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MQA

Mining and Minerals SETA

Guidelines for Provider Accreditation

Submission by the

Education, Training and Quality Assurance



1. INTRODUCTION

This document contains a set of guidelines to assist providers in understanding the accreditation process. It will provide the provider with

- The process and procedure to be followed
- A description of the criteria set out in the Policy for accreditation
- A comparison between MQA criteria and ISO 9001 2000 criteria
- Documents that need to be completed

The Provider Accreditation Pack is a set of documents that need to be completed by the provider. The Provider Accreditation Pack will

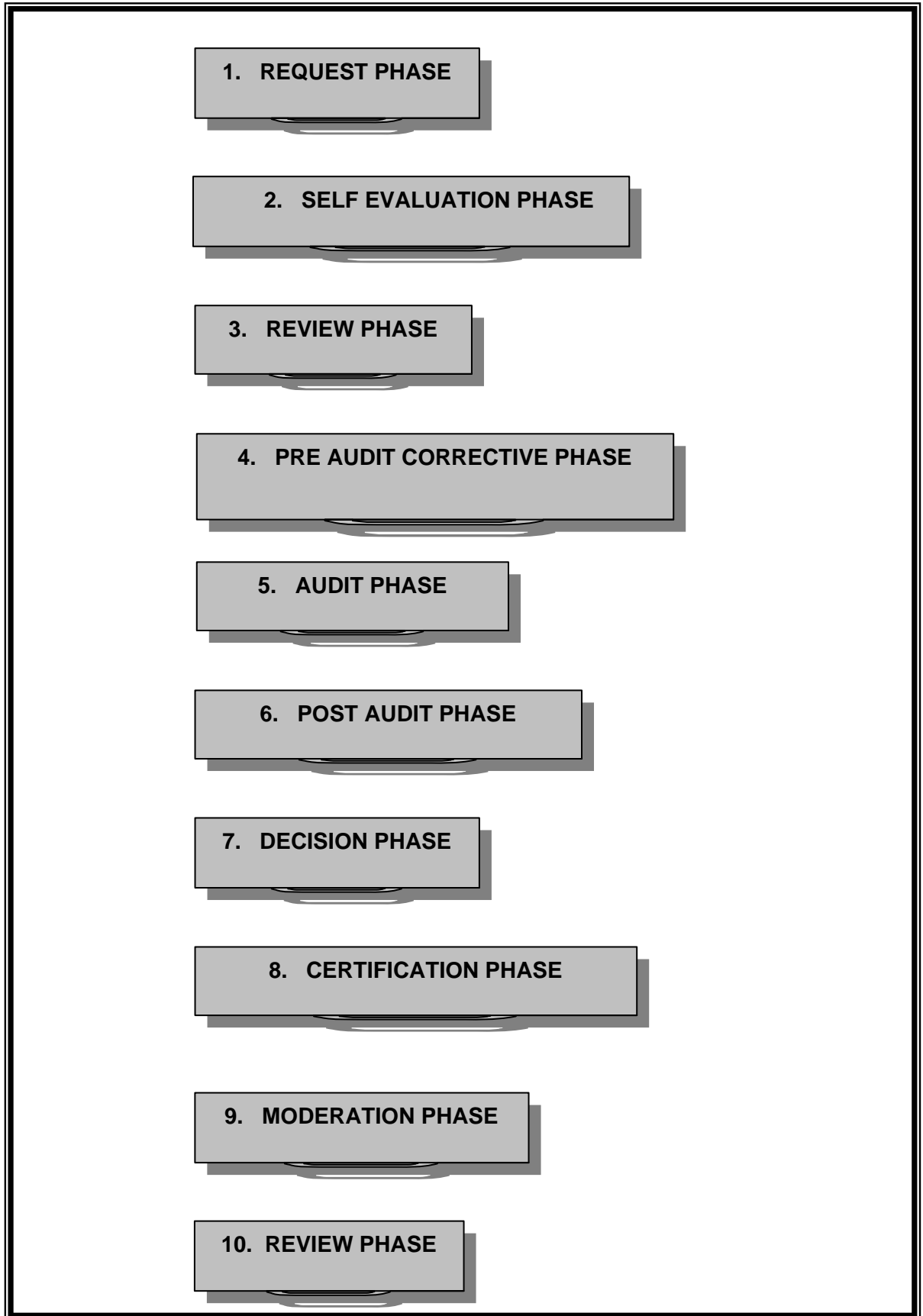
- Provide the required information regarding the provider enabling the ETQA to
 - Capture data for the MIS
 - Evaluate the provider
 - Make recommendations to the provider
 - Issue a user ID and password
 - Accredite the provider
- Provide information enabling the provider to
 - Meet MQA ETQA requirements
 - Meet SAQA requirements
 - Evaluate themselves
 - Obtain accreditation

