ETD Staff Management	Policy and process on the selection, development, appraisal and management of ETD staff used in the provision of NQF / unit standard aligned learning programmes
5	Administration Management	Policy and process on the administrative management of learner, assessment / moderation and learning programme records within the accredited provider environment
6	Learnership & Skills programme Management	Policy and process on the implementation and management of learnerships and skills programmes within the accredited provider environment.

2.2 A Strategic Implementation Plan



Tip:

Quality Management is a continuous cycle – after the review phase, the quality cycle is repeated on a regular basis of **“Plan Do Check Act”**

Phase One: PLAN		
1.1 Planning & Scoping		
Step	Key Principle	Description
1	What do we need?	<ul style="list-style-type: none"> ▪ Identify the quality management requirements for the organization as defined in legislation / THETA policy requirements ▪ Identify what of those requirements are applicable to the organizations’ operational set-up and operational strategy ▪ Map a broad QMS structure, (refer to Section 2 of this document)
2	What do we have?	<ul style="list-style-type: none"> ▪ Identify the quality management system as applied to the organization ▪ Identify current policies, processes, documentation and role players
3	What is the GAP?	<ul style="list-style-type: none"> ▪ Where required, consult stakeholders and role players in the organization to determine the gaps / overlaps / requirements ▪ Update the QMS structure to include legislative and organizational requirements
1.2 Design & Develop		
4	Who does what?	<ul style="list-style-type: none"> ▪ Do a role allocation in the organization – <ul style="list-style-type: none"> ○ Who will develop which policy areas? ○ Where can information be sourced from? ○ Who else must be consulted in the process? ○ Is there standard material available, or must it all be developed? ▪ Draft a broad project plan / “to do” list of what must be done by who and with which resources, and distribute to all role players
5	When / how do we deliver?	<ul style="list-style-type: none"> ▪ Set a time line for delivery per project plan item ▪ Write the missing policies / processes and procedures, consolidate the new and existing material

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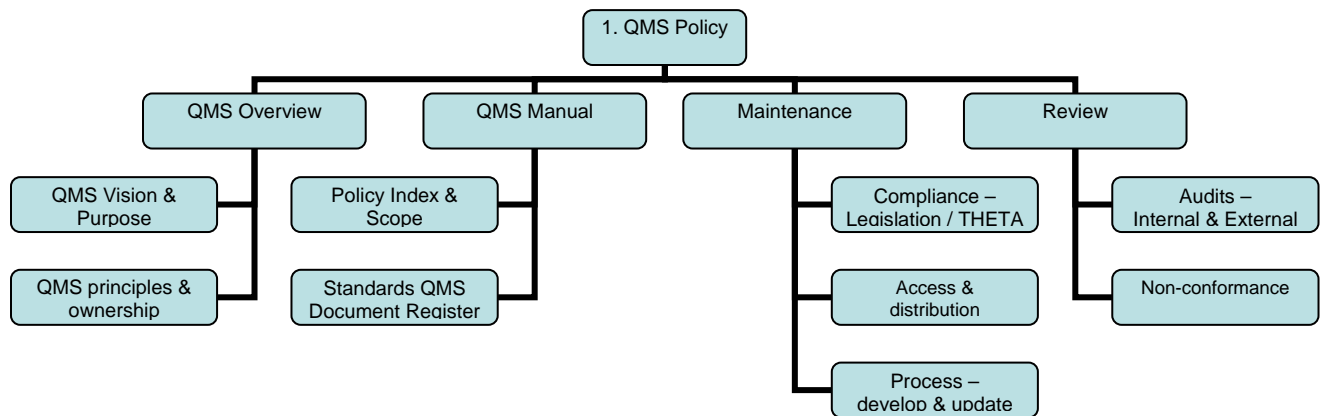
1.2 Design & Develop (continued)		
Step	Key Principle	Description
6	Are we covering all bases?	<ul style="list-style-type: none"> ▪ Evaluate QMS drafts to ensure development covers all three QMS levels – strategic (what - policy), operational (how - process) and administrative (with what - documents) ▪ Identify gaps in the QMS and processes for immediate and future development
7	Can we consolidate?	<ul style="list-style-type: none"> ▪ Create a <i>document / policy register</i> that outlines the QMS structure and supporting documents ▪ Make sure an <i>overarching Quality Policy</i> is drafted that “umbrellas” all QMS activities, and outlines the actual QMS process of policy / process admin design, development, review, maintenance and ownership. ▪ Combine all QMS documents with its document register into one <i>Quality Manual</i>
8	Will we be able to evaluate implementation?	<ul style="list-style-type: none"> ▪ Develop a set of tools to audit / self-evaluate implementation of the policies and processes – keep it short and simple!
Phase Two: DO		
9	Does everyone know what is going on?	<ul style="list-style-type: none"> ▪ Make the QMS policies, processes and documents available to all role players – either through hard copy or electronic copy ▪ Conduct awareness sessions on the QMS – if role players are not trained in the QMS, they will not follow it! ▪ Ensure buy in, consent to conform and signatures as evidence is obtained from all role players
10	Can we operate accordingly?	<ul style="list-style-type: none"> ▪ “Pilot” processes and documents where possible / required ▪ Identify gaps in the policies, processes and document requirements
Phase Three: CHECK		
11	Can we evaluate?	<ul style="list-style-type: none"> ▪ Evaluate the identified gaps in the system, and requirements to correct (develop new, add onto existing, change process / documents)
12	Can we correct?	<ul style="list-style-type: none"> ▪ Develop outstanding policies, processes and documents identified ▪ Affect changes in the identified gaps
Phase Four: ACT		
Step	Key Principle	Description
13	Can we implement?	<ul style="list-style-type: none"> ▪ Inform all role players about the affected changes ▪ Implement the changes and additional policy / process / document areas
14	Can we review?	<ul style="list-style-type: none"> ▪ Review the changes implemented against the original purpose – does it still give us a “fit for purpose” process? ▪ Identify further changes required or barriers to implementation and effective resolution options thereof

