

SECTION 1: INSTITUTIONAL BACKGROUND

No	Specific Criteria	Yes or No	Non-conformance / Observation	Notes
1.1	The provider has adequate capacity and is well governed.			
1.2	The provider is financially viable.			
	Required documents/records:			
a.	Current organisational structure.			
b.	Organisational history.			
c	Training focus.			
d	Staffing statistics.			
e.	Learner- and customer target groups.			
f.	Learner capacity.			
g.	Financial statements and/or business plan.			
h.	Budget			
	Observeable evidence:			
a.	Regular updated information.			
b.	Application of standard accounting practices.			
c.	Provisioning of funds			

SECTION 2: QUALITY MANAGEMENT SYSTEM (QMS)

No	Specific Criteria	Yes or No	Non-conformance / Observation	Notes
2.1	The provider has an implementable quality management system (QMS) which includes policies, procedures and mechanisms to sustain these.			
	Required documents/records:			
a.	Quality policy and procedures.			
b.	The provider's vision and/or mission and/or management objectives.			
c.	Quality objectives.			
d.	Other relevant policies which should be adhered to.			
e.	Roles, responsibilities and authorities of staff.			
f.	Quality review documents and records.			
g.	Appointment letter of quality representative.			
h.	Evaluation reports.			
	Observable evidence:			
a.	All relevant training aspects covered in Quality Policy.			
b.	Attained and/or revised quality objectives.			
c.	Applied quality policies and procedures.			
d.	Applied staff roles and responsibilities.			
e.	Revised quality practices.			
f.	Self-audits.			
g.	Identified and closed-out non-conformances.			
h.	Corrective and preventive actions.			

SECTION 3: MANAGEMENT OF LEARNING PROVISIONING

No	Specific Criteria	Yes or No	Non-conformance / Observation	Notes
3.1	Learning interventions* are offered in line with customer needs.			
3.2	Learning intervention* provisioning is designed to ensure that learning is sustainable.			
3.3	All learning interventions offered, are outcomes-based.			
3.4	All learning interventions* make provision for Recognition of Prior Learning (RPL), based on unit standards.			
3.5	Learning interventions* meet specified quality criteria.			
	Required documents/records:			
a.	Scope of learning interventions offered.			
b.	Unit- and other relevant standards.			
c.	Planning documents of learning activities			
d.	Standard RPL process.			
e.	Quality requirements / indicators.			
f.	Records of learning evaluations.			
	Observable evidence:			
a.	Outcomes-based learning interventions.			
b.	Learning methodologies aligned to customer needs.			
c.	Optimally integrated theoretical and practical learning components.			
d.	Administrative support.			
e.	Planned learning events.			

SECTION 4: LEARNER SUPPORT

No	Specific Criteria	Yes or No	Non-conformance / Observation	Notes
4.1	Adequate learner guidance is given to ensure optimal learning.			
4.2	Learners are entered at correct starting levels.			
4.3	Learner special needs are catered for.			
Required documents/records:				
a.	Learner orientation / induction programme..			
b.	Learner profiles.			
c.	Communication to learners.			
d.	Learner feedback documentation.			
Observable evidence:				
a.	Learner support resources.			
b.	Learner understanding of requirements for successful completion of the learning intervention.			
c.	Contextualised learning focus.			
d.	Special needs of learners addressed.			

SECTION 5: MANAGEMENT OF ASSESSMENT

No	Specific Criteria	Yes or No	Non-conformance / Observation	Notes
5.1	Assessments are conducted according to Unit Standard ASSMT 01.			
5.2	The assessment process is moderated.			
5.3	Only registered assessors may sign off unit standards.			
	Required documents/records:			
a.	Standard assessment procedure.			
b.	Register of assessors and moderators.			
c.	Assessment planning documents.			
d.	Competency assessment documents.			
e.	Moderator reports.			
f.	Assessment feedback reports.			
g.	Assessment appeals.			
h.	Assessment instruments.			
i.	Assessment results.			
	Observable evidence:			
a.	Competent assessors and moderators.			
b.	Moderated assessment decisions.			
c.	Assessment methods and instruments.			
d.	Assessment appeals effectively processed.			

