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# CRITERIA & GUIDELINES

# Accreditation

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## Criteria & Guideline: Introduction

### 1. Use of the Criteria & Guideline Document

#### 1.1 Content of the Criteria & Guideline Document

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

- 1 SAQA Accreditation Criteria
- 2 THETA Accreditation Criteria Evidence Requirements
- 3 Accreditation Process Flow
- 4 Accreditation Information
- 5 Self Evaluation Questionnaire

#### 1.2 Additional Resources

Please refer to the THETA web-site at [www.theta.org.za](http://www.theta.org.za) for the following additional resources that may assist you:

No	Resource	Purpose
	ETD QMS Programme Strategy Assessment Guide Design Assessment Strategy Design	

## Criteria & Guidelines: Accreditation



### 1.3 Additional Support

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

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

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




Tel: (011) 803-6010.

Fax: (011) 803-6702

Email: [theta@theta.org.za](mailto:theta@theta.org.za)

### 1.4 Navigating the Criteria & Guideline document Learner Pack Support

The following icons are used in this document to assist you in finding information:

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

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## 2. Introduction to the Criteria and Guideline Document

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### 2.1 Purpose of the Document

*The purpose of this document is to:*

- § Outline the criteria and evidence requirements for provider accreditation and its related QMS
- § Provide guidelines of the attainment of the required criteria and evidence requirements for accreditation purposes
- § Provide a self-evaluation framework for the provider to evaluate.

### 2.2 Purpose of the Self Evaluation

*The purpose of the Self Evaluation is as follows:*

- § the provider evaluates the organizational status against the SAQA accreditation criteria,
- § identifies the specific alignment needs within the organization,
- § develops and implements a Developmental Action Plan for organizational alignment to SAQA criteria.

### 2.3 About the Self Evaluation Questionnaire

- 1 The **Self Evaluation Questionnaire** is divided into sections, which correspond with the SAQA criteria and the ETQA document “Provider Accreditation Criteria”.
- 2 The Self Evaluation questionnaire is based on the SAQA criteria, and each criterion comprises of conforming requirements and evidence requirements.

### 1. SAQA Accreditation Criteria

#### 1.1 Overview of Accreditation Criteria



#### Legislation Analysis:

The table below briefly lists the SAQA criteria and provides an explanation thereof. For further information on each criterion, refer to the SAQA Policy Document “*Criteria and Guidelines for Providers*” on the SAQA web-site at [www.saqa.co.za](http://www.saqa.co.za)

No	SAQA Criteria	Explanation of Criteria
1	Primary Focus	Provider is registered as a levy payer with Theta, and primary focus of provider is with the Theta ETQA, i.e. unit standards and qualifications are within the Theta scope.
2	Legal Entity	Provider is a legal entity, i.e. Pty, cc, NGO, Trust etc.
3	Provider registration specific	Provider is not registered with another ETQA
4	Quality Management Systems	Quality management system governing organizational practices and review mechanisms is in place
5	Resources	Provider has sufficient resources such as administrative, physical and administrative support
6	ETD Staff Capacity	The provider has policies and practices for ETD staff development, selection and appraisal
7	Learning Programme Alignment	Provider can develop, deliver and evaluate learning programmes that are outcomes based / NQF aligned, and complies to ETQA requirements
8	Assessment Management	Provider has appropriate practices and policies to conduct and manage assessment
9	Reporting Practice	Provider has capacity to produce the appropriate reports.
10	OBET Capacity	Provider has the capacity to ensure the achievement of the desired outcomes and offer learner support

### 1.2 ETD QMS Criteria



#### Policy Analysis:

The table below briefly lists the Theta QMS requirements and provides an explanation thereof. For further information on each criterion, refer to the Document “*Criteria and Guidelines for Providers*” on the SAQA web-site at [www.saqa.co.za](http://www.saqa.co.za)

