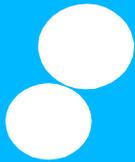




Blue Sky Campus
Quality Policy
2020 - 2026



**Blue Sky Campus
TVEC Reg.
No.P20/0085
Quality Policy**

Management Commitment

Title	Type	Code
Quality Policy	Policy	QP/MC/001

Business Systems

Title	Type	Code
Human Resource Policy	Policy	HRP/BS/002
Recruitment Guide	Procedure	RSP/BS/003
Staff Performance Procedure	Procedure	SPP/BS/004
Staff Training and development procedure	Procedure	STDP/BS/005
Staff and Learner Grievance Procedure	Procedure	SLGP/BS/006
Academic and Student Policies	Policy	AP/BS/007
Financial Policy	Policy	FP/BS/008
Financial Procedures	Procedure	FP/BS/009
Customer and Marketing Policy	Policy	CMP/BS/010
Reporting Policy	Policy	RP/BS/011

Training Systems

Title	Type	Code
Learning Programme Development, Delivery and Evaluation Policy	Policy	LPDP/TS/012
Learner Management Policy	Policy	LMP/TS/013
Admissions Policy	Procedure	RSL/TS/014
Procedure to Support Learners during learning	Procedure	SLL/TS/015
Learner Code of Conduct	Procedure	LCC/TS/016
Assessment Management Policy	Policy	AMP/TS/018
Recognition of Prior Learning Policy	Policy	RPLP/TS/019
Appeals Procedure	Procedure	AP/TS/021
The Registration of Assessors	Procedure	RS/TS/022

Monitoring, Evaluation and Review of the QMS

Title	Type	Code
Policy on monitoring, evaluation and reviewing the QMS	Policy	MER/MC/023
Procedure to review the QMS	Procedure	REV/MC/024

QUALITY POLICY

QP/MC/001

Our Mission

We will meet or exceed our learners' expectations by continuously improving and updating the skills and resources needed for demand driven Education, Training and Development.

Goals and Vision

Help our learners achieve their full potential through quality education, training and recognition.

2. Quality Management System

General requirements

The Quality Management System (QMS) is that part of our overall business system which implements our Quality Policy, establishes procedures for providing training which meet or exceed learner expectations, and satisfies external quality system requirements. The QMS includes the policies, procedures, organizational structure, requirements and responsibilities for achieving our quality policy. The foundation for our QMS is found in our company's stated values, beliefs and culture.

This Quality Manual and its associated procedures establish and document the means by which we implement, maintain and continually improve our QMS. It also identifies the criteria and methods required to ensure effective operation and control of the system, and identify the measurement, monitoring, analysis, information, and actions necessary to achieve planned results and continuous improvement.

Management responsibility

Senior Management provides evidence of its commitment to the development and improvement of the quality management system through both words and actions. We ensure that our Mission, Quality Policy, Values, Beliefs and Organizational Culture are understood, implemented, and maintained at all levels of the organization through documented training, regular communication, verbal reinforcement and rewards.

Learner focus

Our Mission Statement and Quality Policy articulate our commitment to our learners. Learner expectations must be determined, understood, converted into requirements, and have processes designed to exceed them in order to fulfill this Mission and Quality Policy, on a daily basis. Staying close to our learners is our primary method of determining and understanding their requirements and expectations, and we accomplish this objective through a multitude of channels. These communications and interactions ultimately yield clear, explicit requirements and expectations. The QMS ensures that these requirements are fulfilled with the aim of exceeding learner expectations.

Quality Policy

Our Quality Policy specifies the Degree of Excellence as “all activities of the organization will be carried out in a systematic manner.”

Quality management system planning

Our QMS identifies and plans for the resources needed to ensure that our quality objectives are met. This includes the identification and planning of QMS processes, the resources needed to ensure its successful implementation, and objectives for continuous improvement. Any changes to the system are conducted in a controlled manner so that the integrity of the QMS is continually maintained.

Responsibility, authority and communication

The following have the key responsibilities and authority for maintaining the integrity of our Quality Management System:

Senior Management –

Senior Management is responsible for Strategic Planning and Quality Improvement Process Planning, the development of our Quality Policy, Vision, and Values & Beliefs, and provision of the necessary resources for accomplishing our goals and objectives. Additionally, Senior Management is responsible for conducting quality system reviews on an annual basis.

Operational Management –

Is responsible for the execution of the Strategic Plan, budgeting, and implementation of the quality management system and policies are the responsibility of Managers throughout the organization. This explicitly includes responsibility for implementation of our Quality Policy and ensuring adherence to our Values and Beliefs throughout the organization units for which they are responsible.

Employee Responsibility –

All employees are responsible for the quality of their work and for their part in the overall processes used to provide products and services to our customers. Employees will identify and record any problems relating to the product, process, and quality system. Employees are also the key participants in process improvements and the identification of measures needed to ensure the continued success of our continuous improvement process. They will initiate, recommend, or provide solutions through the Corrective/Preventive Action Program.

Internal communication

We ensure communication regarding QMS processes and their effectiveness between all levels of our organization through documented training and regular formal and informal communication methods.

QMS Review Committee and Brief

Representatives from Senior Management Operational Management and staff will constitute the QMS Review Committee. This committee will conduct an annual QMS review to ensure the continuing suitability, adequacy, and effectiveness of the organization. At this review, a number of Quality Management System components are reassessed to ensure that they remain current and applicable with business trends and market shifts. These include the Mission Statement and Quality Policy, Values and Beliefs, annual quality objectives, and the need for changes to the QMS.

The QMS review also includes a review of current performance and opportunities for improvement related to follow-up actions from earlier reviews, customer feedback, the internal audit program, the corrective/preventive action program, the preventive maintenance program, process performance and product conformance data, and other changes that could affect the QMS.

Provision of resources

Appropriate resources, including trained employees, are identified and provided throughout the documented quality system. These include the resources needed to ensure implementation and improvement of the QMS, conduct audits/due diligence, and address customer satisfaction. We believe that our employees are our most valuable assets. In line with our Values and Beliefs, we will do our best to help them achieve their full potential through continuous education and training.

We determine employee training, awareness, and competency needs through a variety of methods. All employees are evaluated and qualified on the basis of documented or demonstrated competencies. Qualification records for all employees are maintained.

We develop and provide training that balances organizational competency needs with the development and career needs of our employees. When a procedure is updated and implemented, those employees responsible for that specific process are trained prior to deployment of the new or changed process or procedure. We maintain records for all training received.

We evaluate the effectiveness of the training through immediate feedback and longer-term evaluation through the employee performance review process. We ensure that our employees are aware of the relevance and importance of their activities and how they contribute to the achievement of our quality objectives. We have identified and will manage the human & physical factors needed to achieve success learning and exceed learner expectations. A suitable working environment is maintained to ensure product quality.

Measurement, analysis and improvement

Learners are the reason we exist, and drive our quality policy “to meet or exceed learner expectations.” We collect, monitor, and evaluate information on learner and stakeholder satisfaction in order to determine how well we are performing against this critical objective. Our objective is to be particularly responsive to dissatisfaction or complaints. Anyone receiving a complaint has the responsibility for documenting the complaint in accordance with procedures. In addition, the person receiving the complaint will try to solve the problem immediately. If that individual cannot resolve the problem, then the problem will be transferred to an appropriate employee for resolution.

Internal audits are critical to the success of our Quality Management System. They help to determine the effectiveness of the system, as well as to identify opportunities for improvement. If the system is effective internal audits can aid in identifying additional opportunities for improvement. If the system is not effective, internal audits will help determine the scope, nature and source of the problem as well as possible corrective actions needed to achieve effectiveness. The results of these audits form an integral part of the continual improvement process.

The most comprehensive tool for determining the effectiveness of our QMS and identifying opportunities for improvement is our annual assessment against the TVEC Requirements. On an annual basis, we will perform a self-assessment. We will use the results of the assessment to identify current strengths and weaknesses, and to identify opportunities for continuous improvement.

Continual improvement

We plan and manage the processes necessary for the continual improvement of the QMS through the establishment of objectives, the planning of the process, the provision of resources and information needed to carry out the process, the monitoring of related measures needed to assess process effectiveness and efficiency, and the identification/implementation of actions needed to achieve desired results.

HUMAN RESOURCES POLICY

HRP/BS/002

We commit to utilize optimally the human and other resources and apply fair labour practices in keeping with relevant labour legislation. Before creating a post for any newly defined job or filling any vacancy, Management shall satisfy itself that; the posts are required and necessary to carry out the functions and that sufficient funds have been budgeted for the posts.

For each post, Management shall establish a job description and specifications, job title; remuneration scale; the job profile indicating the key performance areas of the post or posts; primary outcomes to be achieved by the incumbent and the minimum level of skills, knowledge, attributes and competencies required of the incumbent.

At least once a year, Management shall: Review the job description, job titles and where necessary redefine them to ensure that they remain appropriate and accurate and make the necessary adjustments to the performance management system to ensure compatibility with the job descriptions.

Management shall apply the performance appraisal system to ensure that work of equal value receives equal remuneration and reward; to assist in achieving effective organization of work and to determine appropriate remuneration of work. Where Management evaluates any job or post in the staff structure, it shall apply an approved job evaluation system or systems.

Management shall ensure that it complies with all Labour related regulations. All relevant deductions will be made from employee salaries before salary payment is made. In addition, staff are allowed a subsistence allowance and to claim official travel. Employees who are required to undertake duties which will oblige them to spend at **least** one night away from his / her usual place of residence the direct cost incurred shall be covered by the organisation.

From time to time employees leave the employ by resigning, retiring or through dismissal or retrenchment. We shall respect the rights of employees and pay them accordingly. An employee may voluntary resign on giving notice of not less than:

- One calendar month, in the case of full time employees who have been employed for one year or more.
- Five working days in case of temporary staff or consultants.
- Two weeks if the employee has been employed for more than four weeks but not more than one year, or the employee is on probation

We shall manage staff performance in **a consultative, developmental and non-discriminatory** manner in order to enhance efficiency and service delivery. Performance management procedure shall be outcome-based and aim to enhance the ability of employees to achieve the primary objectives (key deliverables) of the strategic business plan, while at the same time

linking up with individual career and skills development. We value employees who are willing to devote themselves to a career in the organisation, and endeavour to provide opportunities for self-development and advancement in line with individual skills and abilities within the organisation's operational requirements. Career management or path is the process by which the career aspirations of the individual employee are reconciled with the operational objectives of the organisation, and is closely linked to performance management.

We fully support staff development that focuses on not only developing the individual but also the context within which he/she fulfils their job function. Education, Training and Development efforts must support work performance and career development of the employee in his / her field of work. Both training and development should be driven by the needs of the organisation and of the employee linked strategically to broader human resources aimed at enhancing employment equity and representation. The Skills Development Facilitator shall coordinate the development of the workplace skills plan.

Staff Code of Conduct

The code of conduct provides a guideline as to what is expected from staff in performing their daily tasks as well as providing a common ethical basis for individual conduct. Employees shall be committed to conducting themselves with accordance with the highest standards of integrity and ethics and in compliance with other legislation related to objectivity, independence and conflict of interest. The code shall act as a guide to employees as to what is expected of them from the ethical point of view, both in their individual conduct and in their relationship with others. Compliance with the code is expected to enhance professionalism and help to ensure service confidence in the sector. The primary purpose of the code of conduct is to promote a good exemplary conduct.