The provider Accreditation Pack consists of the following documents

- Letter of intent
- Application for registration
- Provider code of conduct
- Auditor / Moderator code of conduct
- Policy for accreditation
- Terms and definitions
- Guidelines and process of accreditation
- Self evaluation
- Assessor documents
- Moderator documents
- RPL documents
- Learnership documents
- Qualifications, programmes, unit standards

The documents are available at the MQA offices or electronically via email or internet once the **letter of intent** has been submitted

2. THE ACCREDITATION PROCESS



3. PROVIDER / ETQA RESPONSIBILITIES

P H A S E	PROVIDER	ETQA	DOCUMENTS
1	<p>Complete letter of intent Submit letter of intent</p>	<p>Validate data Does provider fall within scope Capture data Allocate registration number Allocate user identification Allocate user password Send letter of acknowledgement Make accreditation pack available</p>	<p>Letter of intent Letter of acknowledgement Letter with provider pack</p>
2	<p>Read information supplied Complete application form Complete self evaluation form Sign provider code of conduct Submit application, provider code of conduct and self evaluation form</p>	<p>Maintain communication Assist telephonically Assist on site if needed</p>	<p>Provider code of conduct Auditor / Moderator code of conduct Policy for accreditation Terms and definitions Letter of progress (monthly) Guidelines process of accreditation Self evaluation Assessor documents Moderator documents RPL documents Learnership documents Qualifications, programmes, unit standards</p>

P H A S E	PROVIDER	ETQA	DOCUMENTS
3	Provide incomplete and/or additional information	Send letter of acknowledgement Validate data Capture data Prepare documents for accreditation committee Generate accreditation committee report Accreditation committee to evaluate and review report	Letter of acknowledgement and time frame required for review Letter requesting incomplete or additional data
4	Implement recommendations made by accreditation committee Forward information once recommendations are implemented	Forward accreditation committee's: <ul style="list-style-type: none"> • report • recommendations (how why when) • proposed time frame provider status: <ul style="list-style-type: none"> • not yet ready (major changes required) • ready with minor changes • ready for on site audit Forward recommendations implemented to accreditation committee for verification Schedules site visit Confirm requirements for site visit	Accreditation report Accreditation recommendations Letter indicating status Letter scheduling on site audit

P H A S E	PROVIDER	ETQA	DOCUMENTS
5	<p>Prepare for site visit Attend initial and final audit meetings Respond to recommendations</p>	<p>Prepare audit team (who why what when where) Auditor / Moderator code of conduct Visit site/s to be audited Audit should consist of:</p> <ul style="list-style-type: none"> • Opening meeting with management informing meeting of the scope and method of reporting • Detailed examination of <ul style="list-style-type: none"> ○ MIS ○ Condition of facility ○ Condition of training / workshop areas e.g. engineering standards, equipment training aids ○ Learning resources ○ Staff • Non compliances recorded on evaluation document • Signed by all parties <p>Audit team meeting to consolidate and report on findings Closing meeting with management to report findings and discuss corrective action Disclose final report verbally subject to approval by ETQA committee</p>	<p>Terms of reference Auditor/Moderator code of conduct Agenda Minutes Auditor evaluation document / checklist Final report</p>