3. Expanding the Policy Areas

3.1 The Quality Management Policy

3.1.1 A Quality Management Policy Model

The following model is a broad overview of the elements contained in the Quality Management Policy Model:



(In accordance with organizational requirements, the QMS policy may contain more or less topical areas - this serves as a guide only)

3.1.2 Purpose of the Quality Policy



Tip:

The QMS policy is the overarching policy of the whole QMS – it forms the “**binding umbrella**” under which all other policy areas function.

It captures the **purpose** and **scope** of the overall QMS, the organizations’ **commitment** to QMS and its undertaking / plan on how to **maintain** and **communicate** the QMS, thereby keeping it as a living, breathing entity rather than a document on the shelf.

Criteria & Guidelines: ETD QMS



3.1.3 The QMS Policy Areas

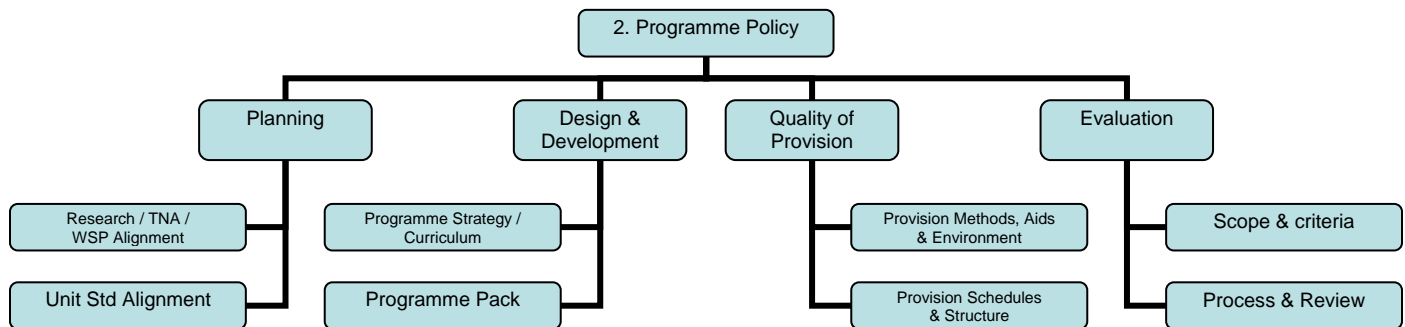
The following table is a broad description of the nature of the content of the QMS Policy.