No	ETD QMS Policy Area	Policy Overview
1	Managing the QMS	<ul style="list-style-type: none"> <li>• Quality policy and QMS overview</li> <li>• QMS management, corrective measures</li> <li>• QMS review</li> </ul>
2	Managing programme design, development & delivery	<ul style="list-style-type: none"> <li>• Research &amp; Needs Analysis</li> <li>• Programme and assessment design</li> <li>• Materials design, development &amp; evaluation</li> <li>• Practitioner orientation and delivery</li> </ul>
3	Managing Assessment & Moderation	<ul style="list-style-type: none"> <li>• Assessment and moderation purpose, practice, process and resources</li> <li>• Assessment &amp; moderation systems</li> </ul>
4	Managing learnerships	<ul style="list-style-type: none"> <li>• Learnership management, roles and responsibilities, resources</li> <li>• Reporting, roll-out and learner support</li> </ul>
5	Managing ETD staff	<ul style="list-style-type: none"> <li>• Recruitment, selection, development and performance management of assessors, moderators, practitioners</li> </ul>
6	Managing Administration / record keeping	<ul style="list-style-type: none"> <li>• Learner record and results storage</li> <li>• Programme and assessment scheduling and implementation records</li> <li>• SETA reports</li> </ul>

## 2. THETA Accreditation Evidence Requirements

### 2.1 Criteria 1 – 5



#### Criterion 1:

The primary focus of the Provider coincides with that of the ETQA

Quality Indicator	Evidence Required
§ Are you registered with the Theta for payment of your skills development levy?	<ul style="list-style-type: none"> <li>• SDL number</li> <li>• Declaration of levy status</li> </ul>
§ Does your <i>primary focus</i> coincide with the Theta?	<ul style="list-style-type: none"> <li>• Phase A application completed</li> <li>• Unit standard scope with Theta</li> </ul>
§ Do you have a clear description of your vision and goals as an ETD provider?	<ul style="list-style-type: none"> <li>• Provider vision</li> <li>• Provider mission statement</li> </ul>
§ Do you have an organizational structure of <i>your organization</i> ?	<ul style="list-style-type: none"> <li>• Organizational organogram, or</li> <li>• Organizational prospectus</li> </ul>
§ Do you have a <i>business plan</i> for <i>your organization</i> ?	<ul style="list-style-type: none"> <li>• Provider organization business plan</li> </ul>
§ Are you able to provide details of your <i>organization's staff</i> ?	<ul style="list-style-type: none"> <li>• CV's of ETD staff – particularly assessors, moderators, trainers</li> </ul>



#### Criterion 2:

The provider has not already been accredited with another ETQA

Quality Indicator	Evidence Required
§ Are you currently accredited by <i>any other ETQA</i> ?	<ul style="list-style-type: none"> <li>• Declaration: Phase A</li> <li>• Copies of accreditation letters</li> </ul>

## Criteria & Guidelines: Accreditation



### Criterion 3:

The body seeking accreditation is registered in terms of the applicable legislation at the time of the application

Quality Indicator	Evidence Required
§ Can you provide <i>proof of your organization's legal status</i> as reported in Phase A of the Provider Application	<ul style="list-style-type: none"> <li>• SDL number</li> <li>• Company registration certificate</li> </ul>
§ Is your organization registered with the Department of Education if full qualifications at level 5 or above are offered?	<ul style="list-style-type: none"> <li>• DoE registration</li> </ul>



### Criterion 4:

Organizational Practices which reflect the provider's quality management system, which includes but is not limited to:

- Quality management policies that define what the provider wishes to achieve
- Quality management procedures, which enables the provider to practice its defined quality management policies
- Review mechanisms, which ensure that the quality management policies and procedures defined are applied, and remain effective ETD specific policies and procedures

Quality Indicator	Evidence Required
<b>POLICY 1: MANAGING THE QMS</b>	
<ul style="list-style-type: none"> <li>• Do you have a particular policy and process to:               <ul style="list-style-type: none"> <li>§ manage and assure quality</li> <li>§ implement and maintain the quality management system</li> <li>§ evaluating and amending ETD policies and procedures</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Policy 1: Managing the QMS</li> </ul>
§ Do you have review mechanisms built into the policy, process and document framework?	<ul style="list-style-type: none"> <li>• Policy 1: Managing the QMS</li> </ul>
§ Do you have policies and procedures to manage non-conformance?	<ul style="list-style-type: none"> <li>• Policy 1: Managing the QMS</li> </ul>
§ Do you have policies and procedures for taking preventative action?	<ul style="list-style-type: none"> <li>• Policy 1: Managing the QMS</li> </ul>