P H A S E	PROVIDER	ETQA	DOCUMENTS
6	Implement recommendations made by accreditation committee Forward information once recommendations are implemented	Audit team to submit report to accreditation committee Accreditation committee to review report Submit final report to provider Provider status can be: <ul style="list-style-type: none"> • Corrective action implemented during course of audit verbal (minor) • Corrective action implemented post audit written (minor) • Corrective action implemented post audit written that can only be resolved by on site verification (major) • No corrective action ready for accreditation 	Final report Letter indicating recommendations and current status
7		ETQA to ratify accreditation committee recommendation and status: <ul style="list-style-type: none"> • Programme approval • Interim accreditation • Provisional accreditation • Full accreditation Inform provider of status	Letter stating status
8	Sign acknowledgement document Receive Praxis training / induction	Forward certificate to provider Forward terms, conditions and validation period	Letter of congratulation Certificate Conditions to maintain accreditation status

P H A S E	PROVIDER	ETQA	DOCUMENTS
9	<p>Complete moderation document Confirm Praxis annual review report Prepare for site visit Attend initial and final audit meetings Respond to recommendations</p>	<p>Forward yearly moderation document Forward annual review report (extracted from Praxis) Prepare audit team (who why what when where) Auditor / Moderator code of conduct Visit site/s to be audited Audit should consist of:</p> <ul style="list-style-type: none"> • Opening meeting with management informing meeting of the scope and method of reporting • Detailed examination of <ul style="list-style-type: none"> ○ MIS ○ Condition of facility ○ Condition of training / workshop areas e.g. engineering standards, equipment training aids ○ Training material ○ Staff • Non compliances recorded on evaluation document • Signed by all parties <p>Audit team meeting to consolidate and report on findings Closing meeting with management to report findings and discuss corrective action Disclose final report verbally subject to approval by ETQA committee</p>	<p>Annual review report Terms of reference Auditor/Moderator code of conduct Agenda Minutes Auditor moderation document / checklist Final report</p>

P H A S E	PROVIDER	ETQA	DOCUMENTS
1 0	<p>Implement recommendations made by accreditation committee</p> <p>Forward information once recommendations are implemented</p>	<p>Audit team to submit report to accreditation committee</p> <p>Accreditation committee to review report</p> <p>Submit final report to provider</p> <p>Provider status can be:</p> <ul style="list-style-type: none"> • Corrective action implemented during course of audit verbal (minor) • Corrective action implemented post audit written (minor) • Corrective action implemented post audit written that can only be resolved by on site verification (major) • No corrective action maintain accreditation status 	<p>Final report</p> <p>Letter indicating recommendations and current status</p>

4. ACCREDITATION CRITERIA

Criteria 1

The ETQA regulations stipulate that the body applying for accreditation must be registered as a provider in terms of the applicable legislation at the time of application for accreditation

- The body applying for accreditation must be a registered as a legal entity
 - Company
 - Charitable Trust
 - Closed Corporation
 - Non Governmental Organisation
 - Statutory Body

Evidence required

Documentary evidence including but not limited to

- Name of provider
- Legal status of entity
- Ownership
- Legal address
- Vat registration number
- SDL number
- Company registration number
- Evidence of SETA paying levies to provider

Criteria 2

- The ETQA regulations stipulate that the body must have a recognised quality management system (ISO 9001:2000) which includes but is not limited to:
 - quality management policies which define that which the provider wishes to achieve;
 - quality management procedures which enable the provider to practise its defined quality management policies; or
 - review mechanisms which ensure that the quality management policies and procedures defined are applied and remain effective

Quality management system

The provider must be able to demonstrate to the ETQA that it has a quality management system which includes quality management policies and procedures as well as review mechanisms to ensure that the degree of excellence specified for provision and assessment is achieved.