No	Area	Description
1. QMS Overview		
1	QMS Vision and purpose	<ul style="list-style-type: none"> ▪ Is a clear vision and mission stated that captures the degree of excellence that the provider aspires to? ▪ Does the provider have a defined scope of delivery / assessment within a defined area of expertise? ▪ Does the provider have a clear purpose of the QMS?
2	QMS Principles and ownership	<ul style="list-style-type: none"> ▪ Has clear value principles been defined? ▪ Who will be responsible for maintaining the ETD QMS system? ▪ Has the ETD QMS been incorporated into your HR strategy?
2. QMS Manual		
3	Policy Index & Scope	<ul style="list-style-type: none"> ▪ Does the quality policy include a policy index and policy scope? ▪ Is the policy index the “binder” to a Quality Manual containing all the quality policies, processes and standard document register?
4	Standards QMS Document Register	<ul style="list-style-type: none"> ▪ Does the provider have a list / register of standard documents used in its provision processes? ▪ <i>(For example learner registration and achievement form, assessment guide format, appeals form, standard agenda and minutes template etc)</i>
3. QMS Maintenance		
5	Compliance – Legislation & THETA	<ul style="list-style-type: none"> ▪ Have you ensured that your ETD policies comply with SAQA and ETQA requirements? ▪ How will ETD policies be evaluated? How often and by whom? ▪ Who is authorized to amend ETD policies in your organization?
6	Access & Distribution	<ul style="list-style-type: none"> ▪ Is there a clear policy / process on the access of policies, processes and standard documents? ▪ Is there a clear process of distribution of policies and processes and standard documentation?
7	QMS Process - development & update	<ul style="list-style-type: none"> ▪ Is there a clear process and ownership in the development and maintenance of the QMS?
4. QMS Review		
8	Audits - Internal & External	<ul style="list-style-type: none"> ▪ Do you have a structured system to review your ETD QMS on a regular basis? ▪ Does your audit process include partnership / collaboration with external providers or practitioners: i.e. to ensure that agreement is reached with contracted partners and practitioners on the implementation of QMS principles? ▪ Does your audit process allow for inclusion and management of ETQA audits?
9	Non-Conformance	<ul style="list-style-type: none"> ▪ Do you have set criteria in defining and identifying non-conformance? ▪ Do you have a set process in managing non-conformance? ▪ Is prevention of non-conformance built into your QMS?

3.2 Managing Learning Programmes

3.2.1 A Learning Programmes Policy Model

The following model is a broad overview of the elements contained in the **Learning Programme Management** Policy Model:



3.2.2 Purpose of the Learning Programme Policy

The learning Programme policy governs the planning, design, development & review of learning programmes within the provider organization. It also states the quality of provision the provider subscribes to, and how the provider plans to ensure that such quality is obtained, including the management of provider partnerships with regards to delivery / assessment / programme scope, assessors & moderators, etc.

3.2.3 Learning Programme Policy Areas

The following table is a broad description of the nature of the content of the Programme Management Policy.

(In accordance with organizational requirements, the Programme Management Policy may contain more or less topical areas - this serves as a guide only)

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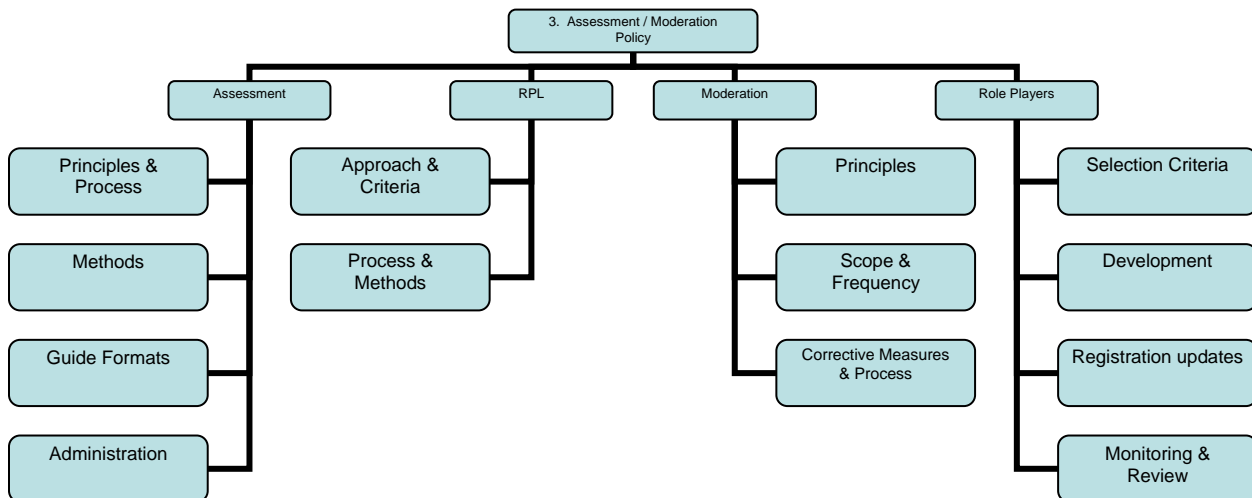