## Criteria & Guidelines: Accreditation



Quality Indicator	Evidence Required
<b>POLICY 2: MANAGING PROGRAMME DESIGN, DEVELOPMENT and DELIVERY</b>	
§ Do you have a particular policy and process to: <ul style="list-style-type: none"> <li>§ Manage programme research and needs analysis</li> <li>§ Development of learning programmes and material</li> <li>§ Assessor / facilitator programme induction and development</li> <li>§ Delivery methodology and quality</li> </ul>	<ul style="list-style-type: none"> <li>• Policy 2: Managing programme design, development &amp; delivery</li> </ul>
<b>POLICY 2: MANAGING PROGRAMME DESIGN, DEVELOPMENT and DELIVERY</b>	
§ Do you have a particular policy and process to manage: <ul style="list-style-type: none"> <li>§ Programme and assessment design</li> <li>§ Materials design.</li> </ul>	<ul style="list-style-type: none"> <li>• Policy 2: Managing programme design, development &amp; delivery</li> </ul>
§ Do you have a particular policy and process to manage evaluation of learning, and related factors	<ul style="list-style-type: none"> <li>• Policy 2: Managing programme design, development &amp; delivery</li> </ul>
<ul style="list-style-type: none"> <li>• Do you have policies and procedures for entering into contracts and agreements in terms of ETD provision?</li> </ul>	<ul style="list-style-type: none"> <li>• Policy 2: Managing design, delivery and development of learning</li> </ul>
§ Do you have policies and procedures relating to the management of off-site and work site education and training provision?	<ul style="list-style-type: none"> <li>• Policy 2: Managing design, delivery and development of learning</li> </ul>
§ Do you have policies and procedures relating to learner support in terms of ETD provision?	<ul style="list-style-type: none"> <li>• Policy 2: Managing design, delivery and development of learning</li> </ul>
<b>POLICY 3: MANAGING ASSESSMENT &amp; MODERATION</b>	
<ul style="list-style-type: none"> <li>• Do you have policies &amp; processes for design &amp; development of assessments and assessment guides</li> </ul>	§ Policy 3: Managing Assessment
<ul style="list-style-type: none"> <li>• Do you have policies &amp; processes for managing of assessors and assessment practices</li> </ul>	§ Policy 3: Managing Assessment
§ Do you have policies & processes for moderation in support of NQF principles alignment?	§ Policy 3: Managing Assessment
§ Do you have policies & processes for management of RPL?	§ Policy 3: Managing Assessment

## Criteria & Guidelines: Accreditation



Quality Indicator	Evidence Required
<b>POLICY 4: MANAGING LEARNERSHIPS</b>	
§ Do you have policies & processes for learnership contract and implementation management?	<ul style="list-style-type: none"> <li>• Policy 4: Managing learnerships</li> </ul>
<ul style="list-style-type: none"> <li>• Do you have policies &amp; processes for management of roles, responsibilities and resources in learnerships?</li> <li>§ Reporting, roll-out and learner support</li> <li>§ Monitoring and reporting</li> </ul>	<ul style="list-style-type: none"> <li>• Policy 4: Managing learnerships</li> </ul>
§ Do you have policies and procedures for learnership: <ul style="list-style-type: none"> <li>§ Learners' guidance and support?</li> <li>§ withdrawal of learners from a course of study or training</li> <li>§ learner registration and certification?</li> <li>§ learner registrations and achievements?</li> </ul>	<ul style="list-style-type: none"> <li>• Policy 4: Administrative management</li> </ul>
<b>POLICY 5: MANAGING ETD STAFF</b>	
§ Does the organization have suitably qualified staff per unit standard and/or qualification?	<ul style="list-style-type: none"> <li>• Policy 5: Staff Development</li> </ul>
§ Does the organization have a mechanism, which ensure that the criteria for each position is periodically reviewed and updated?	<ul style="list-style-type: none"> <li>• Policy 5: Staff Development</li> </ul>
§ Is there a policy and process for the review and management of assessor / moderator / facilitator recruitment, selection, performance review, induction?	<ul style="list-style-type: none"> <li>• Policy 5: Staff Development</li> </ul>
<b>POLICY 6: MANAGING ADMINISTRATION</b>	
§ Do you have policies and procedures for: <ul style="list-style-type: none"> <li>§ confidentiality of information in terms of access and releasing of information</li> <li>§ capturing and maintaining learner records</li> </ul>	<ul style="list-style-type: none"> <li>• Policy 6: Administrative Management</li> </ul>
§ Do you have procedures for recording learner applications for entry, registration in programmes, assessments, progress through the programme (if delivery site), and exit outcomes?	<ul style="list-style-type: none"> <li>• Policy 6: Administrative management</li> </ul>
§ Do you have policies and procedures for the management and maintenance of facilities, materials and equipment?	<ul style="list-style-type: none"> <li>• Policy 6: Administrative management</li> </ul>