Except where otherwise stated, this code shall be a rule for all employees on full-time, part-time or contractual basis and for learners during their theoretical and workplace training.

- Employees have a duty to act fairly to all persons or stakeholders who have an interest in the organization, and shall not act in anyway unreasonable or discriminatory. In order to protect the integrity, impartiality and independence of the organization, all activities should stand up to the closest public scrutiny.
- Employees shall not accept or solicit any gift, hospitality or other benefit that could influence, or be seen to influence his / her judgment, integrity and independence. Where there is doubt as to the appropriateness of a gift, hospitality or other benefit, the employee concerned should discuss the matter with Management.

- An employee shall honour the confidentiality of matters, documents and discussions, classified as being confidential or secret; not use or disclose any official information for personal gain or gain of a third party or an outsider and not use or allow to be used to further private interests and gains of others.
- An employee should not undertake remunerative work outside his / her official duties, or use office equipment for private work without the explicit approval from the Management and use the organization's equipment for private use.
- An employee should not engage in any transactions that are in conflict with or infringes on execution of his / her duties; involve him / her with action which may result in improper personal gain.
- An employee shall dress and behave (during official duties) in a manner that could enhance the positive reputation of the organization; outside working hours conduct him / herself properly and avoid unbecoming behaviour which will lead to disciplinary action if it negatively reflects on the organization's image; be honest and truthful and conscientious in his / her approach to and in performance of his / her duties; conduct him/herself with courtesy and consideration towards everyone in performing duties and observe and promote a human rights culture.
- An employee shall cooperate with public institutions established under legislation and country's constitution in promoting the sector's interests; serve the education and training sector in an unbiased and impartial manner in order to create confidence in the work of the organization; be committed in the development, upliftment of training and skills development in the sector and not discriminate unfairly against anyone on account of race, gender, religion, disability, nationality, etc.
- An employee shall co-operate fully with other staff members; assist colleagues in complying with the code of conduct and co-operate with appropriate measures in applying the code of conduct; not irresponsibly criticize the professional work or attainments of others but rather focus on the value of the support and assistance they provide. Individual contribution should be acknowledged in a meaningful way. Execute all reasonable instructions in his / her official capacity provided that these are not contrary to the provisions of the code of conduct, and any other relevant legislation. Never abuse his / her authority or influence another employee, nor allow him/her authority or influence another employee, nor allow him / her to be influenced to abuse his / her authority. Use proper channels to air his / her grievances or direct representation and commit to the optimum development,

motivation and utilization of any sub-ordinates and the promotion of sound labour interpersonal relations.

- An employee shall strive to achieve the objectives of the organization in a cost effective manner; Be creative in thought and in the execution of his / her duties, seeking innovative ways to solve the problems, and enhancing effectiveness and efficiency within the context of the law; Be punctual in the execution of his / her duties; Execute his / her duties in a professional and competent manner; Promote sound, efficient, effective, transparent and accountable administration and In the course of his / her duties, report to appropriate authorities any corruption, fraud, nepotism, misadministration or any other act which may constitute an offence.

All employees shall subscribe to the following value:

- Be transparent and fair in their conduct
- Co-operate with honesty and integrity
- Be courteous and caring to others
- Apply moral and legal precepts
- Honour deadlines
- Be principled and consistent in their conduct
- Strive to continuous improvement with regard to their roles, functions and performance
- Work within a framework of co-operative governance in spite of historical constituency based representation.

Any violation of any part of this code of conduct may result or cause appropriate disciplinary action in terms of the Disciplinary Procedure.

STAFF RECRUITMENT, SELECTION AND APPOINTMENT PROCEDURES

SRSP/BS/003

These guidelines regulate the recruitment and selection of staff. The aim is to ensure, through consistent procedures, fair criteria and equal treatment of candidates, that the best person is appointed to meet the requirements of any particular job. In aiming to maintain and enhance the quality of staff recruited, the organization recognizes the benefits of unbiased selection of the best candidate from the widest pool of applicants.

Vacant posts will normally be advertised in the interests of ensuring full and fair competition from the widest field of candidates. However, the Management reserves the right to consider for appointment persons other than those who make formal application in response to the initial advertisement. The advertisement must carry the following contents of the job:

- The job title - which should be gender neutral;
- Main purpose or function of the job - a brief statement;
- Main tasks, duties and responsibilities - including a general statement to cover "such other duties as may reasonably be assigned";
- The scope of the job - where the main tasks may not amply cover the scope or importance of the job, an indication of the number of people supervised, the equipment and other resources etc. may be given.

In drawing up the person specification attention will be given to:

- The knowledge and skills required for the job, which include job-related abilities, qualifications and knowledge. Identifying ways of testing and measuring relevant skills gives objectivity to the process;
- The experience needed to perform the job competently, which may arise from a variety of backgrounds;
- Any personal factors must be relevant to the performance of the job, for example, a job involving heavy use of the telephone might not be suitable for a person with speech or hearing difficulties but could be done by a candidate with mobility problems. Similarly work involving a high degree of manual dexterity, could be done by someone with hearing impediments. The aim is to be explicit about the tasks to be performed so that a potential applicant with a disability is in a position to judge their suitability for a particular job.

Shortlists may range from two up to a maximum of four candidates. The short-listing process must always involve more than one person. When short-listing the aim is to match candidates to the further particulars, job outlines and person specifications. Attention must be paid to criteria specified as essential, desirable and other in that order. Exceptionally where a large number of applications have been received, it may be necessary to introduce supplementary criteria to identify the final shortlist of up to four candidates. Such criteria must avoid factors that might be construed to be directly or indirectly discriminatory, and be in conformity with equal opportunities considerations. The principle should be to assess the ability of applicants to carry out the duties of the post with factors not relevant to such consideration disregarded.

By using a short-listing form, a record is kept of the reasons for short-listing or rejecting candidates by reference to the selection criteria and information about the requirements of the job. Such notes may be referred to in the event of complaints or allegations of any unfairness in the selection process.

Written references on short-listed candidates will be taken up and be available to the selection panel. Referees should be given sufficient information about the job to make an informed judgment as to the ability of the candidate to undertake the tasks involved and to confirm that there are no major areas of concern such as capability and absenteeism. Written references must be obtained where the job involves the handling of money or work in other sensitive areas (such as involving contact with young people or vulnerable adults) to vouch for the honesty and integrity of the candidate. Where a reference is short and uninformative, it may be necessary to seek supplementary comment or to obtain a further one. This can be done by fax or e-mail. Telephone references must be avoided. Where applicants have asked that a referee not be approached without permission, such permission should be sought at an appropriate time in the recruitment process. If a candidate does not nominate his or her current or last employer (if unemployed), it is appropriate to reserve the right to approach that employer with the candidate's agreement. References are confidential documents to be made available only to members of the selection panel.

So far as is reasonably practical and appropriate, selection panels should include men and women, those from minority ethnic groups and relevant stakeholders such as Trade Unions. It helps the process if the panel reflects the composition of the group to be interviewed. The panel should:

- Ensure that the interviews are conducted in accordance with the policy on equal opportunities;
- Clarify any ambiguities and ensure there is a broad consensus prior to the commencement of formal interviews;
- Agree on the broad areas within which each member of the panel will question candidates and the approximate length of interviews;
- Ask comparable questions of all candidates.

The selection panel will aim to ensure that each interview is of roughly similar duration. It is recommended that:

- A mix of open and closed questions can be used with appropriate follow-up in order to assess candidate's ability to undertake the duties of the post and to probe the depth of knowledge of candidates;
- Key questions should be directed in much the same terms to each candidate so that all have the opportunity to respond to important issues or aspects of the job;
- Where candidates are asked to comment on a specific technical point or hypothetical example, each candidate should normally be asked to address that same point;
- Subsidiary questioning may be tailored to individual candidates' experience;
- At the conclusion of each interview candidates should be given the opportunity to raise any points or questions with the panel.

At the conclusion of the interview, the Chair should advise candidates as to the way in which they will be notified as to the outcome. Normal practice is to contact the successful candidate by telephone and then inform unsuccessful candidates in writing as to the outcome.

The panel should be clear why the successful candidate (and any reserve candidate) was chosen in preference to the other candidates. Notes should be clear, to the point and non-discriminatory bearing in mind that in the event of disclosure the reasoning should be easily read by and understandable to a third party.

The Chair of the selection panel shall advise the successful candidate that he or she is being recommended for appointment and ascertain whether the selected candidate is liable to accept on the recommended salary and other terms to be offered. Unsuccessful candidates must also be informed once an appointment is made. A candidate dissatisfied with the recruitment and selection procedure should submit a written complaint to the panel. The panel will respond in writing the reasons why the appointee was selected. Operational Management will inform the complainant (within 2 weeks) in writing, the panel's reasons.

STAFF PERFORMANCE PROCEDURE

SPP/BS/004

This document provides guidelines for evaluating the performance of staff. The organization recognizes the value of its employees and understands that the quality of its services depends upon the employees. It is the organization's policy to maintain a regular and meaningful staff employee performance appraisal. The primary goal of the appraisal is to encourage ongoing, objective communication between the employee and management and on the employee's duties and performance; the secondary objective is then the continued improvement of every employee's job performance.

Performance appraisals provide a means of informing employees of the quality of their work and identifying areas of performance that may need improvement. Performance appraisals are to be used as a positive, constructive tool to measure an employee's performance. Performance appraisals help supervisors make the most effective use of their personnel resources and provide valuable feedback to employees concerning their job performance and the expectations of their supervisors.

Among the objectives of the appraisal process is:

- To provide clearly defined performance standards based upon the employee's current job description to ensure that employees know what is expected of them
- To encourage supervisors and employees to have face-to-face discussions and provide employees feedback about their job performance
- To express appreciation for outstanding contributions and performance; conversely, to discuss performance areas where improvement is possible or needed and to outline plans for improving performance
- To translate quality policies into quality actions

The immediate supervisor is responsible for formally evaluating the performance of the employee using the Staff Performance Appraisal Form. The performance appraisal form must be completed and signed by the immediate supervisor in accordance with procedures established by Human Resources. The immediate supervisor will conduct an interview with the employee to discuss his/her performance appraisal. The appraisal interview shall be scheduled in advance and with only the supervisor and the employee in attendance. After the performance appraisal interview has been conducted, the employee shall sign the appraisal form acknowledging that he or she: had the opportunity to comment and discuss the appraisal; has the option of filing a written rebuttal to the appraisal within five working days of receiving it; and has the opportunity to discuss the appraisal with the

reviewing official. The employee shall be provided a copy of the appraisal. If the employee refuses to sign the appraisal, the supervisor conducting the evaluation shall so indicate by noting, "Employee refused to sign" and by initialing the refusal date. Completed appraisals shall be forwarded to Human Resources for filing in the employee's official personnel file.