No	Area	Description
1. Planning		
1	Research / TNS / WSP Alignment	<ul style="list-style-type: none"> ▪ How do you arrive at the learning programme you present – is there any form of research / training needs analysis (TNA) process, WSP alignment that influences the decision? ▪ Does your research include finding registered unit standards to address the training needs? ▪ How else are learning programmes determined – client / management request / legislated need? ▪ How do we conduct needs analyses?
2	Unit Standard Alignment	<ul style="list-style-type: none"> ▪ Do you have a standard format / methodology for the design of unit standard based learning programme strategy? ▪ Do you have standard criteria of what should be included? ▪ How is it determined which resources is required per learning programme?
2. Design & Development		
3	Programme Strategy & Curriculum	<ul style="list-style-type: none"> ▪ How does target population analysis take place? (<i>Determined through management / job levels / job profiles / individual need requirements?</i>) ▪ Who is responsible for selection and/or selection criteria? ▪ Are learning programmes developed for a specific target group, or are learning programmes developed around a problem – thereafter selecting the target group? Learning programme written with both target group and problem in mind?
4	Programme Strategy & Curriculum	<ul style="list-style-type: none"> ▪ What process / design strategy is followed to ensure unit standard alignment is achieved? ▪ How are curriculum and materials development approached in the organization – process and by whom?
5	Programme Pack	<ul style="list-style-type: none"> ▪ What is the standard programme pack that is developed per learning programme? What can the learner / facilitator / assessor expect? ▪ (<i>For example: Programme Strategy, curriculum, Learner Guide, Facilitator Guide, Portfolio Guide, Assessment Guide, Learner Workbooks, Workplace Guide etc.</i>)
3. Quality of Provision		
6	Provision Methods, Aids & Environment	<ul style="list-style-type: none"> ▪ Do you have standard criteria / guidelines in place to determine quality in learning programmes? ▪ How will the quality of learning programmes be maintained? ▪ Who will be responsible and accountable for this process? Do you have a system of audit of learning programmes in place?
7	Provision Schedules & Structures	<ul style="list-style-type: none"> ▪ Policy and process re. development of Implementation Plans and schedules, monitoring progress of implementation and reporting thereon to all required parties? ▪ Method of communicating provision schedules to learners, workplace and ETD staff?

No	Area	Description
4. Evaluation		
7	Scope & Criteria	<ul style="list-style-type: none"> ▪ Do you have a system and clear criteria in place to evaluate: <ul style="list-style-type: none"> • impact of learning in the workplace? • transfer of training takes place? • learner achievements? • strengths and shortcomings of the learning events
8	Process & Review	<ul style="list-style-type: none"> ▪ Clear evaluation strategy for all learning programmes – linked to moderation and assessment process? ▪ How will evaluation findings be stored / accessed / used?
9	Programme material Updates	<ul style="list-style-type: none"> ▪ Clear strategy and process for the research and update of learning material according to new legislative and/or product requirements

3.3 Managing Assessment & Moderation

3.2.1 An Assessment & Moderation Policy Model



3.2.2 Purpose of the Assessment / Moderation Policy

The Assessment / Moderation policy governs assessment & moderation of learning programmes delivered within the provider organization. It also states the quality of RPL assessment provision where applicable, and the provider management of its assessors / moderators within the organization.

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3.2.3 Assessment / Moderation Policy Areas

The following table is a broad description of the nature of the content of the Assessment / Moderation Policy.