## Criteria & Guidelines: Accreditation



### Criterion 5:

The provider has the necessary resources such as financial, Administrative and physical resources

Quality Indicator	Evidence Required
§ Do you have an electronic data storage system in place is able to produce the appropriate reports to the ETQA (including but not limited to historical data in respect of learning achievements)?	<ul style="list-style-type: none"> <li>Provider database</li> </ul>
§ Do you have a list of mandatory documentation and records leading towards nationally approved unit standards and qualifications e.g. curriculum's/learning programmes, skills programmes, learnerships, unit standards and assessment records?	§ SAQA Web-site access § Theta ETQA Web-site access
§ Do you have the facilities, equipment and learning materials to support the learning process?	<ul style="list-style-type: none"> <li>Organizational organogram</li> <li>Media resources</li> </ul>
§ Does the learning material reflect that support systems are designed into the programme?	<ul style="list-style-type: none"> <li>Learner Material, resources</li> </ul>

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## 2.2 Criteria 6 - 11

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### Criterion 6:

The provider the necessary practices for staff selection, appraisal and Development

Quality Indicators	Evidence Required
§ Does the organization have suitably qualified staff per unit standard and/or qualification?	§ Registered assessors list § CV's for registered assessors and facilitators § Contracts for assessors, moderators and facilitators
§ Where applicable are suitably qualified moderators accessible?	§ Registered moderators list and/or contracts for moderators § CV's for registered moderators

## Criteria & Guidelines: Accreditation



### Criterion 7:

The provider can demonstrate their ability to develop, deliver and evaluate learning programmes, which culminate in specific registered standards and / or qualifications

Quality Indicators	Evidence Required
<p>§ Do you have a criteria checklist to check the quality of design learning products?</p>	<ul style="list-style-type: none"> <li>• Moderation report /</li> <li>• Programme Evaluation Report</li> </ul>
<p>Do you have a programme strategy document that reflects:</p> <p>§ Programme name &amp; description</p> <p>§ Purpose &amp; entry level requirements</p> <p>§ Unit standard alignment</p> <p>§ Articulation and workplace integration</p> <p>§ Delivery and learning strategy</p> <p>§ Media, equipment/ teaching and learning aids</p> <p>§ Learner role and responsibilities</p> <p>§ Learner support</p> <p>§ Programme evaluation strategies</p>	<ul style="list-style-type: none"> <li>• Programme strategy / curriculum</li> <li>• Facilitator Guide</li> <li>• Learner Material</li> </ul>
<p>§ Do you have an assessment strategy document that reflects:</p> <p>§ Assessment methods and related tools / instruments</p> <p>§ Integration strategy across unit standard / competence areas</p> <p>§ RPL practice and process</p>	<ul style="list-style-type: none"> <li>• Assessment strategy document</li> </ul>
<p>§ Do you have assessment guides that reflect:</p> <p>§ Assessment plan, process</p> <p>§ Assessment principles</p> <p>§ Assessor and moderator support</p>	<ul style="list-style-type: none"> <li>• Assessment guides</li> <li>• Learner Material / Induction</li> </ul>

## Criteria & Guidelines: Accreditation



### Criterion 8:

The provider has the appropriate policies and practices for:

- Learner entry, guidance and support system
- The management of off-site practical or work-site components where applicable

Quality Indicators		Evidence Required
§	Do you have practices for evaluating individual learner needs and entry to the programmes and/or RPL assessments	<ul style="list-style-type: none"> <li>• Policy 3: Managing Assessment</li> <li>• Learner selection criteria and process, documents</li> </ul>
§	Do you have pre-assessment and RPL assessment practices?	<ul style="list-style-type: none"> <li>• Assessment strategies</li> </ul>
§	Do you have a strategy for the management off-site / work site components applicable to the programme?	<ul style="list-style-type: none"> <li>• Roll-out strategy</li> <li>• Programme strategy</li> </ul>
§	Where the provider is not the learner's workplace, do you have partnership agreements between the provider and the workplace	<ul style="list-style-type: none"> <li>• Provider / employer contracts</li> <li>• Learner work schedules</li> </ul>