An employee who disagrees with his/her performance appraisal may file a written rebuttal to the appraisal within five working days of receiving it. The rebuttal should be directed to operational management. As a general rule, the rebuttal should include an itemized list of the employee's objections to the appraisal, which he/she believes warrants further consideration. Operational Management has five working days to review and respond to the employee's objections to his/her performance appraisal. Operational Management must contact the immediate supervisor for clarification. The response shall be in writing and directed to the employee. If a meeting has been requested, management will schedule and meet with the employee within the five working days. Management will determine whether to amend the performance appraisal or uphold the original appraisal. The employee's written rebuttal, management's written response and amended performance appraisal, if applicable, shall be included in the employee's personnel file.

STAFF TRAINING AND DEVELOPMENT PROCEDURE

STDP/BS/005

We are committed to providing development and training opportunities for all our employees so that:

- They can contribute as effectively as possible to the achievement of the organization's overall objectives
- They have appropriate opportunities to develop personally and to further their careers
- They are supported by management who have the right kinds of skills, knowledge and understanding
- They acquire a range of knowledge and skills, both specialist and general, so that the organization develops a workforce with a broad skill base
- We can promote the ideals of a learning organisation

The following practices underpin the provision of development and training:

- Induction training is provided for all new staff;
- Objectives are set for all development and training activities;
- Individual members of staff take active responsibility for their own development and training;
- There is a training plan, based on training needs identified at individual, group and organizational levels which forms part of the Workplace Skills Plan;
- Where appropriate, development and training activities lead to nationally recognized academic, vocational and professional qualifications;
- All individual development and training activities will be evaluated and their effectiveness assessed.

Individuals and management are responsible for identifying objectives for all training and development activities. They should be clear what the desired outcomes are in terms of new skills, knowledge, understanding

etc. and also how they will assess whether or not those outcomes have been achieved.

It is essential that all new staff receives induction training on appointment and it is the responsibility of management to ensure that a proper hand-over process occurs. This is so that new staff becomes fully effective in their new job as quickly as possible.

Once development and training needs have been identified and prioritized, the appropriate method of meeting the need is considered, bearing in mind the objectives agreed and the learning preferences of the individual.

Training, development and learning opportunities include:

- Relevant on-the-job training or coaching/mentoring
- Internal courses/training sessions - run by members of staff
- Attendance at conferences/seminars related to job description
- Work relevant courses - run by external trainers
- Use of distance-learning packages
- Further education/evening classes/qualification courses

External training will be arranged by the Human Resource Department. Once individuals have been booked for external training, they will only be allowed to withdraw in exceptional circumstances. If withdrawal from external training results in the forfeiting of the course fees, the costs will be charged to the individual's own department. Travel and subsistence costs for external training organized by the organization will be met from the training budgets.

We encourage staff to further their own education and development through further qualification, by means of evening classes, distance learning or, where appropriate, day release courses. Where funding permits, a proportion of the training budget will be made available each year to support such development and study leave will be made available if it is considered appropriate.

Requests for support in terms of both funding and time (Sabbatical) should be discussed in the first instance with management, who should consider the request against the following:

- The extent to which the course leads to an academic or professional qualification which is essential to/desirable for the development of the individual's competence in his/her post;

- The individual's demonstrated commitment to his/her role within the organization and to developing that role;
- Length of service;
- The extent to which the course will enhance the individual's career development.

The effectiveness of all training carried out should be evaluated. Following any training activity, the individual should discuss with HR the effectiveness of the training and how successful it was in delivering the objectives and outcomes agreed in advance. No individual will be excluded from receiving training on the grounds of gender, marital status, disability, race or ethnic origin, age, sexual preference or religious belief.

STAFF & LEARNER GRIEVANCE PROCEDURE

SLGP/BS/006

This grievance procedure applies to both staff and learners in the organization. When a work-related or training issue cannot be resolved through discussions between the individuals concerned, the aggrieved person can file a grievance.

To file a grievance, the staff member submits a written statement summarizing the issue to management. Because it is more difficult to resolve outdated issues, grievances must be submitted in a timely manner, normally within one month of the failure to resolve the issue through informal channels. The following information should be included:

Grievance Statement - A description of the work-related issue, including the policy or rule that the staff member alleges was violated, if applicable, and the name of the respondent.

Background - A statement of the relevant facts supporting the staff member's position, including information about the impact the issue has had or is having on the staff member.

Requested Resolution - A statement of what the staff member is requesting as a satisfactory resolution to the grievance.

Staff members cannot modify or expand a grievance once it has been submitted for consideration. If a staff member who has already filed a

grievance wishes to pursue new issues, a new grievance must be filed. Staff members can, however, supplement their initial grievance statement with additional information in order to clarify the issues further. The staff member can stop the grievance process at any time by giving written notice to management.

Steps in the Grievance Procedure

Step 1: Mediation

The management schedules a meeting with the staff member and the respondent named in the staff member's grievance statement within five working days of receiving the written statement from the staff member. The purpose of this meeting is to discuss the issues raised by the staff member and to consider possible solutions. Only another staff member or learner representative internal to the organization may accompany the grievant at this meeting or at any time during the grievance process.

Prior to this meeting, the management arranges for the respondent named in the grievance to receive a copy of the staff member's grievance statement. The respondent named in the grievance is required to respond in writing to the staff member within five working days following the meeting with the staff member and management. The respondent also gives a copy of this communication to the management.

If the respondent named in the staff member's grievance is the staff member's immediate supervisor and the staff member believes that it is not appropriate for the grievance to be referred to that person, the staff member can request that the ombudsman bypass this step.

Step 2: Disciplinary Action

- Step 1: File a complaint with Disciplinary Committee
- Step 2: DC compiles files of all evidence, witnesses, etc
- Step 3: Charge sheet is drawn up by DC and copied to defendant
- Step 3: DC informs all parties in writing about date, venue and time of hearing
- Step 4: Hearing is held
- Step 5: Verdict is passed
- Step 6: Appeal is scheduled if requested
- Step 7: Verdict implemented
- Step 8: Findings recorded in personnel files and electronically.

Step 3: External Litigation

Should the defendant want to pursue the case outside of the company, through a civil suit, senior management must assign the HR Manager or another staff member to attend to the case on behalf of the organisation.

Disciplinary Guidelines

Performance - If a staff member's work performance is not satisfactory, or if the staff member has violated any of the organization's policies, it is the supervisor's responsibility to take corrective action. To determine an appropriate course of action, the supervisor considers the staff member's employment status (whether the staff member is serving a provisional period or is on probation), the nature and severity of the work performance issue, the frequency with which the problem has occurred and any extenuating circumstances.

Both imposed probation and termination are subject to appeal through the staff grievance procedure. (Staff members who have not completed an initial provisional period cannot file a grievance unless the issue involves alleged discrimination.)

Records - Under certain circumstances a staff member may request that records of disciplinary actions be removed from his or her personnel file. At your written request, warnings and notices of suspension or probation that are more than three years old may be removed from your personnel file. Other materials may not be removed from this file; however, an addition or correction to the file can be requested in writing if you believe it is in order.

Feedback - Constructive feedback is often an effective means of resolving work-related problems while promoting mutual respect between staff members and supervisors. As part of this ongoing process, the supervisor identifies areas that need to be improved and specifies a method of improvement. When discussing work performance, the supervisor provides specific feedback to the staff member about how performance should improve. If constructive feedback does not result in improved performance, the supervisor can issue a verbal warning.

Warnings - A verbal warning directs a staff member's attention to a work performance issue or other work-related problem by giving the staff member specific information about the nature of the problem, the improvement needed a timetable for future review, and the consequences of continued unsatisfactory performance.

If a staff member does not meet the performance standards communicated by the supervisor in the verbal warning, a formal written warning can be issued. Normally, this step is undertaken only after the supervisor has discussed the performance issue with his or her manager and the human resources representative. The written warning is given to the staff member following a meeting between the staff member and the supervisor.

This disciplinary letter contains specific information about the nature of the problem, the improvement needed, a timetable for future review and the consequences of continued unsatisfactory performance. A copy of the letter is placed in the staff member's personnel file.

Although a written warning is generally issued to an employee after a verbal warning has been given, in some cases the nature of the performance issue and other circumstances justify giving the employee a written warning without providing a prior verbal warning.

Serious Breaches - Staff members who commit serious infractions of the organization's policy or procedure may be suspended for a period of one to ten working days. In addition, suspension may be imposed to permit an investigation prior to taking final action. This step is normally undertaken only after the supervisor has discussed the performance issue with her or his manager and the human resources representative. Suspensions are confirmed to the staff member in writing, stating whether it will be a paid or unpaid suspension, the length of the suspension and when to report back to work. A copy of this communication is placed in the staff member's personnel file.

Terminations - Staff members who are not performing satisfactorily are subject to termination of their employment. This step is normally undertaken only after the supervisor has discussed the performance issue with his or her manager and the human resources representative. All employment terminations must be confirmed to the staff member in writing. A copy of this communication is placed in the staff member's central personnel file.

ADMINISTRATION POLICY

AP/BS/007

This administration policy lays down the guidelines to ensure that the administration of staff and operating issues take place efficiently to ensure the smooth daily operation of the organization. Administration issues relate to the control of staff leave and control of staff records, the proper management of information and data including the safety of confidential information, ensuring that physical resources including stationery is available for effective service delivery and is properly controlled, proper documentation and record keeping including a good filing system and abiding by all health and safety standards.

Staff must adhere to all day-to-day administrative procedures. If leave is taken, a casual leave form must be completed and approved by management. All staff must ensure that they comply with the sick, annual, study and special leave conditions as stated in their conditions of employment. Staff records must be updated continuously.

Physical resources including, facilities, equipment and learning materials, will be provided in order to support the learning process and be appropriate, suitable and sufficient. We will provide a safe environment for the needs of learners, staff and visitors. Buildings will be structurally sound and secure and well maintained. Premises and facilities will be suitable for the functions they are used for, large enough and capable of operating throughout the year with suitable temperature, ventilation and light. Use of facilities for training, teaching, recreational and social activities will be planned - these will include refreshment services and facilities, where required, to meet the needs of learners, staff and visitors. Equipment and materials (consumables) will be adequate in type and amounts for the number of learners and the programmes undertaken. All equipment will be well maintained, safe and secure. The request for training resources must be submitted at least 2 weeks in advance. Stationery requirements must be submitted at the beginning of each month. If venues are to be booked for training, these must be booked before confirmation of training dates to ensure that there are no double-bookings.

Management Information System requirement is met when it can be shown that the management information system provides accurate information required internally and by TVEC, awarding bodies and other relevant bodies. There exist adequate procedures to protect the security of the information (paper or computer-based) and on the other to ensure efficient access to information. Procedures will be implemented for conveying information accurately from Learners, Staff Stakeholders and Management to all appropriate areas and persons, and for routine communications between staff.

We will manage all **documents and records** that relate to requirements of the Quality Management System. All correspondence, i.e. letters, circulars, memos, will be received for processing by the administration clerk. All letters (except personal mail) will be opened, date stamped, sorted, distributed or filed as necessary by administration staff. Circulars will be listed, numbered and

filed for reference. Memos will be distributed as per the distribution shown on the memo. Letters of complaint will be date stamped, registered and filed in the "Complaints File", ready for resolution by Management. Incoming faxes are received by the Receptionist and distributed as required. Outgoing faxes will be recorded by date, destination and fax number, and a record maintained for three months. Incoming registered letters will be received by signature of the postal receipt slip and processing in accordance with the nature of the letter. Outgoing registered letters will be recorded, prior to posting, showing details of date sent and the recipient.