SECTION 6: STAFF

Note: 'Staff' refers to permanent and non-permanent employees that form part of the provider's provisioning structure. It includes ETD practitioners, managers and support staff as well as contracted people.

No	Specific Criteria	Yes or No	Non-conformance / Observation	Notes
6.1	Staff members are competent to perform their roles.			
6.2	An adequate number of staff exists to address the existing need.			
6.3	Effective planning of staff sourcing and utilisation.			
	Required documents/records:			
a.	Skills matrixes, compacts and/or contracts.			
b.	Staff performance reviews.			
c.	Staff competence profile.			
	Observable evidence:			
a.	Continually assessed and developed ETDPs.			
b.	Effective staff utilisation.			
c.	Realistic learner:ETDP ratio			

SECTION 7: AGREEMENTS AND CONTRACTS WITH STAKEHOLDERS

Note: 'Stakeholder' refers to any party involved in the training system of the provider, for instance learners, customers, contractors and external training providers.

No	Specific Criteria	Yes or No	Non-conformance / Observation	Notes
7.1	The provider formally determines the stakeholder requirements and executes and reviews the learning.			
	Required documents/records:			
a.	Contracts and formal agreements with individual learners and multi-purpose providers.			
b.	Contract reviews and amendments with individual learners and multi-purpose providers.			
c.	Performance review reports			
	Observable evidence:			
a.	Outcomes of learning are achieved.			

SECTION 8: DOCUMENTATION, DATA AND RECORDS

No	Specific Criteria	Yes or No	Non-conformance / Observation	Notes
8.1	Access to documents, data and records are controlled.			
8.2	Changes to, and dissemination of documents and data are controlled			
8.3♦	Relevant learner information is recorded.			
8.4	Documentation system is configured.			
Required documents/records:				
a.	Documents, data and records procedure.			
b.	Types of documents used, data and records.			
c.	Retention period procedure.			
d.	Access, authorisations and responsibilities.			
Observable evidence:				
a.	Learner data recorded as per legislative requirements.			
b.	Change control is applied.			
c.	Data protected against abuse and protected copyrights.			
d.	Database integration			

SECTION 9: LEARNING MATERIAL, EQUIPMENT, MEDIA AND FACILITIES

No	Specific Criteria	Yes or No	Non-conformance / Observation	Notes
9.1	Learning materials are aligned to outcomes-based education, training and development (ETD).			
9.2	Learning facilities conform to OHS Act requirements.			
9.3	Equipment and media are fit for purpose and in good working order.			
9.4	Learning material, equipment and media are effectively controlled.			
	Required documents/records:			
a.	Learning materials.			
b.	Safety reports.			
c.	Learning material and media register.			
d.	Asset register.			
e.	Learner feedback.			
f.	Resource provisioning plan.			
	Observable evidence:			
a.	Adequate learning resources.			
b.	Accurate test and measuring instruments.			

NON-CONFORMANCES

	ETD AREA	REFERENCE	FINDING
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OBSERVATIONS

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AUDIT FINDING

The finding of the audit panel is: (tick with X)

Accreditation is granted.	The Quality Management System of this institution / department is up to standard. Although non-conformances (if any) should be closed out, no re-audit is necessary.	
Provisional accreditation is granted.	The Quality Management System will be up to standard once the listed non-conformances are closed out. Verification that non-conformances are closed out, is necessary.	
Accreditation is NOT granted.	This institution / department has unacceptable Quality Management System deficiencies. A re-audit has to be conducted.	

NOTE:

Date for closing out non-conformances (I/A):

SIGNED:

Lead audit representative: _____ Designation: _____ Date: _____

Audit representative: _____ Designation: _____ Date: _____

Employer representative: _____ Designation: _____ Date: _____

Labour representative: _____ Designation: _____ Date: _____
(Optional)