(In accordance with organizational requirements, the Assessment / Moderation Policy may contain more or less topical areas - this serves as a guide only)

No	Area	Description
1. Assessment		
1	Principles & process	<ul style="list-style-type: none"> ▪ Are the principles of assessment as described by SAQA a clear guideline for the design, development, implementation and review of assessment practices? <i>(See example of policy statements in this regard after this table)</i> ▪ Is the process of assessment and RPL as supported in the (7978) (generic assessor) unit standard and SAQA policy documents clearly supported in the provider policy and processes? ▪ Clear balance between and process in both formative and summative assessments? ▪ Policy regarding pre-assessments / diagnostic assessments? ▪ Clear policy on logistics in conducting assessment, i.e. regarding environment, equipment used, role players to be involved?
2	Methods	<ul style="list-style-type: none"> ▪ What assessment methods will the assessor engage in when he/she assesses the learner? ▪ Policy on balance of methods and evidence types? ▪ Policy on use of evidence facilitators and/or panel assessments?
3	Guide Formats	<ul style="list-style-type: none"> ▪ Policy / format of assessment guides and standard document requirements in assessment is as per accepted assessment process? <i>(plan, prepare, conduct, judge, record, review)</i> ▪ Maintenance of assessment guides and documentation?
4	Administration	<ul style="list-style-type: none"> ▪ Filing, distribution and security of assessment information?
2. RPL		
5	Approach & Criteria	<ul style="list-style-type: none"> ▪ Policy on how alignment to all unit standard elements is ensured? ▪ Policy on how critical cross-field outcomes will be assessed? ▪ Organization's approach to RPL? Has a process been determined?
6	Process & Methods	<ul style="list-style-type: none"> ▪ Preparation and assessment to determine what prior learning has taken place? ▪ How will the principles of assessment (as defined by SAQA and assessment practiced) be ensured in RPL?

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No	Area	Description
3. Moderation		
7	Principles	<ul style="list-style-type: none"> Clear policy on moderation principles followed? (<i>for example, compliance to company policy, conformity to assessment principles, assessor developmental approach etc</i>)
8	Scope & Frequency	<ul style="list-style-type: none"> Schedule of moderation and method of moderation outlined? Frequency and scope of moderation defined, i.e. purpose of moderation samples defined? (<i>For example validation of instruments, assessment process of assessor performance, evidence sufficiency</i>)
9	Corrective Measures & Process	<ul style="list-style-type: none"> Clear policy on non-conformances in assessment practice and corrective measures to be taken by moderators? Clear assessor appeals process against moderation decision?
10	System Establishment	<ul style="list-style-type: none"> Clear guidelines on drafting / development of moderation tools, pilot implementation and adjustment thereof?
4. Role Players		
11	Selection Criteria	<ul style="list-style-type: none"> Criteria, process & controls for assessor & moderator selection? Evidence required for selection as a Workplace Assessor / evidence facilitator in employer organization? Process, criteria and controls defined/in place?
12	Development	<ul style="list-style-type: none"> Criteria, process and controls in the development of assessors and moderators? Clear path to develop assessors as moderators, and to develop assessors to extend assessment scope?
13	Registration Updates	<ul style="list-style-type: none"> Portfolio, policy and process of registration of assessors / moderators with the ETQA? Management of adding / removing / increasing assessor scope for assessors from ETQA database?
14	Monitoring & Review	<ul style="list-style-type: none"> Criteria, process & controls for assessor & moderator monitoring & performance review? Process / frequency of ETD staff meeting and quality assurance reviews? Assessor Codes of Conduct and contracts of deliverables / performance reviews?

3.2.4 Managing Assessment & Moderation



Tip:

Those principles underpinning assessments should be applied to all aspects of assessments during the policy development phase.

The table below provides an example of how the assessment principles underpin the providers' assessment policy.

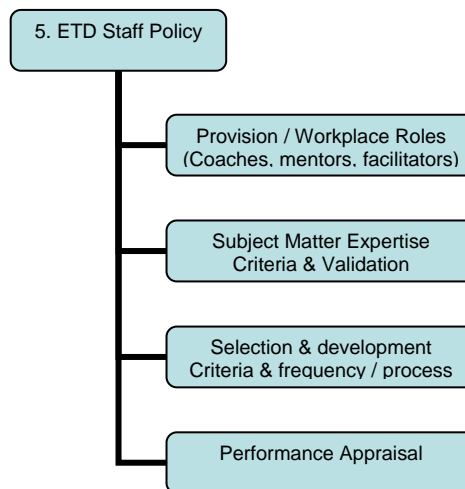
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Principle	Explanation	An example of a policy statement
Validity	Does the evidence relate to the specific outcomes and criteria to be assessed?	Assessment instruments are designed to assess specific outcomes as defined in the unit standard assessment criteria
Authenticity	Can evidence be attributed to the learner?	Learners are required to authenticate evidence by signing each evidence component in the assessment process
Sufficiency	Is there enough evidence to certify competence?	Physical evidence produced by a learner must be sufficient to certify competence, and will not be based on organizational assumption for any reason.
Currency	Is the evidence related to current competence?	If learner experience relating to a unit standard component were gained and practised more than 2 years before, re-assessment of the competence unit in question is required

3.4 Managing ETD Staff

3.4.1 An ETD Staff Management Model



3.4.2 Purpose of the ETD Staff Management Model

The ETD staff Management policy links back to the programme and assessor / moderator policy, and governs the **management of provision personnel** such as coaches, mentors, workplace assessors and trainers / facilitators.