### Criterion 9:

The provider has the appropriate policies and practices for the management of assessment

Quality Indicators		Evidence Required
§	Do you have assessment activities and instruments for different phases of the learning programmes?	<ul style="list-style-type: none"> <li>• Policy 3: Managing assessment</li> <li>• Assessment Guides</li> </ul>
§	Do you have designed and developed learning material reflecting the way in which formative assessment activities are designed into the learning process?	<ul style="list-style-type: none"> <li>• Programme strategy</li> <li>• Curriculum Design</li> </ul>
§	Do you have samples of moderated work?	<ul style="list-style-type: none"> <li>• Moderator reports</li> </ul>
§	Do you have valid and reliable tools for conducting RPL?	<ul style="list-style-type: none"> <li>• Policy 3: Managing assessment</li> <li>• Assessment Guides</li> </ul>

## Criteria & Guidelines: Accreditation



### Criterion 10:

The capacity and ability to produce appropriate reports

Quality Indicators	Evidence Required
§ Do you have a suitable system to: § produce reports? § Record learner data § Record assessment and moderation activities § Learner demographics and details	<ul style="list-style-type: none"> <li>• Electronic database</li> <li>• Record storage system</li> </ul>
§ Do you have a suitable infrastructure to draw reports	<ul style="list-style-type: none"> <li>• Organizational organogram</li> <li>• Administrative personnel</li> </ul>



### Criterion 11:

The capacity and ability to ensure the achievement of desired outcomes using their available resources and procedures

Quality Indicators	Evidence Required
§ Do you have a Quality Management System that encompasses the total NQF provision?	<ul style="list-style-type: none"> <li>• Policies 1 – 5</li> <li>• Organizational processes</li> <li>• Supporting documentation</li> </ul>
§ Do you have programmes aligned to the unit standards and NQF principles	<ul style="list-style-type: none"> <li>• Programme strategy</li> <li>• Assessment strategy</li> <li>• Learning material</li> <li>• Assessment guides</li> </ul>
§ Do you have ETD staff to support the provision of NQF aligned programmes within the QMS?	<ul style="list-style-type: none"> <li>• Assessors, moderators and facilitators lists</li> </ul>

### 3. Accreditation Process Flow



**Policy Analysis:**

The flow diagram on the following page depicts the activities that take place during Phase A and B of the accreditation process.

PHASE	PROCESS FLOW	PROCEDURE
Phase A: Intent to be THETA accredited	Initiating the audit / accreditation system	Applicant makes initial contact Applicant receives Information Brochure and application form for Phase A Applicant submits application form for Phase A THETA determines the eligibility of applicant THETA notifies applicant of eligibility status Applicant receives information pack for Phase B
Phase B: Application to be accredited	Document review	Applicant compiles portfolio of evidence Portfolio of evidence received by THETA THETA allocates application to Quality Assuror Quality Assuror conducts desk study of submitted evidence against set criteria Quality Assuror informs THETA of decision whether or not to conduct on-site audit THETA notifies applicant of decision
	Preparation for on-site audit activities	Quality Assuror and Audit Team prepare for on-site audit activities and assign audit work Audit team prepare audit work documents THETA confirms arrangements with applicant
	On-site audit activities	Audit team leader conducts opening meeting Audit team collects and verifies information Audit team identifies audit findings Audit team leader manages communication with applicant during audit Audit team prepares for closing meeting On-site closing meeting conducted
	Reporting on the audit	Audit team leader prepares and submits report to THETA THETA ratifies findings of desk study and on-site audit THETA approves report and distributes to applicant including decision on accreditation THETA retains audit trail documents
Compliance Result	Audit result and decision	Non-compliance result

## Criteria & Guidelines: Accreditation



PHASE	PROCESS FLOW	PROCEDURE
Accreditation awarded		Conditional Compliance Plan in accordance with audit findings
Accreditation conditions & scope communicated		Audit follow-up and remediation in accordance with audit findings