Records must be legible and stored and retained such that they are readily retrievable. Records are typically kept active (filed) in an applicable area and then put into long- term storage. All other records are retained for a minimum of three years, unless otherwise specified in the governing procedure or other controlling document. Employees are responsible for the appropriate filling out, use, and filing of records used as part of their process.

Copyright regulations must be adhered to by all staff and students. To copyright materials designed by the organization, consult the guidelines. All staff should ensure that copyright Act is not violated when compiling learning resources.

Occupational Health and Safety

The organization is committed to provide:

- A safe place of work with safe access and exit
- Safe equipment (including efficient maintenance)
- Safe systems of work.
- A safe working environment.
- Safe methods of handling, storing and transporting goods
- First aid facilities governed by the Health and Safety Regulations.
- Report accidents
- Instruction and supervision of safe practices
- Consultation with a view to making and maintaining effective arrangements for promoting health and safety

Regular **maintenance of equipment** (including necessary inspection, testing, adjustment, lubrication and cleaning) must be carried out at suitable intervals. Any potentially dangerous defects must be remedied and access to any defective equipment prevented. A suitable recording system has been put in place to ensure that the system is controlled. Effective suitable ventilation must be provided. There must be reasonable temperature in the work rooms. There must be suitable and sufficient lighting. This should be sufficient to enable people to work, use facilities and move from place to place safely without experiencing eye-strain.

All employees have the duty to:

Take responsible care for the **health and safety of themselves** and other persons who may be affected by their act of omissions at work. Follow safety practices.

Co-operate with the employer in promoting and maintaining health and safety.

Refrain from interfering with or misusing anything provided for health and safety of themselves or others.

Every **workplace and furniture, furnishings and fittings** must be kept sufficiently clean. Floors and indoor traffic routes should be cleaned at least once a week. There must be sufficient floor area, height and unoccupied space for the purposes of health, safety and welfare. A suitable seat must be provided for each person at work in the workplace whose work includes operations of some kind where the work can be done or must be done sitting. Workstations should be arranged so that each task can be carried out safely and comfortably. Seating in offices should provide adequate support for the lower back and a footrest should be provided for any worker who cannot comfortably place their feet flat on the floor. Suitable and sufficient sanitation must be provided at all times.

The organization annually appoints a Health and Safety representative entitled to do the following:

- Check the effectiveness of health and safety measures by means of health and safety audits.
- Identify potential dangers in the workplace and report them to the health committee or the management.
- Together with the employer investigate incidents; investigate complaints from employees regarding health and safety matters and report about it in writing.
- Inspect the workplace after notifying the employer of the inspection.
- Participate in discussions with inspectors at the workplace and accompany inspectors on inspections
- With the consent of management, be accompanied by a technical advisor during an inspection
- Keep records of every recommendation to the management and every report to the inspector
- Keep accident reports

In the event of an emergency, the first aid box is available at the Administration during normal working hours (08:00-17:00)

FINANCIAL POLICY

FP/BS/008

We will appoint competent persons to be responsible for the Financial Management of all funds and assets. The organization will maintain adequate financial resources to sustain the quality of learning services offered. No one person will have sole control over the organization's funds or assets, and an asset register will be maintained. An annual budget of expenditure will be drawn up and approved by the Management prior to being implemented. Detailed statements of expenditure against budget will be maintained during the financial year. For funded projects, separate accounts will be operated for each project. Each project will have a budget prepared at the beginning of the project and expenditure will be monitored against this budget.

Persons made responsible for financial management of the organization's funds and assets will be held accountable for funds or assets that are misused or misappropriated. Where we are accountable to pay learner allowances, we will ensure that an electronic transfer system is used. If consultants are subcontracted to carry out any work, their quote will be subject to a 25% personal tax before payment is made.

The need to purchase any product/service will be identified clearly upfront before any purchase is done. This would entail ensuring exactly what the client's requirements are. The total cost of the product will be calculated taking into account the price, performance and delivery. This total cost will be made known to the purchaser before a purchase is authorised. Any inquiries, quotations and tendering will be supported by documentation that will reflect the true situation. For an amount to be spent over R30 000-00 a minimum of three tenders are required before the purchase is done. On having reached a decision on what to purchase a formal order will be placed with the vendor. The order will be reviewed to ensure that the initial needs expressed are reflected correctly on the order. The order form will form part of the audit trail and will be a controllable document in terms of the requirements of this Quality System. A list of preferred vendors will be compiled based on past experiences.

FINANCIAL PROCEDURES

FP/BS/009

To ensure financial accountability, the following financial procedures must be adhered to:

- Payments will only be made on receipt of a valid invoice. Where there are deliverables that can be attached, proof that they meet the quality requirements of the organization must be provided with the invoices.
- Only Senior management is authorized to negotiate Bank loans and overdrafts if it can prove that the organisation has the capacity to repay the installments without placing the organization under financial strain.
- Travel and meal stipends must be paid at the beginning of a training week.
- Learner allowances must be paid according to the learnership regulations (Department of Labour)
- Fees received from students must be recorded and banked on a daily basis. Student fees records must be updated immediately
- On withdrawal of a learner, a pro-rata refund must be given to the learner.
- An amount of R1 000 must be used as petty cash float. The Administrative Clerk is responsible for managing the petty cash. Documentary proof must be provided when money is taken from the petty cash. The petty cash must be reconciled at the end of every month
- Management will approve all travel, accommodation and meal allowances, before bookings are made. The appropriate forms must be completed and signed off for payments to be made. Recipients should sign a proof of receipt form

CUSTOMER AND MARKETING POLICY

CMP/BS/010

The organisation acknowledges that customers are key to the success and hence realises that it needs to establish and maintain customer relationships. In addition, all communication with customers must always be recorded to ensure that follow up is easy should a query arise at a later stage. To this end, the organisation accepts that it must maintain customer service contracts to ensure that it details the deliverables and time frames and has a frame of reference against which it can measure customer satisfaction.

Customer expectations must be determined, understood, converted into requirements, and have processes designed to exceed them in order to fulfill this Mission and Quality Policy on a daily basis. We work hard to be an active partner with our customers, understanding their world and identifying solutions. Staying close to our customers is our primary method of determining and understanding their requirements and expectations, and we accomplish this objective through a multitude of channels. These include regular customer visits, phone contact and customer audits of our facilities. These communications and interactions ultimately yield clear, explicit customer requirements and expectations. The QMS ensures that these requirements are fulfilled with the aim of exceeding our customers' expectations. Management shall ensure that customer needs and expectations are determined, converted into requirements and fulfilled with the aim of achieving customer satisfaction.

Customer Complaints

The person receiving the complaint will try to solve the problem immediately. If the problem is resolved, the solution will be documented. If the individual cannot resolve the issue, then the call will be transferred to an appropriate employee for resolution. If that employee resolves the issue, the solution will be documented and forwarded to the Manager. Anyone in the organization can receive a complaint. It is the responsibility of the person receiving the complaint to document it and report it to their Senior Manager.

Customer Surveys

Management will ensure that random surveys are conducted on a quarterly basis, such that each of their major customers is surveyed at least once annually. The Manager will randomly select one quarter of their major customers, and meet with them to fill out a Customer Survey Form. Alternately, while a face-to-face visit to review customer satisfaction is desirable, the surveys may be discussed over the phone, faxed or e-mailed to the customer as circumstances warrant.

Customer Service Standards

This organization commits itself to observe and at all times keep to agreed customer service standards. These standards include:

- Turn-around time for course development; the total time it would take to develop a course and make it ready for presentation will not exceed 4 weeks from when the need to develop the course was authorised.
- Response time for requests for assessments and/or the evaluation of any training; The response time to execute and complete a request for assessment and/or any evaluation of training will not exceed five days from when the request was formally lodged
- Delivery time of feedback and results; the delivery time of feedback and results on any education and/or training that took place will not exceed 2 days after the training was delivered.
- Responses to general queries; Responses to general queries will be done immediately when the query has been lodged.
- Time keeping during course delivery; Time keeping during course delivery will be according to schedule and always to the benefit of the learner.
- Requests for information and support from learners; any request for information and/or support will be dealt with immediately when such a request is made.

The organization will also seek feedback on:

- Course design
- Quality of course delivery
- Consistency of assessment

REPORTING POLICY

RP/BS/011

The organization will comply with all reporting requirements from funders, TVEC and stakeholders. We will implement a system for maintaining and updating detailed information on all Learners passing through the organization. The system will serve the needs of Learners and be compatible with reporting requirements.

The system will include the following information as a minimum:-

- Name of the Learner
- Unique Learner number or reference
- Contact details
- Demographics, i.e. age, gender, location, etc
- Education and training background and experience, e.g. prior credits or qualifications,
- Prior learning and previous learning experiences
- Special learning needs (if any) e.g. disabilities or learning difficulties
- Additional learning needs (if any) e.g. further experience or new technology
- Motivation for entering a learning programme or programmes
- Programme or programmes for which the Learner is registered
- Resource factors, e.g. place and date of learning and equipment and materials used
- Comprehensive assessment records
- Standard and qualifications achieved

We will ensure that Learner information is kept strictly confidential, except for reporting to authorised bodies such as the TVEC or where Learners may wish information to be divulged to outside parties such as potential employers or sponsors.

Statistical information from the system will be used in order to improve the design, delivery and assessment of learning programmes.

LEARNING PROGRAMME DEVELOPMENT, DELIVERY AND EVALUATION POLICY

LPDP/TS/012

We are committed to ensuring that Learning Programme Development, Delivery and Evaluation ensures, to the greatest extent possible, that Learners achieve the Learning Outcomes of their selected Learning Programmes.

The Development of Learning Programmes

The organization offers learnerships, skills programmes and short and certificate courses. Learnerships and skills programmes generally lead to Unit Standard Qualifications or equivalent and, following initial assessment and action planning for individuals, training is through a full-time systematic programme of work-based activity and learning. Direct training, supervision of practice, and access to learning resources support the achievement of competences. Sometimes off-the-job education and training is included. Programme design involves planning, often for individuals rather than groups, a mix of learning and assessment opportunities matching the component units in the award or other valid goals of learners. Short courses fulfill a general need and are not aligned to NVQ principles.

Programme design involves planning how groups of learners can best achieve outcomes and making decisions about programme components, locations and access arrangements, methods of delivery, and assessment for certification. The requirements are met for each programme when there is a statement of purpose that clearly links the target group to the award or other planned outcome and to the end users of the programme. It should be clear that well researched needs are being met.

There will be evidence that each programme achieves a good match with learner and client expectations of content and standards. The programmes should lead to Unit Standard Qualifications or equivalent where this is contractually required. They will follow any given specifications to the letter, (e.g. the programme should be designed against the standards of the qualification to which they lead) or particular criteria agreed by a client or with a learner. The learning opportunities in work placements should be carefully identified to ensure that all the outcomes required by the award or other learning goals can be achieved.

Particular attention will be paid to specifications for the integration of core skills into programmes in order to achieve the appropriate degree of breadth. Core skills cover aspects such as communication, numeracy, information technology, personal effectiveness, and problem solving. This organization knows, understands, and has taken steps to ensure that learners will be prepared for future changes by progressing in these skills. Education and training-based programmes for groups are organized to meet individual needs so far as possible by flexible arrangements for access and progression through the programme, e.g. by self study methods, accreditation of prior learning/achievement, assessment on demand. For all programmes, there will be a clear outline of the learning resources and environment, staffing requirements, and overall learning methodology appropriate to the aims and purposes of the programme. Plans will demonstrate that learners will experience coherent, well-structured and sequenced activities.