Criteria & Guidelines: ETD QMS



3.4.3 ETD Staff Management Policy Areas

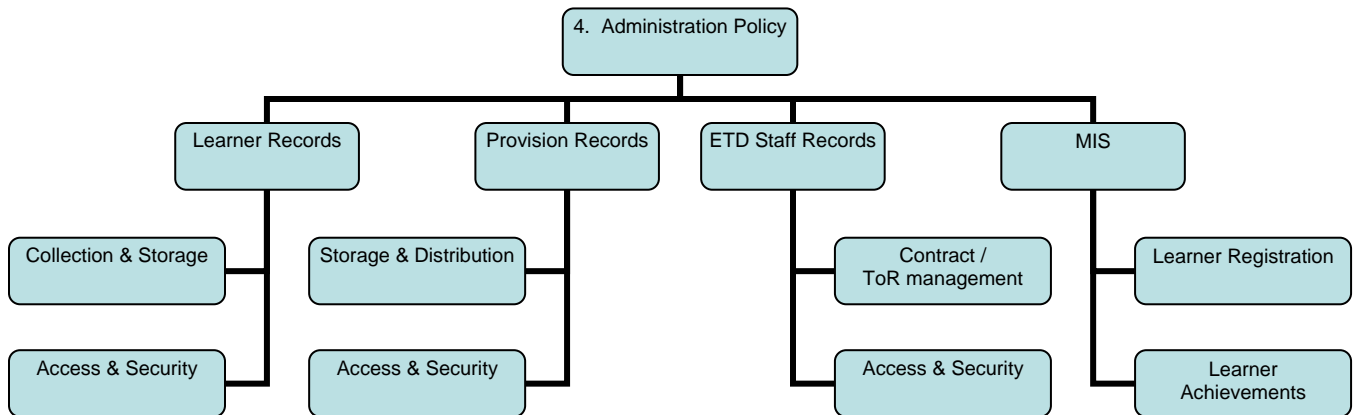
The following table is a broad description of the nature of the content of the ETD Staff Management Policy.

(In accordance with organizational requirements, the ETD Staff Management Policy may contain more or less topical areas - this serves as a guide only)

No	Area	Description
1. Provision / Workplace Roles		
1	Coaches, mentors, facilitators	<ul style="list-style-type: none"> ▪ Orientation and management of workplace coaches, mentors & facilitators to provide structured learning? ▪ Policy on manner of interaction & frequency of contact with workplace coaches, mentors and facilitators?
2	Workplace assessors / assessment	<ul style="list-style-type: none"> ▪ Orientation and management of workplace assessors to provide appropriate assessments? ▪ Policy on manner of interaction & frequency of contact with workplace assessors?
2. Subject Matter Expertise		
3	Criteria	<ul style="list-style-type: none"> ▪ Criteria for required subject matter expertise in relation to the relevant qualification of workplace coaches, mentors, facilitators and assessors?
4	Validation	<ul style="list-style-type: none"> ▪ Validation of subject matter expertise against required qualification?
3. Staff Selection & Development		
5	Criteria	<ul style="list-style-type: none"> ▪ Criteria for staff selection and development?
6	Frequency & Process	<ul style="list-style-type: none"> ▪ Frequency and process of staff development?
4. Performance Appraisal		
7	Criteria	<ul style="list-style-type: none"> ▪ Performance appraisal criteria? ▪ Standard documentation?
8	Frequency & Process	<ul style="list-style-type: none"> ▪ Frequency and process of performance appraisal with ETD staff?

3.5 Managing Administration

3.5.1 An Administrative Management Policy Model



3.5.2 Purpose of the Administrative Management Policy

The administration management policy governs the QMS element of “documenting what you do”, and pertains in particular to the management of (hard copy) learner records, programmes and the provider’s (electronic) database.

3.5.3 Administrative Management Policy Areas

The following table is a broad description of the nature of the content of the Administration Management Policy.

(In accordance with organizational requirements, the Administration Management Policy may contain more or less topical areas - this serves as a guide only)

Criteria & Guidelines: ETD QMS

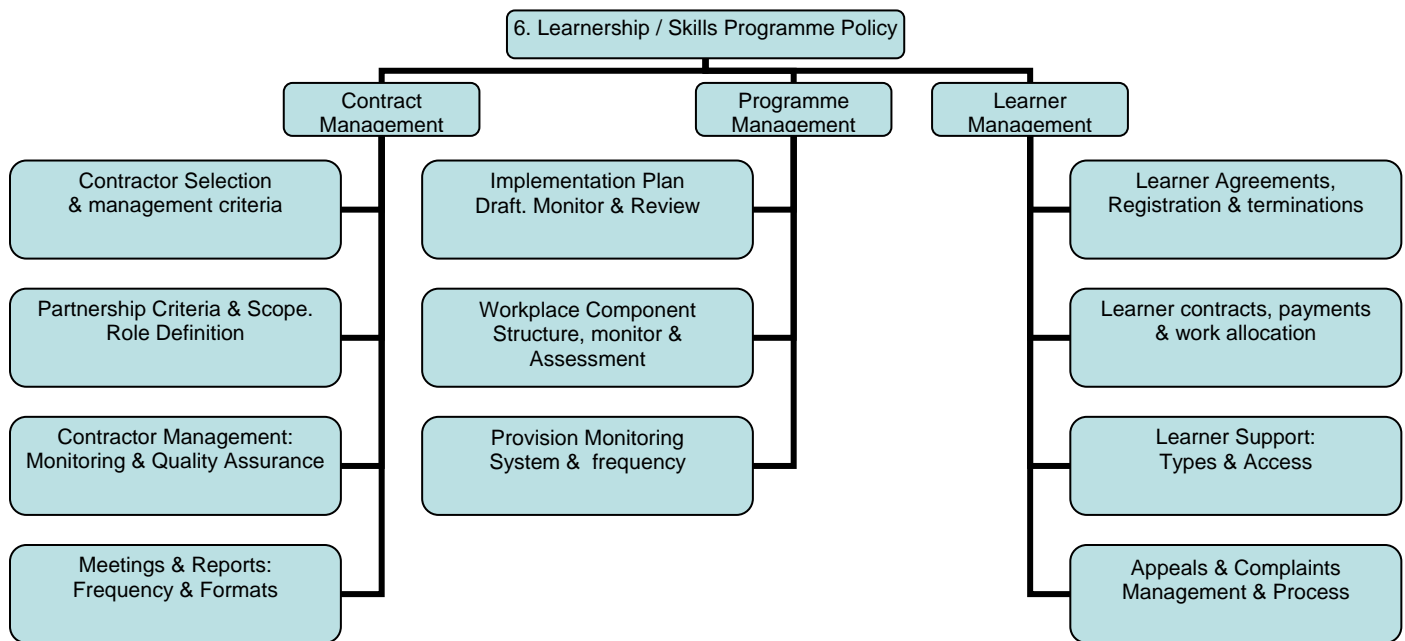


No	Area	Description
1. Learner Records		
1	Collection & Storage	<ul style="list-style-type: none"> ▪ Which learner records will be stored and where/how? ▪ What process / system of storage exists? ▪ Who has access to it/ is it accessible? ▪ Types of evidence to be stored? ▪ Administrative process between various sites of learner records for moderation & auditing purposes?
2	Access & Security	<ul style="list-style-type: none"> ▪ Access to learner records, and security of learner records?
2. Provision Records		
3	Storage & Distribution	<ul style="list-style-type: none"> ▪ Printing and storage of provision material? ▪ Distribution of provision material?
4	Access & Security	<ul style="list-style-type: none"> ▪ Where and how is learning programme material controlled? ▪ Management of learning programmes / assessment material programme document control?
3. ETD Staff Records		
5	Contracts / ToR Management	<ul style="list-style-type: none"> ▪ Customizing, signing and storage of ETD staff contracts? ▪ Management of Terms of Reference / job descriptions of ETD staff?
6	Access & Security	<ul style="list-style-type: none"> ▪ Accessibility of recording system to relevant persons, i.e. management, learners etc? ▪ Security of learner records through proper access control? ▪ Systems back up records?
4. MIS		
7	Learner Registration	<ul style="list-style-type: none"> ▪ Policies and procedures for the accurate capturing, maintenance and regular updating of learner information? ▪ Policy and process for recording (on database / personnel records etc.) which learners attended a learning programme?
8	Learner Achievements	<ul style="list-style-type: none"> ▪ Policy / process for recording, validating and submitting learner achievements? (Must link in with Moderation process) ▪ Controlling of submissions for certification through THETA, and recording of certificates returned?
9	Electronic access management	<ul style="list-style-type: none"> ▪ Electronic management of information – access and authority levels to THETA database with regards to certification requests and learner achievements, registration and termination of learners?