### 4. Accreditation Information

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#### 4.1 Legal Background

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##### 4.1.1 Skills Development Act

In terms of the Skills Development Act and ETQA Regulations 1127 of 1998, (Reg. (1)(a) a SETA shall “accredit constituent providers for specific standards and qualifications registered on the National Qualifications Framework”

##### 4.1.2 Terminology

No	Terminology	Definition
1.	Accreditation	The certification for a period of time of a person, a body or an institution as having the capacity to fulfill a particular function in the quality assurance system set up
2.	Constituent	Belonging to the defined or delegated constituency of an organization or body (in this case, the discreet sector of THETA as defined in the SIC Codes allocated to THETA)
3.	Providers	A body which delivers learning programmes which culminates in specified National Qualifications Framework standards or qualifications and manage the assessment thereof.
4.	Primary Focus	That activity or objective within the sector upon which an organization or body concentrates its efforts (in this case, the legislated accreditation scope of THETA’s qualifications)

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#### 4.2 ETQA Regulations 1127

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##### 4.2.1 Regulatory Criteria for Accreditation



**Tip:**

As per the ETQA Regulations 1127 Reg. 12, “an Education and Training Quality Assurance Body may on application accredit as a provider a body which meets the criteria contemplated in Regulation 13”.

## Criteria & Guidelines: Accreditation



The **ETQA Regulations 1127 Reg. 13** outlines the criteria of accreditation that all providers must comply with in order to be accredited by an Education and Training Quality Assurance Body. **The criteria are quoted here verbatim:**

“A body may be accredited as a provider ....provided that the body seeking accreditation –

- (a) is registered as a provider in terms of the applicable legislation at the time of application for accreditation
- (b) has a quality management system which includes but is not limited to
  - i. quality management policies which define that which the provider wishes to achieve
  - ii. Quality management procedures which enables the provider to practise its defined quality management policies, or review mechanisms which ensures that the quality management policies and procedures defined are applied and remain effective
  - iii. Is able to develop, deliver and evaluate learning programmes which culminate in specified registered standards or qualifications
- (c) Has the-
  - i. Necessary financial, administrative and physical resources
  - ii. Policies and practices for staff selection, appraisal and development
  - iii. Policies and practices for learner entry, guidance and support systems
  - iv. policies and practices for the management of off-site practical or work-site components
  - v. policies and practices for the management of assessment
  - vi. necessary reporting procedures, and
- (d) the ability to deliver 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
- (e) has not already been granted accreditation by or applied for accreditation to another ETQA body...”

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### 4.3 Becoming Accredited

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#### 4.3.1 The Accreditation choice ...

Any organization that offers training and assessment against registered unit standards or qualifications is eligible for accreditation – regardless of size (large or small), primary focus (employer or pure provider) or learner focus (internal employees or external clients).

## Criteria & Guidelines: Accreditation



### Tip:

Accreditation is a voluntary process, i.e. the choice of becoming accredited (or not) lies with the organization – and with the choice arises certain rights and duties.

Should a provider choose to become accredited, it will be authorized to issue certification nationally recognized on the NQF. However, it is important to realize that with this choice and right, comes and accountability on terms of quality provision of outcomes based and NQF aligned programmes.

### 4.3.2 The accreditation phases ...

Accreditation is a process of auditing and verification of organizational practices against the SAQA Criteria – and does not happen overnight!

The following table outlines the basic phases of the accreditation process that each organization will follow, regardless of the size, chamber, nature or focus of the organization seeking accreditation:

Phase	Equals ...	Means ...	Method
A	Intent	<p>§ The provider states his <b>written intent</b> and commitment to become accredited with THETA.</p> <p>§ THETA <b>evaluates</b> whether the provider is <b>eligible</b> for such accreditation, and approves the Intent to become accredited</p> <p>§ The provider is given a period of <b>12 months preparation</b> to complete the accreditation process with THETA, and is entitled to support and assistance from the THETA ETQA in this regard.</p>	<p>Complete the <b>Phase A form</b> and submit to the THETA ETQA.</p> <p>The form is available on the THETA web-site, or from the THETA Call Centre.</p>
B	Application	<p>§ The provider formally applies for accreditation status with THETA</p> <p>§ THETA evaluates whether the provider meets such criteria through a desk-top audit and and site verification, and</p> <p>§ THETA grants accreditation to the provider for a period of minimum 2 years.</p>	<p>The provider submits his Portfolio of Evidence against the criteria stated in the Phase B application form</p> <p>The form is available on the THETA web-site, or from the THETA Call Centre.</p>