Where learners with disabilities or learning difficulties are recruited to programmes leading to an award, there are plans for modification of programmes, e.g. extra time, alternative learning methods, and special assessment arrangements agreed with the awarding body. Overall the programme design will ensure that there is a good degree of learner activity and that learners are encouraged to take responsibility for their own learning. Programme design is effectively managed and all aspects are regularly monitored and reviewed.

Learning Programme Delivery

We are committed to ensuring that learning programme delivery ensures, to the greatest extent possible, that learners achieve the outcomes of their selected standards and qualifications. We will ensure that the delivery (teaching) methods consider all relevant requirements necessary for the successful completion of the Learning Programme, e.g. language, delivery style environment and support resources. We will ensure that the courseware and resources are of a high quality, are relevant and in line with the unit standards that comprise the qualification for which the learners have enrolled. We will ensure that relevant equipment required by the learners is available. We will ensure that accurate records are kept, relating to learning programmes. We apply an open door policy that ensures that learners have full access to staff within reason. Communication structures, however, must be adhered to.

Evaluation Before, During and After Training

To ensure training programs are successful, one must ensure that the right participants receive the right knowledge, attitudes and skills, taught by means of the right methods; media and instructor at the right time and place so as to meet the learning objectives and performance outcomes.

Evaluation Before You Plan the Training

Determine what trainees bring to the course and what they must leave with to perform effectively:

- What do our learners want to know and expect to get from the training?
- What do our learners need to know and must get from the training?
- What competencies are required of learners?
- What workplace factors will help or hinder the desired performance?
- What outcomes are expected?
- What resources exist (people, equipment, supplies) to facilitate learning?
- What are the costs of training relative to the estimated benefits?

Evaluating During Your Training

Evaluating during training will allow one to take appropriate action when necessary and not wait until the course is over and it's too late for action.

- Are your participants comfortable? Assess seating, lighting, temperature, ventilation, breaks, pacing, mixture of theory and practice.
- Are your participants learning? Use criterion tests and short quizzes to evaluate their acquisition, and practice exercises to assess their soft skills (role play, simulation) and their technical skills (at a PC or on the equipment).
- Is your content relevant? Can your participants relate the new content to their own needs? Can they provide examples of its practical application in their jobs? Are they active or passive throughout the course?
- Is the facilitator ensuring full participation of learners?
- Is the training enjoyable? Learning is much more effective and transfer of training from workshop to workplace is more complete when your learners enjoy the experience and contribute to its success with good participation.

Evaluating After You Train

At the end of training, evaluation must focus on the quality of the learning in achieving the objectives set as well as the logistics.

- What factors are helping or hindering their performance?
- What aspects of our training proved to be most and least relevant?
- What changes in performance can be seen from pre-training and post-training?
- What can be done to improve the programme for the future?
- Did the logistical arrangements hinder the training and what can be done to improve on it?

LEARNER MANAGEMENT POLICY

LMP/TS/013

Brochures and marketing material will be available for learners to provide information on the programmes we offer. All learners who enter the organization will complete a learner information form. This will provide the organization with an understanding of what potential learners are looking for and will be used as a research tool. We will provide comprehensive information about the organization, its staff, the available education and training programmes and entry criteria to all Learners, both prior to entry and during induction. Learners will have the opportunity to clarify their requirements and relate them to the learning programmes offered. General induction to the organization, and induction to different parts of Learning Programmes, will be included to ensure Learners feel comfortable and confident with the organization, and fully understand and accept their responsibilities to the organization.

During the education and training process we will ensure the needs of individual learners are identified, personal development plans are formulated, progress is regularly reviewed, feedback is given, support is provided and pre-exit guidance is available. Facilitators will gather information about Learner's strengths, difficulties, aspirations, and needs, in partnership with the Learner. We will provide regular opportunities for Learners to review their progress and make any changes to their personal development plans while they are undertaking their programmes.

We will ensure that **guidance and support services** include activities such as assessment of prior learning and achievement, and assessment on demand, and that learners embark on a programme that will enable them to achieve legitimate and realistic outcomes, e.g. to improve their skills, knowledge and competencies, compete more effectively in the labour market and progress to other chosen education and training programmes.

Support and guidance will be given to Learners in making sense of the training and learning, career opportunities and personal development choices, and in understanding, facing, and resolving or adapting to, personal problems and difficulties which could inhibit progress.

With all new education strategies, the focus is on ensuring that learners are competent at the end of the learning – that they have required meaningful and practical skills that will secure them employment or sustainable businesses.

To ensure that this occurs, it is necessary to give the learners more than simple facilitation of the material. Remembering too that many of the learners are from disadvantaged backgrounds, they will not necessarily have suitable support structures.

The support takes the following form:

1. Structured mentoring
2. Facilitator Feedback: Facilitators ensure that meaningful feedback is given on each learner every month. These forms are completed by the relevant facilitator and are perused by the Manager who has one-on-one meetings with any learner who appears to be encountering difficulties of any kind. Learners who have performed exceptionally will receive a Certificate of Excellence. All forms are kept in the individual learner's file.
3. Learner Feedback: Every month, the learner has to complete a CONFIDENTIAL form in which s / he gives information on his or her progress as well as the course and the facilitation that has taken place. As with the Facilitator Feedback, the manager will check these forms and any problems will be dealt with appropriately.
4. In addition to this are the Feedback Forms that both facilitators and learners complete and submit to the Manager regarding the actual material of the course. The Manager checks these too and, where necessary, adjustments are made to the material. Materials development is ongoing and developmental so that it remains current and relevant to the changing workplace.
5. The Manager will have at least 2 face-to-face meetings with each learner during the course of the programme. A report is completed for each meeting.

Learner Complaints

Training-related complaints may be addressed directly to the facilitator, or to the training manager. These should be submitted in writing.

1. Facilitator/Manager obligations
 - The facilitator should keep a copy of the complaint, and a record of the action taken to rectify the problem.
 - Try to resolve the matter immediately, to the satisfaction of all parties
 - If the facilitator is unable to resolve the issue, the matter may be referred to the training manager.
2. If the facilitator and the training manager are not able to resolve the complaint, a senior manager may be called on to intervene.
3. If no suitable solution is found, the complaint may be referred to the company directors for action.
4. All remedial action should be recorded, and the student is required to sign a document stating that he or she is satisfied with the outcome.

Withdrawal of a learner from a programme

The withdrawal of a student from a training course could be done as a result of many reasons. The learner will be interviewed privately where the entire reason for withdrawal will be fully explained to him/her in the case where the withdrawal was a decision taken by the training provider. During the interview the learner will be given ample opportunity to defend

his/her position. In the case where the learner has made the decision to withdraw from a training course an interview will still be held with the learner where the complete reason for the withdrawal will be ascertained. On departure the learner will be handed a document confirming the credits already achieved up to the point of departure. The learner will be assisted in finding another route to take to further his/her studies. Pro rata payments will be implemented where necessary.

Learner Exit Strategy

The organisation endeavours to assist learners in acquiring workplace experience and or job placements on completion of the theoretical learning phase due to the links that we have already negotiated with industry. We will maintain a database of all placements and these statistics will be reported to the relevant TVEC

RECRUITMENT AND SELECTION OF LEARNERS PROCEDURE

RSL/TS/014

The success of the learning programme is largely dependent on the recruitment and selection of the most suitable learners – those who meet the entrance requirements as specified by the funders or by the centre management. In this way, there should be minimal attrition from the programme and the maximum number of learners should complete the programme achieving competence and the appropriate qualification.

The learners are recruited according to the following selection criteria, dependant on the level of the qualification. For example:

- Is currently unemployed / pre-employed / employed
- Is literate and numerate at the appropriate entry level for the qualification
- Have the appropriate propensity for the field of learning

For part of the selection process, other strategic partners may be requested to assist the organization, by scanning their databases for learners who meet the selection criteria. These candidates will be invited to a presentation where the details of the programme – requirements and benefits – will be elucidated. Interested candidates will complete an application form. Candidates, who are judged to be suitable and seriously interested in the programme, will be invited to the next round of selection. Psychometric Questionnaires will be used to assess personality/values match with the organisation and job specifications. Prior to the interviews being conducted, panel members will agree on the objectives of the interviews. The teams will meet after the interviews and briefly discuss the candidates who they regard as successful. Successful candidates will receive a letter congratulating them on their selection and asking them to contact the organization as to whether or not they would still be interested in joining the programme. Unsuccessful candidates will also be sent letters informing them of their status.

LEARNER SUPPORT PROCEDURE

LSP/TS/015

Individual Learner Support

Learners who are absent from class for a valid reason will be assisted with individual tutoring from Facilitators to ensure that they catch up on the work they've missed. These lessons will take place after official hours or if the learner has time he/she may be allowed to attend classes with another group. If learners are absent with no valid reason, he/she is responsible for catching up on their own.

Mentoring

Mentoring is seen as a crucial and vital component of learning, and its mission in this regard is to link its learners with volunteer mentors in the workplace in a supportive relationship. It sees the following generic aspects as crucial to successful mentorship programme implementation: A successful mentor is one who is a trusted, respected and learned counselor, advisor, role model, sponsor, and successful leader, who guides, advises, encourages, counsels and provides support to the learner.

Through the mentoring relationship, the programme works to promote self-esteem and a positive self-concept among the learners; introduce them to new ideas and perspectives, and build capacity and confidence in their own abilities to direct their future. The learner will benefit through the mentoring relationship in having someone other than them self, held accountable for ensuring their sustainability and continuity. There is less chance of the learner giving up if he/she has a strong mentoring relationship. Mentors attempt to provide a fresh perspective, opening their clients' eyes to different ways of operating and helping their client develop a vision for the future. Their role is focused on opening doors for their clients, identifying possible actions and explaining likely outcomes and in some cases they act as advocates on their client's behalf.

The mentoring programme will develop mentoring, and it will foster among all participants a greater appreciation of diversity, honest and open communication, and group dynamics.

Training Manager oversees, coordinates and constantly reviews the mentoring processes of the learning programme. The mentee receives mentorship from 3 sources so that a holistic approach to the mentee's development is secured:

- The primary mentor – whose advice, coaching and support forms the main component of the relationship. He/she possesses extensive knowledge and skill borne of experience in the field.
- The secondary mentor – who offers secondary or filler support that compliments the work of the primary mentor. This mentor may be anyone

from the facilitator to a junior member of staff within the company or organization in which the learner is based.

- Psycho-social component – which focuses on the human needs of the learner. Interested parties in the mentor relationship (primary mentors, secondary mentors, fellow learners and the organization may refer a learner with a personal problem, issue or crisis to the arranged Psychologist. In more sensitive cases, the relevant service or organization will be contacted for advice and further assistance in dealing with the problem.