3.6 Managing Learnerships & Skills Programmes

3.5.1 A Learnership & Skills Programme Management Policy Model

The following model is a broad overview of the elements contained in the Learnership and Skills Programme Management Policy Model:



3.5.2 Purpose of the Learnership & Skills Programme Management Policy

The Learnership / Skills Programme policy governs the management of the implementation of learnerships and skills programmes within the organization – whether it be a client environment or within its own environment. This policy is crucial with regards to defining organizational roles and processes in ensuring contracts, partners, learners and provision are managed as a unit.

Criteria & Guidelines: ETD QMS



3.5.3 Learnership & Skills Programme Management Policy Areas

The following table is a broad description of the nature of the content of the Learnership / Skills Programme Management Policy.

(In accordance with organizational requirements, the Learnership / Skills Programme Management Policy may contain more or less topical areas - this serves as a guide only)

No	Area	Description
1. Contract Management		
1	Contractor selection & management criteria	<ul style="list-style-type: none"> ▪ Partnerships
2	Partnership criteria & Scope, role definition	<ul style="list-style-type: none"> ▪ Criteria & conditions for partnerships? ▪ Scope of partnerships and role definition? ▪ Quality assurance measures in partnership agreements?
3	Contractor Management: Monitoring & Quality Assurance	<ul style="list-style-type: none"> ▪ Policies and processes governing the organizational relationship with contractors in terms of their compliance to your QMS standards?
4	Meetings & Reports: Frequency & Formats	<ul style="list-style-type: none"> ▪ Frequency and scope of standard meetings with ETD partners and practitioners? ▪ Frequency / format of reports to and from partners in ETD?
2. Programme Management		
5	Implementation Plan Draft, Monitor & Review	<ul style="list-style-type: none"> ▪ Programme implementation management – drafting, monitoring & review? ▪ Schedule of programme implementation ▪ Programme marketing & communication?
6	Workplace Component Structure, monitor & Assessment	<ul style="list-style-type: none"> ▪ Workplace Guide / schedule – draft / implement and monitor? ▪ Which resources will be allocated to a learning programme as per the unit standard / qualification requirements? ▪ Management and control of resource allocation and access? ▪ <i>(Resources: Equipment, material, training aids, budget, media, technology etc.)</i>
No	Area	Description
7	Provision Monitoring System & frequency	<ul style="list-style-type: none"> ▪ Workplace experience built into the learning process, and integrity monitored / managed? ▪ Management and control of workplace assessment / evidence facilitation?

Criteria & Guidelines: ETD QMS



No	Area	Description
3. Learner Management		
8	Learner Agreements, Registration & terminations	<ul style="list-style-type: none"> ▪ How are entry requirements (i.e. required knowledge, skills, job level etc. made available to learners? ▪ How do learners gain access to entry requirements and learning programmes? ▪ Process of agreements – induction, signing, submission and distribution? ▪ Process of terminations – exit interview, submission and financial adjustments to claims?
9	Learner contracts, payments & work allocation	<ul style="list-style-type: none"> ▪ Management of learner contracts? ▪ Claims – validation and submissions and terminations update? ▪ Payments management through payroll link? ▪ Work allocation in accordance with Workplace Guide (<i>see policy area 2 – programme management</i>)
10	Learner Support: Types & Access	<ul style="list-style-type: none"> ▪ Clear policy on learner support within programmes? ▪ Structured access to workplace and provider support figures as required by the programme?
11	Appeals & Complaints Management & Process	<ul style="list-style-type: none"> ▪ Do you have a policy to manage complaints / appeals from learners? ▪ Process accessible to learners? ▪ Follow-up of complaints transparent?