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### 4.4 Accreditation Resources

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#### 4.4.1 THETA Requirements



##### THETA Policies:

THETA's requirements in terms of all provision practices is contained in the following THETA policies

Policy	Policy Name
ETQA 1	Provider Accreditation & Management
ETQA 2	Programme Evaluation & Management
ETQA 3	Assessor Registration & Management
ETQA 4	RPL
ETQA 5	Appeals
ETQA 6	Learner Registration & Validation
ETQA 7	Monitoring & Auditing
ETQA 8	Skills Programmes Registration & Management

**4. Self Evaluation Questionnaire**



**Accreditation Evaluation Form:**

The following is an extract from the document used by the ETQA Quality Assurors to document their evaluation of the provider application for accreditation, and must be read in conjunction with the Programme Evaluation Checklist.

<i>Indicate the scope of the evaluation:</i>			
Evidence Validation	Section A	Organizational Management	<input type="checkbox"/>
	Section B	Quality Management Systems: Policies & Practices	<input type="checkbox"/>
	Section C	Administrative systems evaluation	<input type="checkbox"/>
	Section D	Physical resources evaluation	<input type="checkbox"/>
	Section E	Programme evaluation	<input type="checkbox"/>
	Section F	ETD Staff	<input type="checkbox"/>
	Section G	Additional Evidence	<input type="checkbox"/>

Off-Site Evaluation					
No	Additional Evidence Requested	Actual evidence submitted by provider	Doc Number	Sufficient	To be Verified

## Criteria & Guidelines: Accreditation



<b>Phase A: Organizational Management</b>
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Evidence Indicators	Comment and action required when rating is (1) and (0)			
	Excellent (5)	Sufficient (3)	In-sufficient (1)	Not Evident (0)
Primary Focus § Provider's primary focus coincides with that of the THETA ETQA. § Primary focus (range and type of unit standards and qualifications) to be offered by the provider clearly identified. § Single purpose, private provider	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Legal Entity § Registered as a legal entity. § Levy paying organization to Theta	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Constituency § Single purpose, private provider § Not accredited by another ETQA	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Organizational Capacity § Organogram included § Vision & mission included § Strategic objectives reflect justifiable need for accreditation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Clear evidence of financial viability / sustainability § Business Plan § Auditors Report § In-house training budget	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Application states accreditation requirements: § Formal application on a Letterhead § Status, Type, Focus & Scope	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
QMS Policies on ETD practices include: § Managing the QMS § Managing Learning Delivery § Managing Assessment § Managing Administration § Managing Staff Development § Manage learnerships	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Policy on managing the QMS clearly describes: § QMS vision § Senior management support / commitment § Maintenance, access & distribution of policies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Policy on maintaining the QMS clearly describes: § Sub-standard practice / ETD conformance § Review & audit practice	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## Criteria & Guidelines: Accreditation



Evidence Indicators	Comment and action required when rating is (1) and (0)			
	Excellent (5)	Sufficient (3)	In-sufficient (1)	Not Evident (0)
Policy on managing learning clearly describes: § Needs analysis and research practice § Design and development strategy § Unit standard alignment § Workplace alignment § Variety of learning methods § Theory / practice integration	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Policy on evaluation clearly indicates review of: § Material § Facilitator § Assessment § Learning Experience	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Policy on managing assessment clearly describes: § Organizational alignment to assessment principles § Assessment purpose, process and practice § Role player development and management § RPL purpose, process and practice	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Policy on moderation clearly describes: § Strong moderation focus / purpose, process and tools § Role players and management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Policy on learner support clearly describes § Learner selection, registration and induction § Learner access to support in provision and workplace § Learner access to appeals process and complaint resolution	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Policy on administration management clearly describes: § Learner record keeping requirements and maintenance § Database maintenance § Access and confidentiality of records, guides and reports § Certification management and Theta liaison § Reporting and administrative capacity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## Criteria & Guidelines: Accreditation



Evidence Indicators	Comment and action required when rating is (1) and (0)			
	Excellent (5)	Sufficient (3)	In-sufficient (1)	Not Evident (0)
Policy on ETD staff development reflects criteria of selection, development and appraisal of: § Assessors § Moderator § Coaches / mentors / facilitators	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Policy on learnership management clearly reflects: § Strategic planning and implementation strategy § Role players and partnerships § Contractual obligations and expectations	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

QMS Practices				
Evidence Indicators	Comment and action required when rating is (1) and (0)			
	Excellent (5)	Sufficient (3)	In-sufficient (1)	Not Evident (0)

Access to resources for research Media, books, internet	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Evidence of structured learning practices: § Training and assessment schedule	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Evidence of ETD staff management: § Contracts stipulate deliverables	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Section C: Administrative systems evaluation				
Evidence Indicators	Comment and action required when rating is (1) and (0)			
	Excellent (5)	Sufficient (3)	In-sufficient (1)	Not Evident (0)
Samples of learner records and assessment guides show completed, up-to-date records § Types of records kept § Typical admin records related to learning programmes (21, 23) § Typical records kept per learner (25, 26)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Database shows learner management: § Learner details (25) § Learning / programme details § Assessor management (23) § Certification management (25,26, 28)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## Criteria & Guidelines: Accreditation



Evidence storage reflects: § Safety & Confidentiality § Access and retrieval system	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Section D: Physical Resources evaluation				
Evidence Indicators	Comment and action required when rating is (1) and (0)			
	Excellent (5)	Sufficient (3)	In-sufficient (1)	Not Evident (0)
Sufficient physical resources evident to deliver ETD activities as per accreditation scope: § Lecture rooms equipped	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Breakdown of equipment per course correspond to physical resources available § Regular audits	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Compliance to Health and safety regulations evident: § First Aid kits § Evacuation procedures	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Section E: Programme evaluation				
PgmEval 3 Programme Evaluation Report per qualification / skills programme to be attached as annexure.				
Evidence Indicators	Comment and action required when rating is (1) and (0)			
	Excellent (5)	Sufficient (3)	In-sufficient (1)	Not Evident (0)
Requirements for programme evaluation approval met	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Training provider can embark on training and assessment practices	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Registration of learners can continue	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## Criteria & Guidelines: Accreditation



<b>Section F: ETD Staff</b>				
Evidence Indicators	Comment and action required when rating is (1) and (0)			
	Excellent (5)	Sufficient (3)	In-sufficient (1)	Not Evident (0)
Registered and qualified assessors, moderators, and support staff members are available § <i>Registration numbers from ETQA</i> § <i>CV's of assessors and moderators</i> § <i>Qualifications of ETD staff</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Staff have resources to fulfil ETD function: § <i>Staff Development Plan</i> § <i>Evidence of development</i> § <i>Access to unit standards &amp; qualifications</i> § <i>Access to research resources</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
An established system to review performance of practitioners and assessors is in place. § <i>Copy of performance of an assessor,</i> § <i>Code of Conduct</i> § <i>Contracts</i>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### Final Judgement

Purpose of the Verification has been met	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Certification of learners can continue	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Training provider can continue with training and assessment practices	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Accreditation can continue	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Estimated Date for Next verification		

## Criteria & Guidelines: Accreditation



Accreditation Recommendation			
Status	Full	<input type="checkbox"/>	(Indicate conditions)
	Provisional	<input type="checkbox"/>	
	Licensed	<input type="checkbox"/>	
Type	Design	<input type="checkbox"/>	(Indicate partnerships)
	Delivery	<input type="checkbox"/>	
	Assessment	<input type="checkbox"/>	
	Full	<input type="checkbox"/>	
Focus	Internal	<input type="checkbox"/>	(Indicate primary client base)
	External	<input type="checkbox"/>	
	Both	<input type="checkbox"/>	
Scope	Theta	<input type="checkbox"/>	(Indicate other SETA's – where applicable)
	MoU	<input type="checkbox"/>	

Provider's declaration of understanding	
<p>I herewith declare that I agree with the outcome of the accreditation evaluation, that the Accreditation Team and I have reviewed and discussed the Accreditation Report; I understand the accreditation process and the action required. I am satisfied that the feedback given to me was relevant, and done in a constructive manner. I accept the report and have no further questions relating to this particular verification.</p>	
Provider Coordinator Signature	Date
Quality Assuror Signature	Date