The organization will monitor the mentoring process as it pertains to all involved parties, including the learner, the mentor, the workplace, and the training provider (particularly where remedial or corrective action is required)

The following reports are submitted to the organization, and assist not only in the monitoring function, but also feed into the learning and assessment process as it pertains to continual informal assessment, and provides the assessor with information that contributes to the final integrated, summative assessment:

- Workplace Logbook
- Learner evaluation of mentor
- Mentor self-assessment
- Learner self-evaluation
- Mentor evaluation of learner

LEARNER CODE OF CONDUCT

LCC/TS/016

This Code of Conduct has been introduced in order to:

- Promote positive relationships and an atmosphere of mutual trust and respect among learners as well as between learners and members of staff.
- Ensure that negative behaviour does not prejudice the achievement of the aims of education.
- Inform learners about unacceptable behaviour and to promote correct conduct.
- Ensure fair and consistent learner discipline.
- Provide a safe environment.
- Establish structures and guidelines for disciplining and the remediation of learners whose conduct is considered unacceptable.
- Avoid conflict in the organization.

A learner shall be guilty of misconduct if he/she:

- Contravenes any rule of the organization
- Fails to comply with any lawful instruction by the organization
- Steals, damages or abuses any property belonging to the organization
- Introduces any alcohol onto the premises or consumes any alcohol on the premises without consent
- Is in possession of or under the influence of any drug without a medical prescription
- Brings onto the premises a firearm, dangerous weapon and or explosive
- Brings the name of the organization into disrepute

Procedure for dealing with misconduct of the student will include the following:

- Being informed of a charge against him/her;
- A fair hearing;
- A decision based on the hearing;
- A fitting sanction;
- The right to appeal.

In the case of misconduct, other than criminal offences, the following procedures will apply:

- Verbal warning
The organization will issue only one verbal warning to an offender.
- Written warning

The organization will follow a verbal warning with a written warning.

➤ Final written warning

If necessary, a final written warning will be issued.

➤ Suspension

Should the final warning be ignored, the organization reserves the right to suspend the learner for an appropriate period. The learner has the right to appeal. In the case of more serious or criminal offences, the organization reserves the right to lay a criminal charge against the learner, to enlist the assistance of the appropriate authority and to suspend the alleged learner pending the outcome of the investigation.

A disciplinary hearing may be convened at the request of any staff member or learner with valid reason. Notice of a hearing will be given to concerned parties in writing.

The following persons should be present at the hearing:

- The accused learner
- The person who requested the hearing
- A panel consisting of: the Chairman, a representative of the staff and a representative of the learner and the relevant Employer representative.

NOTE: Should the learner refuse to attend the hearing, proceedings will continue in the learner's absence.

The learner has the right to appeal against either the finding of the hearing or the penalty decided upon, providing that the appeal is in writing, within two working days of the original disciplinary hearing and is fully motivated.

Penalties may include one or more of the following:

- Withholding of assessment outcomes from the learner
- Suspension from lectures and/or extra-curricular activities at the organization for a given period of time and or
- Expulsion from the programme

The findings of a hearing must be reported to the TVEC and the relevant Employer.

WORKSITE MANAGEMENT POLICY

WSMP/TS/017

The organization will identify suitable workplaces based on thorough research. The workplaces selected must embrace the development of each and every learner. The criteria used to select workplaces include capacity, willingness to participate, trained personal, the number of learners that they can place infrastructure and support. The organization will work with each workplace provider to take the generic projects developed and customize them to suit the specific workplace. The organization will work in conjunction with the workplace to institute an induction programme that will orientate the learners into the workplace and make their transition a smooth, effective and productive one. The role of the mentor is of utmost importance and therefore all mentors who participate are thoroughly trained on how to mentor effectively to develop the learner throughout the learning. The workplace is assisted to develop a rotation schedule, which will be the most effective in terms of duration and rotation in the workplace. The learner group is the central focus in determining this schedule.

Identify Workplace requirements

- Identify how many learner placements are required
- Plan and decide on the specific type of workplaces required
- Research the industry for workplaces in the particular sector
- Meet with each workplace to present the benefits of taking on learners explaining what is required of the workplace and mentors / coaches / managers etc
- Plan and conduct a site visit

Customize workplace projects

- Plan a workshop with a number of people in the workplace who are specialists in the area of the learnership. Include curriculum developers and possibly the trainer / facilitator on the learnership
- Systematically go through each project and customize it to that particular organization

Induct learners in workplace

- Plan an introductory session where the Managers, etc are invited to brief the learners on their organization and welcome the learners. This includes the CEO /senior manager explaining their vision / mission and goals. This will also include the codes of conduct and dress code,

- Organize and plan a day / few days (depending on number of learners) that the learners are taken to the workplace/s
- Appoint several mentors to show them around and explain the various functions, different areas of business, processes etc

Prepare workplace rotation schedules

- Plan a number of sessions / workshops with the AC, if possible a prospective mentor, additional line managers and the facilitator to work out the duration and rotation of learners in the workplace.
- Bear in mind factors such as peak seasons, fluctuations, specific sector challenges, vacation leave for mentors, possible merges and or downsizing of companies

Manage mentor process

- Visit mentors 3 times in the first 2 months – the first meeting in the 1st week, second in the 4th and last meeting in the final week. For mentors/workplaces not in close proximity to the organization, telephonic interviews will suffice
- Troubleshoot where necessary
- Collect learner logbooks in the final week
- Once learners have returned to the classroom conduct a survey to ascertain how effective mentoring component was
- Write a thank you note to individual mentors and company management.

ASSESSMENT MANAGEMENT POLICY

AMP/TS/018

ASSESSMENT POLICY PRINCIPLES

Assessment can be defined as a structured process in which evidence of performance is gathered and assessed against agreed criteria. This assessment policy is directed at the assessment of learners in a learning programme to assess the learners' competence. The NQF has laid down a set of principles that underpins the assessment policies. These include:

	NVQ PRINCIPLE	LEARNING AND ASSESSMENT MUST...
1	Integration	Form part of a system of human resource development which provides for the establishment of a unifying approach to education and training
2	Relevance	Remain responsive to national development needs
3	Credibility	Have international and national value and acceptance
4	Coherence	Work within a consistent framework of principles and certification
5	Flexibility	Allow multiple pathways to the same learning ends
6	Standards	Are Expressed in terms of a nationally agreed framework and internationally agreed outcomes
7	Legitimacy	Allow participation of all national stakeholders in planning and co-ordination of standards and qualifications
8	Access	Provide ease of entry for prospective learners at appropriate levels
9	Articulation	Provide for learners to move between learning components
10	Progression	Ensure that learners may move through the levels of national qualifications via different routes
11	Portability	Ensures that learners may transfer learning credits between institutions and employers
12	Recognition of prior learning (RPL)	Give credit for learning which has already been acquired
13	Learner guidance	Provide counseling for learners by trained counselors who meet national standards

The following assessment principles underpin the application of assessment for the education and training of learners:

Principle	Explanation
Appropriateness	The method of assessment must be suited to the performance being assessed
Fairness	The method of assessment must not present any barriers to achievements.
Manageability	The methods used must make for easily arranged, cost effective assessments that do not interfere with learning
Time efficient	Assessments must not interfere with normal daily activities
Integration into learning	Evidence collection must be integrated into the learning process where it is appropriate and feasible.
Validity	The assessment must focus on the requirements laid down in the standard, i.e., the assessment must be fit for purpose
Direct	The activities in the assessment must mirror the conditions of actual performance as closely as possible
Authenticity	The assessor must be satisfied that the work being assessed is attributable to the person being assessed
Sufficient	The evidence collected must establish that all criteria have been met and that performance to the required standard can be repeated consistently
Systematic	Planning and recording must be sufficiently rigorous to ensure that assessment is fair
Open	Learners must contribute to the planning and accumulation of evidence. Candidates must understand the assessment process and the criteria that apply.
Consistent	The same assessor must make the same judgment in similar circumstances

Assessment Methods

Assessment is the systematic process of collecting and interpreting evidence in order to judge the level of competence of a learner to perform a certain task or tasks in accordance with pre-defined performance standards or criteria

- Assessment will be used to measure the attainment of learning outcomes and unit standards
- Assessment methods will be developed to meet with the defined quality factors.
- Assessment approaches must make use of a combination of formative, summative and integrated assessments.
- Assessment evidence must be collected using a number of sources, such as evidence from the workplace, direct observation, and witness testimonies.

Pre-assessment

- Will take place when it is important to establish the learners entry level of knowledge and skills
- When the success of learning depends on it.
- Will take place in terms of the programme and curriculum design strategy
- The assessment method must be governed by the quality factors
- Will take place before or during the learner enrolment process

Formative Assessments

- Formal and informal formative assessment will take place during learning in the classroom.
- The purpose of formative assessment is to implement continuous assessment during learning.
- Formative assessment must serve to put interim progress measures in place to support the learning and assessment process.
- It must support and prepare the learner for future development and for formal and summative assessment
- Credits or certificates will not be awarded.
- Is designed to support the teaching and learning process
- Assists in planning future learning
- Diagnoses the learners strengths and weaknesses
- Provides feedback to the learner on his progress
- Helps to make decisions on the readiness of the learner to do a summative assessment

Summative Assessments

- Will take place in the classroom and/or on the job by means of integrative assessment activities.
- Will be used to formally acknowledge a learners competence and achievement
- Will take place in agreement with the learner and in terms of the programme and curriculum design strategy
- Is carried out in accordance with the Assessment Plan and Assessment Guide

Post assessments

- Will take place when it is important to establish the learners exit level of knowledge and skills
- It will be used in conjunction with pre-assessment as a programme measure to establish growth in learning and development
- Will take place in terms of the programme and curriculum design strategy
- The assessment method must be governed by the quality factors

Assessment of critical cross-field outcomes

- Must be assessed through integrative assessment methods, integrating range statements to ensure portability
- Will be assessed within each learning programme/unit standard within the context of that programme or standard.

Roles and Responsibilities in the Assessment Process

The following role-players must be identified in the assessment process:

- Assessor
- Learner/candidate
- Internal moderator
- External moderator
- Employer

Assessor Criteria

- Qualified assessors and technical experts will conduct technical assessment
- Where there is no technical competence within, assessment will be outsourced to an accredited assessor.
- Assessor vacancies will be advertised internally via the standard communication system implemented.
- Assessors will be fairly selected for their ability, qualification and potential to fulfill the job requirements
- Assessors will have to undergo the selection and recruitment process to determine suitability for the position.

- Staff will be given preference if they meet the criteria. Only where an internal assessor is not available, will an external assessor be appointed.
- The relevant Management Team will select the Assessors.
- Assessors will be replaced timeously as and when the need arises.

The role of the Assessor is to:

- Plan, prepare and manage the assessment process
- Prepare the candidate for assessment
- Conduct the assessment
- Judge the evidence of a learner's performance, knowledge and understanding against the national standards
- Decide whether the learner has demonstrated competence.
- Provide feedback to the learner
- Maintain accurate records
- Record all the assessment results
- Review the assessment

Assessor Training

- Assessors will be trained as and when the need arises.
- Assessors must be registered with the relevant NVQ for the Unit Standards or qualifications they wish to assess.
- The Training Manager will be responsible for the Registration of assessors and for liaising with the TVEC
- Selected assessors will be appointed once they have met the criteria.
- The Training Manager will manage and monitor and is ultimately responsible for the performance of assessors, moderators and evidence gatherers.
- External assessors will be bound by a contract of agreement.