Elements linked to the purpose of the provider:

- A clear and unambiguous statement of the goals and principles by which the provider operates

- A clear statement of the areas of learning in which the provider operates and the services provided in respect of these areas. This would include the NQF registered standards and qualifications and the range of services (tuition, tuition and assessment, etc.) to be provided as well as the learner audience the provider will direct these at
- An explanation of how quality management and other provider policies and strategic plans are reflected in and driven by this purpose, including how these relate to national, sectoral and local contexts and are responsive to change requirements
- A clear and unambiguous commitment to learners.

Elements linked to the practices of the provider include:

- strategic business and operational plans that give direction to the provider over the period of accreditation and clearly reflect the purpose of the provider
- strategic business and operational plans that are realistic and designed to enable the provider to meet both quality improvement and sustainability requirements;
- procedures and methods for the implementation of plans and policies that are documented and easily available to staff, learners and other clients of the provider
- mechanisms to monitor and review the implementation of plans and policies that are implemented, maintained and recorded
- mechanisms for ensuring that the evaluation and amendment of policies and plans are implemented, maintained and recorded

Policies and procedures that providers need to ensure they cover are but not limited to:

- Programme development and design
- Materials development
- Teaching and learning services and responsibilities
- Learner support, access issues including equal opportunities, authenticity of assessment evidence and appeals systems, as well as the use of tutors and mentors and learning resources
- The language of teaching and learning
- Assessment
- Moderation
- Finances, fees and payment regulations
- Collaboration and partnerships
- Management and administration
- Marketing
- Evaluation and research
- Internal quality assurance mechanisms and reviews
- Quality assurance reviews and accreditation
- Non conformance
- Review mechanisms

Evidence required

- Documentary proof is required of all policies and procedures

Criteria 3

- has the ability to achieve the desired outcomes, using available resources and procedures considered by the ETQA to be needed to develop, deliver and evaluate learning programmes which culminate in specified registered standards or qualifications

Learning programmes

The criterion for programme development is that

- Programmes are flexible and designed with national needs as well as the needs of prospective learners and employers in mind
- Their form and structure encourage access and are responsive to changing environments
- Learning and assessment methods are appropriate to the aims and purposes of the programme
- The programme should also include
 - its relationship to the registered standard/s or qualification in respect of learning outcomes and purpose
 - assessment and accreditation requirements
 - key features of the learning environment
 - learning and learning support resources and requirements
 - assessment methods
 - policies and practices for the management of assessment
 - authenticity of assessment evidence
 - appeals system
 - any other requirements necessary for the successful completion of the programme.
- Quality indicators such as relevance, programmes should be developed on the basis of a needs analysis of learners, the community or constituency which the provider services and should include an audit of existing programmes, market research and national skill development strategies
- Integration quality indicator, programmes should be designed to include theoretical and practical learning components and, wherever possible and appropriate, experiential learning. The programme should be designed and outlined to reflect the integration of the relevant critical cross-field outcomes, particularly those specified in the standard or qualification.
- Access quality indicator, entry requirements for the programme should be as open as possible and make provision for the recognition of prior learning and exemptions

- Entry requirements should be a stated language policy for the programme that is based on national language policy, on the language profile of the learners and on career and further or higher learning contexts. This policy must be reflected in the learning materials, assessments and learner support services.

Evidence required

- Documentary proof is required such as but not limited to
 - List of registered unit standards, qualifications, programmes
 - Details of research practice
 - Evidence of research conducted in WSP
 - Needs analysis
 - Learner demographics
 - Target population information
 - Design plan and specifications
 - Approval processes
 - Development processes
 - Evaluation process to determine effectiveness and impact of learning
 - Learning resources

Criteria 4

- has the necessary financial, administrative and physical resources

Financial, administrative and physical resources

A critical aspect of quality is the governance for and management of provision. Within this, the key relations would be clear lines of responsibility and accountability within the provider – for example, staff-management chains – and between the provider and the governing body of the provider. The structure and composition of the governing body would depend on the type of provider. For example an in-company training centre may have an executive or board structure whose composition is laid down in company or enterprise policy.

A key feature of the administrative resource requirements would be the database of learner information and learner records. Policies and procedures for the accurate capturing, maintenance and regular updating of learner information and records will be required and monitored.

Facilities, equipment and learning materials must support the learning process and must be appropriate to the learning services that are provided.

Suitable policies and procedures for the management, maintenance and upgrading of facilities, resources and materials are required. Staff and learners must be trained in the use of the materials, equipment and facilities as well as the provider's communication and information systems.

In respect of adequate financial resources, the provider will be required to demonstrate that they have the necessary financial resources to sustain the learning services throughout the period of accreditation. In addition, the provider should demonstrate that proper budgetary and financial management processes are in place including the allocation of resources adequate to the requirements for providing and

developing quality learning services. An important element of this criterion would be the evaluation of the financial policies and procedures in respect of the goals and mission of the provider as well as the relationship of the financial system to the attainment of the provider's goals and objectives.

It may well be that the policies and procedures for the Recognition of Prior Learning (RPL) will include meeting programme entry requirements as suggested here or it may be that RPL is linked to the award of credits and qualifications and providers could have more discretionary powers in setting alternative entry scenarios appropriate to individual or learner groupings.

Evidence required

- Documentary proof is required such as but not limited to
 - Policies and procedures relating to
 - learner record keeping and reporting
 - database management
 - document control
 - fee structures
 - learner withdrawal
 - learner appeals
 - support systems
 - materials
 - finances
 - purchasing, leasing maintaining renewal and replacement of equipment
 - regarding premises (maintenance, upgrading etc)
 - health and safety
 - learning provision initiatives
 - signed contracts with clients
 - audited statements
 - report indicating financial soundness
 - declaration indicating commitment to learners for the duration of the learning programme
 - number of learners that can be accommodated

Criteria 5

- has the policies and practices for staff selection, appraisal and development

Staff selection, appraisal and development

The organisation will have to provide details of its staffing policies and procedures, including recruitment, selection, appointment, promotion and termination. Sufficient staff (full-time or contractual) suitably qualified in the subject or sector and assessment will have to be shown to be available to ensure the quality of the learning experience and achievement of the specified standards and qualifications.

Evidence of policies and procedures for staff development and staff development opportunities will be required. These policies and procedures should allow both for the needs of the organisation as well as individual and professional development requirements to be met.

Evidence required

- Documentary proof is required such as but not limited to
 - Policies and procedures relating to
 - Recruitment
 - Selection
 - Appointment
 - Appraisal and development
 - Promotion
 - Termination
 - Staff student ratio
 - Names of registered assessors,
 - Names of moderators and ETD practitioners
 - WSP regarding staff development and training

Criteria 6

- has the policies and practices for learner entry, guidance and support systems

Learner entry, guidance and support systems

Learner information is used to design programmes, courses, materials, learner support, and guidance services that are flexible and learner-centred.

To ensuring a quality experience for all learners, learners' special needs need to be considered in the design of course and learning support materials, assessment arrangements and communication with teachers, tutors, lecturers, educators or trainers. Learners with special needs also need to be taken into account in the design of the institution which should be relevant to the form of delivery of learning programmes.

Learners need to have access to reliable advice and information before they enrol in a particular programme, during the period they are engaged in the learning programme and when they complete the programme.

Considerations of age, race, gender and language should be made in order to render this service as accessible as possible.

Learners need guidance about choice of course or programme, information and guidance about payment of fees, registration procedures, requirements of the course, contact sessions and assessment procedures. In addition, learners need advice on matters of learning management – such as choice of courses and learning pathways, how to work with the course materials, how to tackle assignments, how to plan their study; they need academic support to develop the skills of reading, writing and study that are required for successful completion of the course. Learning management counselling can be written into the course materials or provided on an individual or class basis.

After the learner completes the programme, s/he may need career advice or advice about further learning opportunities.

Evidence required

- Documentary proof is required such as but not limited to
 - Policies and procedures relating to
 - Pre assessments of learners
 - Induction of learners
 - Health and safety
 - RPL processes
 - Learning path and career path
 - Career guidance staff and or centre

Criteria 7

- has the policies and practices for the management of off-site practical or work-site components

Managing practical or work-site

In respect of components of learning delivery which do not happen under the direct management of the provider, it is expected that the provider should give evidence of how they will assure the quality of the “practical” or “experiential” element of the learning programme.

Mechanisms for ensuring valid “off-site” learning experiences and for safeguarding the rights of learners in this process will be required. As part of the system for practical or experiential learning, the provider will need to give evidence for managing assessment across sites and for the maintenance of learner information.

Evidence required

- Documentary proof is required such as but not limited to
 - Policies and procedures relating to
 - Management and assessment of off site training
 - Management and assessment of on job training
 - Partnerships / Agreements between provider and learner work place i.e. off site and or on job

Criteria 8

- has the policies and practices for the management of assessment which include appeals systems

Management of assessment

Assessment is defined as a measurement of the achievement of the learning outcome/s. The education and training system is one in which learning attainment is based on achievement through appropriate assessment of learning outcomes specified in NQF registered standards and qualifications.

The following elements, amongst others, need to be taken into account in designing, implementing and maintaining the assessment system:

- The assessment strategies must be in keeping with the aims and outcomes of the learning programme or course as these relate to the outcomes specified in the standard or qualification.
- A range of parties is involved in the assessment of learners. This is designed appropriate to context and outcome and can include self-, peer and other forms of group assessment. Moderators for assessment and even assessment monitors are included in this grouping.
- A range of assessment instruments is used in the assessment of learners. This is designed in accordance with the context and outcome.
- The timing of assessment is flexible in order to accommodate the various and peculiar needs of learners.
- Assessment information, including learning outcomes, assessment criteria as well as assessment procedures and dates, is provided to all learners and assessors.
- Records of assessments are kept and learners receive detailed and accurate feedback on their progress and performance.
- The processes and results of assessment fulfil the requirements of the NQF standards and qualifications for which the provider has been accredited and meet the requirements of the ETQA.

Appeals procedures

Appeals procedures ensures that learners have access to appeal an assessment outcome either to the facilitator of learning and/or assessment and if unsatisfied to the management of the provider and, in the final instance, to the ETQA.

Evidence required

- Documentary proof is required such as but not limited to
 - Policies and procedures relating to
 - Assessment
 - Moderation
 - Competence of staff
 - RPL
 - Reassessment
 - Appeals and reviews
 - Copy of assessment plan
 - Copy of formative and summative assessments
 - Copy of assessment reviews
 - Copy of learner assessment guide
 - Copy of designed and developed learning material indicating the way in which formative assessment activities are designed into the learning process
 - Copy of moderated assessments
 - Moderator reports
 - Records of pre and post assessments

- Minutes of outcomes of assessment appeals

Criteria 9

- has the necessary reporting procedures

Reporting procedures

Learner records:

Every provider will be required to demonstrate that they have a system and the facilities for maintaining and updating detailed information about past, present and potential learners. This requirement is essential in order to be able to meet the ETQA reporting requirements and should include the following learner information:

- Name and unique learner number
- Contact details
- Demographic information (age, race, gender, geographical location, occupation)
- Education and training background and experience (prior qualifications; prior learning and previous learning experiences; learning skills; language skills and preference)
- Special learning needs (relevant disabilities or learning difficulties)
- Additional learning needs (necessary experience and knowledge of relevant technology)
- Resource factors (place and time of learning, access to resources including electricity and technology, financial resources for additional learning or support materials)
- Motivation for entering a programme of learning
- Programme/s for which the learner is registered
- Performance during the programme (internal and continuous assessment)
- Achievement during and at the end of the programme (internal and external assessment, final assessment, award achieved)

This will enable the ETQA and SAQA to maintain accurate information on national learner and learning profiles. Knowledge of learners and their needs is essentially what drives the purpose and policies of the provider. This information is also used to design learning programmes, modules or courses within programmes or to NQF standards, materials, and learner support systems and services. Updating and

reviewing this information in a formal and regular way allows the provider to develop a flexible and learner-centred approach to learning provision and learner assessment.

Learner confidentiality systems should be designed taking the needs of different users into account.

Reporting and information storage requirements address the following broad groupings.

- The first grouping is the accreditation and quality assurance bodies. Within this, the first user would be the learner herself.
- The direct relation to the quality of the learning interaction would be the teacher, tutor, lecturer, educator or trainer.
- Closing this information loop would be the institution and then the institution's reporting process to the ETQA body.
- The information transfer to the ETQA is designed with security of learner information in mind. Providers also need to have policies in place for the learner information they release.
- Another grouping is also directly related to the quality of the learning experience but require general information about learners for improving the quality of the learning experience. These are those bodies involved in the design and development of assessments, learning materials, courses, programmes and systems – to the extent that these are separate from the teacher, tutor, lecturer, educator or trainer.

Evidence required

- Documentary proof is required such as but not limited to
 - Policies and procedures relating to
 - Reporting
 - Copy of reports that are used such as but not limited to
 - Records of achievement
 - Particulars of learner
 - Number of assessments conducted
 - Assessor reports
 - Moderations conducted

Criteria 10

- declaration of suitability of a workplace (Provider and/or Employer) for training and/or assessment

The provider will be required to declare that the workplace where training and/or assessment is to be conducted is fit for purpose. That is to say that the workplace meets certain conditions such as but not limited to:

- Meet Health and Safety requirements for example:
 - Adequate lighting
 - Sufficient ventilation
 - Personal protective equipment
 - Safe working procedures
 - HIAC (Hazardous Identification and Control)
- Tools, equipment, and materials are able, adequate and available to do the task being trained and/or assessed i.e. engineering standards are met and maintained
- Workplace procedures and standards are available
- Candidate has access to unit standards and qualifications
- Sufficient time is allocated to the candidate to perform assignments, learning, training and assessment
- provider / employer undertaking to provide these facilities

Evidence required

- Declaration indicating that the provider / employer does and will comply with the above mentioned requirements.
- A list indicating which providers / employers have been declared fit for purpose

Criteria 11

- Has not already been granted accreditation by or applied for accreditation to another ETQA.

Evidence required

- Declaration indicating that the body has not been granted accreditation by or applied for accreditation to another ETQA.

5. COMPARISON OF MQA AND ISO REQUIREMENTS

The following provides a list indicating which of the MQA requirements are met by the ISO International Standards Organisation ISO 9001:2000

	MQA ETQA requirements	Associated ISO section
1	Have a quality management system	ISO 9001:2000
2	Be able to develop, deliver, and evaluate learning programmes / learnerships in specified NQF registered unit standards and qualifications in the mining industry at specified levels	Clause 7:
3	Have financial, administrative and physical resources	Clause 6:
4	Have policies and practices for staff selection, appraisal and development	Clause 6:
5	Have policies and practices for learner entry, guidance and support systems	Falls under various sections including Clauses 4,5,7,8
6	Have policies and practices for the management of off-site practical or work-site components	Falls under various sections including Clauses 4,5,7,8
7	Have policies and practices for management of assessment	Falls under various sections including Clauses 4,5,6,7,8
8	Have the necessary reporting procedures	Falls under various sections including Clauses 4,8

6. ACCREDITATION FLOW CHART