All Moderators

- Will be appointed by Management
- Moderators will be fairly selected for their ability, qualification and potential to fulfill the job requirements.
- Management will approve all Moderator appointments
- Moderators will be replaced timeously as and when the need arises.
- Moderation must be implemented using the formal process and procedure.
- Moderators must be trained through an accredited training provider on the unit standard moderate an assessment
- Moderators are responsible for ensuring that assessment is consistent, accurate and well designed
- They must plan and prepare for moderation, develop and maintain moderator reports, conduct moderation, advise and

- support assessors, report, record and administer moderation, and suggest improvements to the system.
- Moderators are to follow the moderation process and procedures laid down by the relevant NVQ.

Internal Moderators must:

- Show evidence of ETD expertise and exposure to moderation practices
- Advise assessors and maintain the quality of assessments conducted by assessors.
- Sample assessments systematically to confirm the quality and consistency of assessment decisions made by assessors.

External Moderators must:

- Check the quality and consistency of assessments by structured and systematic sampling.
- Be registered with the relevant ETQA

LEARNERS

- Learners will qualify for assessment when they have met all the learning programme requirements
- Once the requirements are met the learner will request to be assessed.
- The assessment interview will then be set up and the assessment process is implemented.
- It is the candidates responsibility to agree to assessment dates and times, to understand the purpose of the assessment, the assessment process, the outcomes to be assessed, the criteria against which assessment will take place, the assessment method, the evidence requirements, their roles and responsibilities.
- The learner must demonstrate competence within the agreed deadlines and according to the set criteria.
- After the assessment the learner must obtain feedback, re-assessment dates and particulars if possible must be arranged and follow up that the learner record has been updated

EMPLOYERS

- Must be notified in advance on dates for summative assessments
- Must receive copies of assessment results

Learner Support in Assessment

- Learner support for assessment will be provided before, during and after assessment. The form of support will be communicated to all learners and will vary from programme to programme
- The Facilitator will provide academic support during the learning programme
- The facilitator will provide ongoing telephonic, personal and electronic academic support to assist with achievement of the outcomes.
- The assessors will plan and prepare the learner for assessment, assess for competence and provide developmental feedback and follow up assessments when necessary.
- Learners will have access to learner records, training materials, information regarding learning opportunities relevant to the job, etc.

Assessment Recording

- Evidence of competence must be gathered according to the assessment strategy in the programme strategy and curriculum guide. Evidence could include direct evidence (tests, projects, video, audio, portfolios of evidence, etc), indirect evidence (verification of completed work, witness testimonies, performance appraisals, training records) and/or historical evidence (documented evidence of the past and current achievements, audiovisual records of prior performance)
- Evidence gathering will be the primary responsibility of the candidate
- The assessor will outline the evidence required to meet the standard.
- The assessor is responsible for storing the evidence and judgments made.

Storage of information

- Evidence and assessment documents will be stored for a period of 3 years
- Documents will be stored both manually and electronically by the Division under which the programme is run.

Assessment Reporting

- Assessment progress and results must be reported to the candidate and the candidate's immediate superior.
- The assessor is responsible for reporting and co-ordination of reports.
- Results must be communicated to and understood by the learner.
- Feedback may take the form of a memo or a meeting.
- The assessor is responsible for reporting results. Learner feedback is an integral part of the assessment cycle.

- Learner results must be reported back to the ETQA for certification purposes.

Assessment Feedback and Counseling

- ETD staff must have access to relevant unit standards, and must receive training in the use of interpretation thereof.
- Assessors must be trained in the use of assessment guides.
- Assessment must be planned and structured to allow all assessment role players sufficient preparation.
- The laid down procedure to plan for assessment must be followed:
- Assessment, moderation and appeals processes and procedures must be made available to all candidates.
- Receive assessment request and arrange for assessment to take place.
- Prepare for the initial meeting with the candidate. (Review the assessment guide and methods, plan venues, resources and logistics)
- Prepare the candidate for assessment. (Clarify and agree – the purpose of the assessment, what unit standard/outcomes will be assessed, the assessment criteria, the scoring system, the assessment methods, time frames, roles, responsibilities, assessment process and appeals procedure.)
- In the event of a not-yet competent rating the assessor must:
- Provide sufficient and meaningful feedback to the candidate.
- The assessor must explain which of the outcomes have not been met and why.
- Agree the rating with the candidate
- The assessor must assist the candidate with an action plan to submit more evidence (in an appropriate form) to meet the standard.
- The assessor must arrange for additional help and resources if required under the situation.
- Arrange for re-assessment to take place at a time and place suited to both parties.
- After the assessment the assessor must record the assessment results.
- The moderator must to verify the results of at least 10% of assessments.
- The assessor must update the learner records
- Write a judgment report to the candidate
- Submit assessment results/registration to the relevant ETQA
- File and store evidence, reports and documentation

Re-Assessment

- Re-assessment is part of the assessment process.
- Candidates will be given the opportunity to be re-assessed on a “not yet competent” rating.

- Candidates will be given 1 opportunity to be re-assessed at the date not later than 3 months from the first assessment. Thereafter training and assessment costs will be for the candidate's account.
- The assessor will authorize a re-assessment in agreement with the candidate.
- The candidate may be re-assessed by the same or different assessor.

RECOGNITION OF PRIOR LEARNING POLICY

RPLP/TS/019

Since individuals learn and develop not only in the classroom, the organization acknowledges RPL as an integral part of academic and vocational education and training. All learning has value regardless of where it was acquired. The relevant factor is that the organization acknowledges this learning has having relevant value so that the learner does not spend time and money on re-learning. In line with the new education and training initiatives, the organization attempts to include RPL as part of its management, administrative and curriculum structures.

The concept of learning is seen as one of added competency and includes practical competence, foundational competence, reflexive competence and applied competence. Recognition of prior learning refers to the process of the verification of skills, knowledge, abilities and attributes obtained through training, education, work and life experiences, i.e., any learning that has occurred in the past. The purpose of RPL is to affirm that learning has taken place through rigorous assessment procedures that are comparable with those applied to the full assessment process.

BENEFITS OF RPL

For the learner:

- Completes the course earlier than expected
- Studies only subjects that are new and challenging
- Has reduced course and other related costs
- Has an opportunity to acquire credits towards a qualification
- Is placed at a level of learning he/she can handle
- Receives acknowledgement for what he/she can already do
- Enhances the self esteem and confidence of learners
- Motivates the learner to return to learning in order to complete qualifications

For the Provider:

- Gives access to more learners
- Attracts a newly motivated adult clientele to return to lifelong learning
- Offers open and flexible learning systems to clients
- Fosters appropriate student placement
- Affords progression through different programme levels
- Enhances the teaching-learning process and skills of staff
- Provides opportunities to maintain contact with industry
- Provides opportunities for collaborative programme development and delivery
- Makes better use of existing resources
- Increases participation rates in different learning programmes

For the Staff:

- Experiences a renewal process
- Interacts more with learners from different learning backgrounds
- Broadens the understanding of assessment and evaluation
- Increases professional development

The following NVQ principles underpin the RPL policies:

- Facilitating access to, and mobility and progression within education, training and career paths
- Accelerating the redress of past unfair discrimination in education, training and employment opportunities
- Contributing to the full personal development of each learner and the social and economic development of the nation at large

THE RPL PROCEDURE

Steps

1. Candidate applies for RPL
2. Candidate makes an appointment with an RPL Advisor
3. During the Interview process the following is determined:
 - Determine the reason for RPL
 - Explain the RPL process to the candidate
 - Identify the field of learning
 - Identify suitable standards and outcomes
 - Conduct a role and job analysis
 - Conduct a competence analysis
 - Identify possible credits towards qualifications
 - Identify specific opportunities for RPL
 - Determine the types of evidence required
 - Develop an RPL action plan with the candidate
 - Discuss possible assessors and assessment methods
 - Ensure the candidate understands the assessment practice
4. Candidate collects evidence and compiles a portfolio
5. Candidate submits portfolio of evidence for assessment
6. Assessor assesses the evidence, makes a judgment and a decision
7. Assessor provides feedback to candidate
8. Assessment decision is verified and recorded
9. RPL results are submitted to the relevant ETQA for certification

Methods of Assessment

- The learner must be an active participant in all assessment decisions taken
- Assessment plans must be prepared by the assessor
- Assessment instruments used must comply with SAQA and the relevant ETQA principles of good assessments

- The choice of assessment methods must be fit for purpose and ensure reliable and valid assessment outcomes
- The language of the candidate must be taken into account

Appeals Procedure

- Is the same as the Assessment Appeals Procedure

MODERATION POLICY

MP/TS/020

Moderation is the process of ensuring that the assessment process is conducted according to pre-defined standards and is fair, valid and reliable.

The purpose of moderation is to ensure that:

- Assessments are fair, valid, reliable and practical
- To evaluate the performance of assessors
- To moderate and ensure that quality standards of assessments are maintained.
- To provide feedback to improve assessment practice and methods
- To provide an appeals opportunity for dissatisfied learners.
- To make recommendations for the reassessment of learners
- To provide a procedure for the de-registration/re-registration of assessors.
- To provide feedback to relevant stakeholders involved in ETD.

Moderation must be implemented according to the laid down process and procedure. External moderation practice must comply with ETQA requirements

APPEALS PROCEDURE

AP/TS/021

Stage 1:

Where the candidate disagrees with the assessment given s/he must explain the reasons for this to the assessor concerned as soon as possible. In most circumstances this will be immediately after receiving the assessment decision. The assessor should consider the candidate's explanation and provide a response through: - a clear explanation or a repeat explanation of the assessment decision - follows a re-evaluation of the evidence - completion of Section 1 of the Candidate Appeal Form - amendment of the candidate's assessment record, if appropriate. This should take place as quickly as possible and within 3 working days. If the candidate agrees with the outcome at this stage then the appeal will not proceed further. If the candidate is not happy with the outcome then the Appeal will proceed to Stage Two.

Stage 2:

The assessor forwards to the Moderator (M) for the relevant section (i.e. mining) within 3 working days of Stage one: the original assessment record and candidate evidence, where appropriate and the Candidate Appeal Form, with Section 1 completed. The M will reconsider the assessment decision, normally involving an evaluation of: the candidate's evidence and associated records, the assessor's rationale for the decision, the opinion of another assessor and the opinion of the candidate. The M should complete Section 2 of the Candidate Appeal Form and provide the candidate with the reconsidered decision within 5 working days of receiving the appeal. Where the candidate remains unhappy with the reconsidered assessment decision, the Appeal must proceed to Stage Three.

Stage 3:

If no resolution has been reached, the Stage 2 Internal Verifier will forward details to the TVEC. These should include: Candidate Appeal Form, appropriately completed, Assessment records and any written comments from the IV (e.g. background details). The SE will then, within 10 working days, convene a panel comprising: the SE, the Stage Two M and another assessor from the relevant discipline. The panel will evaluate the situation and complete Section 3 of the Candidate Appeal Form and the candidate of its decision within 5 working days. The decision of the panel is final.

Records of all appeals should be logged and made available as appropriate to:

- The External Verifier
- The Quality Assurance Group with responsibility for assessments.

ASSESSOR REGISTRATION POLICY AND PROCEDURE

RS/TS/022

The registration process will:

- Be open, equitable, fair and transparent
- Be efficient and time and cost effective
- Make provision for internal and external assessors
- Provide registration for specific qualifications and unit standards
- Register assessors for an indefinite period
- Process the application within 60 working days
- Access to certification will be confined to employees, contractors or consultants working for the organization.

Conditions to Register As an Assessor

The Assessor will:

- Have sufficient technical expertise to apply the assessment criteria in the standards in the specified fields and/or sub-fields. (The applicant will provide list detailing unit standards in each field and/or sub-field for registration is required).
- Be competent as an assessor. The evidence required is a certified copy of the certificate indicating the relevant qualification or unit standards obtained. The provider issuing the certificate will need to be listed with the particular ETQA.
- Workplace assessors must for any assessment act, implement organization-wide assessor guides, which must be kept up to date in respect of the unit standards to which they pertain. Subject to this control of quality, workplace assessors may be registered as competent to conduct workplace assessment in respect of one or more particular fields or sub-fields, stipulating a list to be maintained by the ETQA detailing all the unit standards falling in each possible field and sub-field. This measure is intended to reduce the bureaucratic and administrative load involved in making continuous updates to the list of individual unit standards for which assessors are registered, and it is noted that the measure is made possible by the rigorous quality control implicit in the prescription of appropriate standardized and up-to-date assessor guides. Procedures to be followed by providers wishing to be included in the list.

Process to Register Assessors

a) Provide information to applicants

The ETQA will make registration information available to all applicants. An assessor registration application form will be available in English via internet or e-mail and in paper format. A contact name and telephone number will be provided should applicants require assistance with the completion of the assessor registration form.

b) Review the application

The ETQA will record the date and time that the assessor registration application form was received. The application will be checked for correct completion and that all the relevant documentation is provided. If the form has not been completed correctly it will be referred back to the applicant. Records of all referrals will be kept.

c) Assess the application to make a decision

The ETQA will primarily be concerned with whether the applicant has sufficient technical competence and assessment competence. Should the ETQA not be satisfied with the information provided by the applicant, a request for further evidence can be made? The ETQA will want to satisfy itself that the applicant has received training from a reputable training provider. The ETQA shall from time to time issue a list of Providers complying with ETQA requirements in respect of assessor training.

d) Reach a decision and communicate

The ETQA administrator will grant or deny registration. If registration is not granted, full reasons are to be communicated to the applicant who has the right to appeal the decision. Appeals must be lodged within 90 days of notification of the decision. In the first instance the appeal is referred to the ETQA manager. If the manager is unable to resolve the dispute, the appeal is referred to the ETQA Council whose decision will be binding. If the application is successful, the applicant is to be notified and provided with the code of conduct for assessment.

e) Update database

The ETQA database should be updated whenever an assessor is registered or when provisional registration has been granted. The registered assessor information will be managed under three categories. They are:

- Member organization assessors

- Accredited provider assessors
- Assessors who have been provisionally registered

The names of assessors registered with the SETA ETQA will be published on the SETA website. The database will also be updated in cases of de-registration.

De-Registration:

Four causes of de-registration are contemplated:

- Assessor seeks voluntary de-registration;
- De-registration resulting from termination of services to a constituent member or provider organization
- De-registration in the event that this is ruled on the basis of moderation by the ETQA;
- De-registration resulting from compliance with legislation and/or regulations.

Suspension of registration must be provided as an alternative to de-registration where appropriate in respect of rulings emanating from moderation by the ETQA.

Appeals must be lodged within 90 days of notification of the decision to de-register the assessor. The applicant will need to provide a motivation as to why the decision should be reversed. In the first instance the appeal is referred to the ETQA manager. If the manager is unable to resolve the dispute, the appeal is referred to the ETQA Council whose decision will be binding. The applicant is notified of the decision.

A moratorium period must be stipulated for re-registration after de-registration. In respect of de-registration resulting from the termination of services within the sector and with respect to statutory and regulatory compliance this will be at the discretion of the ETQA. A mandatory moratorium of one year is to apply in respect of other de-registrations.

Applicants wishing to be re-registered following the moratorium period will need to fulfill the same criteria as for first applications. In addition there will be charge levied for the processing of the application. The ETQA will on an annual basis provide a schedule of fees for related services.

MONITORING, REVIEWING AND EVALUATING THE QMS POLICY

MER/MC/023

We will implement a monitoring and evaluation system to ensure the continued efficient and effective operation of the Quality Management System, and to promote continual improvement.

The monitoring, evaluation and reviewing will include:-

- a) Management reviews
- b) Internal QMS system audits
- c) Monthly Quality reviews

Annual Management reviews will include the following:-

- The continuing suitability of Policies and Procedures against goals and objectives
- The results of the internal QMS system audits
- The results of Monthly Quality reviews
- Actions necessary to promote continual improvement.

Internal QMS system audits of the system will:-

- Be conducted by persons having no responsibilities in the areas being audited.
- Cover all Policies and Procedures of the management system at least annually.
- Is documented and corrective action taken to correct any deficiencies recorded?
- Be followed -up to verify corrective actions are successful.

Monthly Quality reviews will:-

- Monitor the implementation of Policies and Procedures
- Review the results of scheduled QMS audits
- Follow -up and assist with corrective actions
- Prepare reports for Management

The monitoring, evaluation and reviews will include:

- a) QMS review frequency
- b) QMS suitability, adequacy and effectiveness
- c) QMS documentation status
- d) Review inputs
 - Audit results
 - Customer feedback
 - Process performance

- Product conformance
 - Corrective actions
 - Preventive actions
 - Previous review follow-ups
 - Changes which could affect the MS
- e) Review outputs
- Performance and improvement opportunities
 - MS improvement
 - Customer or Service improvement
 - Resource needs
- f) Any other business

At a minimum, the agenda for the Management review is comprised of the following topics:

- Mission Statement and Quality Policy
- Values and Beliefs
- Follow-up actions from previous management reviews
- Quality Objectives/Annual Goals and Objectives
- Customer feedback
- Results of Audits
- Status of corrective and preventive action program
- The preventive maintenance program
- The calibration program
- Evaluation of sub-contractors
- Quality training
- New employee orientation
- Overall Quality System Function, including process and product conformance
- Other changes that could affect the Quality Management System
- Recommendation for improvement

The table below provides an indication of the most important reports that your organization should be using to monitor and evaluate the training and business processes. You can add to the table if the need arises.

Type	Purpose of Report	How Often	Person Responsible	Person Int for
Agenda and Minutes	To prepare documentation and provide feedback of decisions taken	Whenever meetings are held	Meeting Chairperson	All attendees
Learner Feedback on Training and Mentoring	Learner to provide feedback on experiences during theory and workplace training	Monthly	Learner	Operational Management

Facilitator Feedback (Training)	Monitor logistics and content of training	Weekly	Facilitator	Operational Management
Facilitator Feedback (Learner Progress)	Monitor progress of learner. Determine areas of weakness and design remediation	Monthly	Facilitator	Operational Management
Mentor feedback	Monitor progress of learner during workplace learning	Monthly	Mentor / Workplace	Workplace Management / Training Provider / Operational Management
Project Feedback	To inform funders/stakeholders on progress of project	Monthly / Quarterly	Project / Operational manager	Funder
Annual Operational Reports	To determine the effectiveness of the business processes: staff turnover, leave, customer queries and complaints, purchasing cycle.	Annual	Operational Manager	Senior Management
Declarations of Competence	Inform the SETA of competent learners linked to unit standards and qualifications	After Assessment and Moderation Processes are complete	Operational Manager	SETA's
Annual Report	To report to stakeholders the achievement or non achievement of strategic objectives	Annual	Senior Management	All stakeholders

QMS REVIEW PROCEDURE

REV/MC/024

The purpose of this procedure is to identify actions and responsibilities for conducting and reporting internal audits of the Quality Management System. Internal audits are critical to the success of our Quality Management System. They help to determine the functionality and effectiveness of the system. When the system is not working, internal audits aid in determining if it is because the system needs to be improved or because the documented system is not being followed. Along with corrective actions and management review, audits supply key information to make sound business decisions, and they provide information for continuous improvement opportunities. The results of these audits form an integral part of our management system.

Process management and continuous process improvement are fundamental to our quality policy and philosophy, and our approach to auditing reflects this commitment. We focus on two interdependent areas:

- Auditing the quality management system control and
- Administrative processes and auditing our key product/service delivery processes.

In order to facilitate employee awareness and continuous process improvement, we systematically perform process and sub-system audits, quarterly based on status and importance rather than conduct complete system audits annually. The Management is responsible for scheduling, conducting, reporting, and managing the internal audit process. We audit the QMS to determine the extent to which requirements are fulfilled. We use audit findings to assess the effectiveness of the system and to identify opportunities for improvement. Our audit process covers both QMS control and administrative processes as well as key product/service delivery processes as previously discussed.

The schedule is developed on the basis of status and importance of the activity to be audited and previous audit results. Audits are conducted in accordance with the schedule unless precluded by unforeseen circumstances, in which case the audit will be rescheduled. At a minimum, each element of the Quality System will be audited at least once annually. Audits are coordinated by the Management, and carried out by trained personnel who do not have direct responsibility for the activity being audited.

Conducting Audits

- The internal auditor will notify the leader of the area to be audited at least 3 working days prior to the internal audit.

- The auditor will develop an audit plan, which includes the documentation to be audited, a checklist of items to review, and sample questions to ask.
- An entrance briefing will be conducted with the leader of the area being audited to discuss the purpose and requirements of the audit, identify all points of contact, and discuss any other concerns.
- The audit will be conducted. The audit will include the scheduled subject and any follow up audits required to verify corrective actions from previous audit findings. Although the audit will have a primary focus according to the schedule, any discrepancy relating to the quality system may be investigated.

An Internal Audit Record will be documented for each element reviewed, as indicated on the annual audit schedule. These records as well as any checklist used during the conduct of the audit shall be maintained by the management representative to provide objective evidence of audit completion. The completion of an audit will also be indicated on the annual audit schedule by addition of the auditor's initials in the appropriate column.

Any audit findings are brought to the attention of the leader with responsibility for the area. Auditor's documents will identify QMS deficiencies or opportunities for improvement, Corrective/Preventive Action Request, Corrective and Preventive Action. A management representative will record and file all audit findings. The leader responsible for the area audited will take timely corrective action. Time periods for corrective/preventive action are based on the severity and complexity of the discrepancy.

Critical findings having a direct impact on the quality of the product must be acted upon within three working days of the Internal Audit Finding Report. The leader of the area and the auditor will agree on completion dates. When corrective action cannot be completed in the agreed time frame, the team leader responsible for the corrective action will contact the audit team leader for assignment of a new due date.

Upon completion of each corrective and preventive action, follow-up is conducted to verify implementation and the effectiveness of the corrective or preventive action. Such follow-up action may be conducted as part of a previously scheduled audit, or scheduled independently. Verification results are recorded in the Corrective/preventive action system. If corrective/preventive action was not effective, the finding will remain open and alternate actions planned and implemented until the issue is successfully resolved.

Signed:
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Internal Auditor

Management Representative

Date:
.....

Signed:

Date:

Signed:
.....
Registrar

Date:
.....

Signed:

Rector

Date: