Application and Self-evaluation

Provider Guideline

E & A FET 3C

1. **Introduction**

The General and Further Education and Training Act number 58 of 2001 as amended assigns to Umalusi the responsibility of quality assuring private providers of education and training who offer programmes that lead to qualifications / standards in the general and further education and training band of the NQF.

Private FET   Institutions form part of its constituency and as such they are required by law to seek accreditation with Umalusi.

2. **Purpose:**

This guideline has been developed for private further education and training providers intending to apply for accreditation with Umalusi. These are FET institutions that:

- Qualify to be registered as private FET institution in terms of the FET Act (Act 98 of 1998)
- Offer programmes leading to a qualification registered on the Umalusi Sub-framework of qualifications

3. **Useful References**

Umalusi recommends that evaluators familiarize themselves with the following documents before attempting the evaluation of provider submissions:

- General and Further Education and Training Quality Assurance Act number 58 of 2001;
- FET Act of 2006;
- Policy for the Quality assurance of private Adult learning Centres, Private Further education and Training Colleges and the accreditation of Private Assessment Bodies.
- Criteria for the Accreditation and Monitoring of A&FET   Institutions; and
- Internal Policy and Process Document for the Accreditation of Private Providers in General and Further Education
- Internal Continuous Assessment (ICASS) Guidelines for Report 191 Programmes in FET Colleges – February 2013 version
- Revised guidelines For The Implementation Of Internal Continuous Assessment (ICASS) In The NC(V) qualifications At The FET Colleges-Updated February 2012

4. **Preparing for self-evaluation**

The Purpose of Self-evaluation

Self-evaluation should be carried out in a well-thought out and systematic way. It is important to always keep the purpose of the self-evaluation in mind. The outcome should be:
•   FET institutions that has an established internal quality culture
•   FET institutions that complies in all respects with Umalusi accreditation criteria.

5. Please ensure that the following steps have been taken before commencing with the self-evaluation:

Orientation of Staff and Concerned Parties

Before starting self-evaluation all staff, and particularly those who will be involved in the evaluation, must be informed of the purpose and value of the exercise. The self-evaluation exercise enables staff to find out about their institution by identifying strengths and weaknesses and highlighting areas for internal development. Changes and improvements cannot be made if staff is not prepared to implement them. In other words, quality awareness is required. People should not have the impression that the existing quality system in the organization is being sidestepped in favour of a completely new system. The emphasis must be on improving the coherence in what currently exists. Each institution should develop policies, procedures and a monitoring and review system that is adapted as much as possible to the context and the characteristics of the institution.

Establishing a Self-evaluation Committee

The Adult and/or FET institutions must establish a self-evaluation committee of 3 – 6 members that is representative of the various levels of management, staff and learners in the institution. The committee should be led by a senior member of staff who will act as chairperson and ensure that the self-evaluation is conducted with integrity. Management should explicitly support and stimulate the initiative.

Orientation of the Committee
•   Familiarise the committee with the relevant Umalusi policy documents;
•   Provide copies of the self-evaluation guide and instrument to each member of the committee; and
•   Study the guide thoroughly so that the requirements of the self-evaluation are understood.

Planning the Self-evaluation
- Draw up a plan and timetable for the self-evaluation and assign roles within the committee; and
- Inform the management, staff and learners involved.

6. **COMPLETING THE SELF-EVALUATION REPORT**

Provider Self-evaluation Instrument

The Criteria:
The self-evaluation report emphasizes compliance issues and has been organized around minimum criteria. Under each criterion are the indicators that will demonstrate compliance with the criteria. The evidence required is listed below the corresponding indicator.
The form has the following columns:
Criteria column: The criteria and the required evidence is listed in this column
Evidence column: The provider selects the appropriate drop down to indicate the availability of evidence. This is done by selecting the appropriate drop-down, that is
Yes = evidence is available
No = evidence is not available

Provider score column: The provider scores the evidence submitted by college by selecting the appropriate score from the drop-down.

Provider comments column: Comments with regard to the submitted evidence are written in this column by the provider.
The same columns are available for the evaluators.

7. **Evidence Requirements and Scoring**

The section on evidence requirements lists the evidence required to prove claims of compliance. Providers are expected to prove their claims by uploading the required evidence and presenting it in a portfolio.-

The table below shows the evidence required per criteria and how to score the submitted evidence. The evidence is scored as follows:

Submitted evidence not relevant = **1**(less than 70% of the required evidence per question)

Not all the required evidence submitted = **2** (between than 70% and 79 % of the required evidence per question)

All the required evidence submitted = **3** (between 80% and 100% of the required evidence per question)

EXAMPLE

CRITERIA	Evidence available Yes/No	Provider Score	Provider's Comments
Criterion: 1. Mission directed leadership and management.			
INDICATOR: 1.1 **Governance structures are constituted and carry out their duties in accordance with the manner in which FET institutions are constituted, and meet the requirements of the legal statutes under which they operate.** **Evidence Requirements:**			

CRITERIA	Evidence available Yes/No	Provider Score	Provider's Comments
1.1.1 Certified copy of the CIPC certificate			
1.1.2 Proof of lodging an application for registration as an FET institution with the Department of Higher Education and Training/or a certificate of registration			
1.1.3 List of legal statutes under which the institution operates.			

8. **UNDERSTANDING THE PROVISIONAL ACCREDITATION CRITERIA**

1. **Mission directed leadership and management** are concerned with the attainment of the vision and mission as informed by its legal framework and context, as well as national priorities, through strategic leadership and effective governance structures and strategies; and the effectiveness with which the qualification mix and provision is selected, planned, managed, quality assured and improved. Resources are appropriately allocated and used to ensure that the institution is viable and sustainable. It reflects the institutional commitment to monitoring and evaluation in order to improve quality and the establishment of the required infrastructure and processes to ensure quality provision.
2. **Teaching and training** enacts the curriculum and reflects appropriate instructional approaches that support learning, in respect of qualifications the institution is accredited for, and the development of suitable learning programmes and materials in support of these qualifications.
3. **Learning and assessment** are at the core of the enactment of the curriculum. It is evident that staff development and proficiency in respect of teaching and assessment are in keeping with learner profiles, the purpose and the context of qualifications offered at FET colleges.
4. **Learner support** is evident through academic guidance and support, financial support (if appropriate), work placement, tracking of graduates; and the availability of articulation and progression routes for learners. Support functions also include physical resources and efficient management of programme delivery on and off-site, as required. Flexible delivery modes are made available to open up access to education and training.
5. **Achievement and results** encapsulates the use of quantitative and qualitative data such as learner attainments, access rates, learner retention rates, learner progression and placement rates to improve learner success. This information is also used to track learner achievement.

. EVIDENCE SCORING TEMPLATE

CRITERIA	Evidence Requirements and Scoring	
Criterion 1 – Mission directed leadership & management	**Evidence requirements**	**Scoring the evidence**
INDICATOR 1.1 **Appropriate governance structures are established, are active in support of the FET institution and satisfy all current, relevant legislation and regulations.**		
1.1.1. Certified copy of CIPC (or CIPRO) company registration certificate	Certified copy of CIPC	Certified copy of CIPC = 3 Copy not certified = 2 Irrelevant document submitted = 1
1.1.2. Certified copy of DHET registration certificate or acknowledgement from DHET of your application for registration.	Certified copy of DHET certificate or Certified copy of DHET letter of acknowledgement	Certified copy of DHET certificate or Certified copy of DHET letter of acknowledgement
1.1.3. Organograms for both the company and the institution showing job titles and clear lines of authority and responsibility.	Organogram showing the following structures: • Management • Administrative and • Academic structures	Organogram showing all structures = 3 Organogram showing only 2 structures =2 Organogram showing 1 structure = 1
1.1.4. Quality Management System (QMS) Show scope, and processes & procedures that give effect to the system.	Quality management System of the college	

CRITERIA	Evidence Requirements and Scoring	
1.1.4.1. Management responsibility policy.	- Managing for Responsibility (Roles and responsibilities of personnel and committees) - Integration: Putting Responsibility into Practice - Improvement, Innovation, and Learning. - Responsibility Measurement - Monitoring and review of the policy	4 to 5 relevant requirements submitted = 3 3 to 4 evidence requirements submitted =2 Irrelevant or 2 and less requirements submitted =1
1.1.4.2. Performance measurement, analysis & improvement policy.	- Key Performance Indicators - Self-assessment process - Managing underperformance - Process - External / Internal Verification / Moderation and assessment practices - Continuous Professional Development, staff training and support - Monitoring and review of the policy	7 relevant requirements submitted = 3 4 to 6relevant requirements submitted =2 Irrelevant or 3 and less requirements submitted =1
1.1.4.3. Human resource management policy.	- Recruitment & selection (hiring) - Compensation and benefits administration, including recognition and rewards - Performance planning - Training/development, - Policy complying to available legislature, e.g. Labour Relations Act, and Basic Conditions of Employment Act - Monitoring and review of the policy	6 Relevant requirements submitted = 3 3 to 5 relevant requirements submitted =2 Irrelevant or Less than 3 requirements submitted =1

CRITERIA	Evidence Requirements and Scoring	
1.1.4.4. Financial resource management policy.	• Corporate Governance: Roles of Board of Directors, Committees, and Principal. • Risk Management • Financial Planning: Budget Preparation & Budgetary Control measures • Accounting Principles and line of authority • Audit (Internal and External Audit procedures • Monitoring and review of the policy	6 Relevant requirements submitted = 3 3 to 5 relevant requirements submitted =2 Irrelevant or Less than 3 requirements submitted =1
1.1.4.5. Physical resource management policy.	Policy must address: • Procurement of resources in line with the qualification requirements • Maintenance of resources • Updating, upgrading and replacement of resources. • Monitoring and review of the policy	4 relevant requirements submitted = 3 2 to 3 relevant requirements submitted =2 1relevant or irrelevant requirement submitted =1

1.1.4.6. Occupational health & safety policy.	• Policy must address the following aspects of OHS Acts:
	     o Templates for safety inspections
	     o Template for the incident form
	     o Templates for the internal audits
	     o Organisational structure for dealing with safety issues
	 • Certified copy of OHS certificate
	 • Letter of appointment for safety officer
	 • Monitoring and review of the policy
		7 relevant requirements submitted = 3
		 4 to 6relevant requirements submitted =2
		 Irrelevant or 3 and less requirements submitted =1

CRITERIA	Evidence Requirements and Scoring	
1.1.4.7. Information management policy.	Policy must address the following aspects : • Safety Guidelines for all users • Access control to the MIS • Protection data integrity • Software requirements guidelines • Hardware requirements guidelines • Network Management and Security • Computer Lab Scheduling/Rules • Internet Policy, Rules and Regulations • Backup of information • Monitoring and review of the policy	8 to 10 relevant requirements submitted = 3 6 to 7 relevant requirements submitted =2 Irrelevant or 5 and less requirements submitted =1
1.1.4.8. Marketing policy.	• Ensuring a positive image of the institution. • Ensure the curriculum offer and modes of delivery are determined primarily by the requirements of those it seeks to serve. • Identify, and target appropriately, specific market segments. • Effective promotional activities. • Monitoring and review of the policy	5 relevant requirements submitted = 3 3 to 4 evidence requirements submitted =2 Irrelevant or 2 and less requirements submitted =1
1.1.4.9. Programme scope, content & review policy.	• Personnel responsible for Program reviews. • Annual Program Review Procedures • Content of Program Review: Assessment of student learning, program demand and efficiency • Frequency of Program Reviews • Dissemination of Program Reviews	5 relevant requirements submitted = 3 3 to 4 evidence requirements submitted =2 Irrelevant or 2 and less requirements submitted =1

CRITERIA	Evidence Requirements and Scoring	
1.1.4.10. Learner recruitment and admission policy.	Policy must address: • Learner recruitment • Selection and entrance criteria • Language policy • Exemptions, credit transfer and recognitions • Disabled applicants • Monitoring and review of the policy	6 Relevant requirements submitted = 3 3 to 5 relevant requirements submitted =2 Irrelevant or Less than 3 requirements submitted =1
1.1.4.11. Facilitation & learning policy.	This must cover: • the induction • mentoring • retention and • support of facilitators • Monitoring of teaching in class • Use of monitoring results for improvement of teaching and learning • Teacher qualifications • Teacher development • Lesson preparation • Monitoring and review of the policy	8 to 10 relevant requirements submitted = 3 6 to 7 relevant requirements submitted =2 Irrelevant or Less than 4 requirements submitted =1
1.1.4.12. Learner support policy.	Policy must address: • Learner support programmes offered • Evaluation of the learner support activities • How weaknesses identified by the evaluation are used for improvement	3 correct requirements submitted =3 2 correct requirement submitted =2 1 correct or Irrelevant submission =1

CRITERIA	Evidence Requirements and Scoring	
1.1.4.13. Assessment policy.	The policy must address the conduct, administration and management of: - ICASS - ISAT - Internal moderation - National examinations offered - External moderation - Appeals procedure - Analysis of assessment outcomes - Outline of how the review of learner results is used for improvement - Quality assurance processes relating to assessment - Formative assessment - Security and reliability of learner results - Monitoring and review of the policy	12 relevant requirements submitted = 3 6 to 11 relevant requirements submitted =2 Irrelevant or Less than 6 requirement submitted =1
1.1.4.14. Learner progression policy.	- Progression requirements - Methods for identifying students not meeting academic progression requirements - Academic Progression Report - Monitoring and review of the policy	4 relevant requirements submitted = 3 2 to 3 relevant requirements submitted =2 1relevant or irrelevant requirement submitted =1

CRITERIA	Evidence Requirements and Scoring	
1.1.4.15. Appeals and grievance policy.	• Categorisation of appeals and different policy & procedures for each: • Assessment Appeals • Academic Grievances and Appeals • Non-Academic Grievances and Appeals • Financial Appeal • Monitoring and review of the policy	6 Relevant requirements submitted = 3 3 to 5 relevant requirements submitted =2 Irrelevant or Less than 3 requirements submitted =1
1.1.5. Governing body or Council		
1.1.5.1 Submit a copy of the constitution plus members' names, contact details & constituency represented.	Governing board/Council member list with: • Member's names • Member's qualifications • Member's contact details • Member's specialist knowledge	4 relevant requirements submitted = 3 2 to 3 relevant requirements submitted =2 1relevant or irrelevant requirement submitted =1
1.1.5.2. A schedule of Governing Body/Council meetings and agenda & minutes of the two recent meetings.	• Schedule for the governing body / council. • Meeting attendance register	2 requirements submitted =3 1 requirement submitted =2 Irrelevant submission =1
1.1.5.3. An example of situational analysis reports tabled for discussion.	Reports from situational analysis that includes: • Strengths of the college • Weaknesses of the college • Opportunities for the college and • Threats to the college	4 relevant requirements submitted = 3 2 to 3 relevant requirements submitted =2 1relevant or irrelevant requirement submitted =1
1.1.6. Academic Board		

CRITERIA	Evidence Requirements and Scoring	
1.1.6.1 Constitution plus members' names, qualifications, contact details and specialist knowledge relating to qualifications offered by the institution.	Academic board member list with: • Member's names • Member's qualifications • Member's contact details • Member's specialist knowledge in relation to qualifications offered by the college.	4 relevant requirements submitted =3 2 to 3 relevant requirements submitted =2 1relevant or irrelevant requirement submitted =1
1.1.6.2. A schedule of meetings and agenda & minutes of the two recent meetings of the Academic Board.	• Schedule for the academic board meetings. • Meeting attendance register • Two(2) meetings minutes	3 correct requirements submitted =3 2 correct requirement submitted =2 1 correct or Irrelevant submission =1
1.1.6.3. An example of appeals and grievance reports considered by the Academic Board or the template used for dealing with appeals.	• An example of an appeals report or • A template for dealing with appeals	2 correct requirements submitted =3 1correct requirement submitted =2 Irrelevant submission =1
INDICATOR 1.2 **It is the responsibility of leaders and managers to establish the strategic direction of FET institutions and ensure that the institution's vision is realized and it's mission is accomplished in the context of national priorities.**		

CRITERIA	Evidence Requirements and Scoring	
1.2.1. Vision & mission statements that show how own educational objectives may be achieved in the context of national priorities.	• The registered Name of the Institution • Names and contact numbers of the owner(s) • Short history, mission and vision • Accreditation, institutional memberships, and special recognitions and honours. • Available academic programs and any extra curricula activities.	5 relevant requirements submitted = 3 3 to 4 evidence requirements submitted =2 Irrelevant or 2 and less requirements submitted =1
1.2.2. The planned qualification mix and learning programmes matched to identified critical skills needs.	• Motivation for the selection of the programme • Report on the skills gap • Matching of skills needs to programmes applied for	3 correct requirements submitted =3 2 correct requirement submitted =2 1 correct or Irrelevant submission =1
1.2.3 A strategic plan for realisation of the institution's vision and mission.	The plan must indicate what the organisation wants to accomplish over a given time period and how that will be achieved. It must answer the following : • What do we do and for whom? • Where are we today? • Where do we want to be in the future? • How do we close the gap? • What resources will we need to implement the plan? • How will we know if we are succeeding?	6 Relevant requirements submitted = 3 3 to 5 relevant requirements submitted =2 Irrelevant or Less than 3 requirements submitted =1

CRITERIA	Evidence Requirements and Scoring	
INDICATOR 1.3 **INDICATOR 1.3** **Leadership and management are supported by comprehensive and effective administrative, financial and information management systems that are regularly evaluated for relevance and efficiency and have the capacity to track and deliver data that reveal an accurate picture of performance and inform decision making.**		
1.3.1. Name, position and condensed job description(s) of the person or persons responsible for administrative, financial and management information functions and systems.	List indicating names, position and job description 0f people responsible for : • Administrative system • Financial system and • Management Information system	3 correct requirements submitted =3 2 correct requirement submitted =2 1 correct or Irrelevant submission =1
1.3.2. An outline of the administrative systems in place and how they are evaluated for continuing relevance, effectiveness and efficiency.	• Outline of the administrative system of the college • Process for the evaluation of administrative system • Plan for the evaluation of the administration system	3 correct requirements submitted =3 2 correct requirement submitted =2 1 correct or Irrelevant submission =1
1.3.3 An outline of the management information system and how it is evaluated for continuing relevance, effectiveness and efficiency.	The following reports generated by MIS: • Learner financial report • Learners enrolled per programme • Learner academic report • Learner attendance report	4 relevant requirements submitted = 3 2 to 3 relevant requirements submitted =2 1relevant or irrelevant requirement submitted =1
1.3.4 List recommendations made to improve the relevance, effectiveness and efficiency of the systems and highlight those that have been implemented in the current year	Improvements implemented as a results of: • Review of the MIS • Review of administration system and • Review of financial management system	3 correct requirements submitted =3 2 correct requirement submitted =2 1 correct or Irrelevant submission =1

CRITERIA	Evidence Requirements and Scoring	
1.3.5 Agenda and minutes of two recent meetings where matters relating to the evaluation process and the changes recommended were discussed; together with the names, position, relevant qualifications and/or constituency represented of persons present.	• Agenda and minutes of meetings where MIS, administration and financial systems where discussed • Schedules of MIS,financial and administration system meetings • Meeting attendance registers.	3 correct requirements submitted =3 2 correct requirement submitted =2 1 correct or Irrelevant submission =1
INDICATOR 1.4 **Resources are secured and used to ensure institutional viability, sustainability and the achievement of institutional objectives in relation to the qualification programme offered**		
1.4.1 Financial resources. Provide a cashflow forecast for the current year, supported by most recent audited financial statements, showing that available funds are sufficient to sustain planned operations. The forecast for new institutions may be supported by an auditor's certificate or certified copies of bank statements.	• Cash flow statement • Audited financial statement or certificate	2 correct requirements submitted =3 1correct requirement submitted =2 Irrelevant submission =1
1.4.2. Provide financial budgets for the next three years including income and cashflow statements.	• Budget for the next three years • Projected income statement	2 correct requirements submitted =3 1 correct requirement submitted =2 Irrelevant submission =1
1.4.3. Show provision made for the protection of learners if the institution is for **any** reason unable to deliver the full programme for which learners have paid fees. (A tuition assurance scheme.)	• Surety • Teach-out process	2 correct requirements submitted =3 1 correct requirement submitted =2 Irrelevant submission =1

CRITERIA	Evidence Requirements and Scoring	
1.4.4 Human resources. Show schedules indicating number of facilitators, learner/facilitator ratios and minimum qualification requirement of facilitators employed (or to be employed) for each learning programme	List of lecturer qualifications together with subject allocations	List submitted = 3 Irrelevant list is submitted =1
1.4.5 Physical resources. Show the process and procedure followed to confirm that prescribed resources in accordance with subject guidelines are sufficient for the number of registered learners and appropriate to the typical learner profile.	• Resource allocation policy • Process and procedure for the allocation of resources • Planned number of learners per programme • DHET resource list for the programme	4 relevant requirements submitted = 3 2 to 3 relevant requirements submitted =2 1relevant or irrelevant requirement submitted =1
1.4.6 Show how learner access to computers and the internet for research and project work is allocated.	• Time table for access to computers • Number of learners per computer	2 correct requirements submitted =3 1 correct requirement submitted =2 Irrelevant submission =1

1.4.7 Provide a line drawing indicating space available for teaching and all other operational purposes together with a schedule confirming that space is appropriate to the planned learning programme.	• Physical layout of the teaching and administration areas.
	• Delivery timetable that shows:
	   o Classroom allocation
	   o Time allocation
	   o Lecturers allocated
	   o Subjects offered
		5 relevant requirements submitted = 3
		3 to 4 evidence requirements submitted =2
		Irrelevant or 2 and less requirements submitted =1

1.4.8. Show your plan for the maintenance, updating, upgrading and replacement of all physical resources	A plan indicating dates, and people responsible for : • Maintenance of physical resources • Replacement of resources • Updating of resources	3 correct requirements submitted =3 2 correct requirement submitted =2 1 correct or Irrelevant submission =1

CRITERIA	Evidence Requirements and Scoring	
1.4.9 For each programme offered, show a schedule of the financial resources allocated to the programme; broken down to show separately the provision for facilitation, learning materials & equipment and other direct costs.	Breakdown of financial resources allocation per programme	Breakdown per programme submitted = 3 Breakdown per programme not submitted = 1
INDICATOR 1.5 **Internal implementation of policies and procedures is effectively monitored and reviewed for the purpose of quality assurance and continuous improvement.**		
1.5.1. Show the process and procedure followed to ensure that all personnel understand and are able to implement institutional policies.	Staff induction plan with regard to: • Organisational values • Conditions of service • Roles and responsibilities of staff • Health and safety • Line of authority	5 relevant requirements submitted = 3 3 to 4 evidence requirements submitted =2 Irrelevant or 2 and less requirements submitted =1
1.5.2. Constitution of self-valuation team with member's names & qualifications and details of expert knowledge offered and/or constituency represented.	Self-evaluation team: • The names of all members • their position in the institution and • qualifications	3 correct requirements submitted =3 2 correct requirement submitted =2 1 correct or Irrelevant submission =1
1.5.3. A schedule of self-evaluation team meetings and the agenda and minutes of the two most recent meetings.	• Schedule of self-evaluation team meetings • Meeting attendance register • Agenda and minutes	3 correct requirements submitted =3 2 correct requirement submitted =2 1 correct or Irrelevant submission =1

CRITERIA	Evidence Requirements and Scoring	
1.5.4. Give an example of a development plan and/or actual measureable improvement that has been made as a result of outcomes from the self-evaluation process.	• One example of improvements made by self-evaluation. • Plan of monitoring the outcomes of the self-evaluation process	Example of improvement or plan of monitoring submitted = 3 Irrelevant document submitted = 1
INDICATOR 1.6 **Ensure fairness, integrity and transparency in all dealings with learners, relevant stakeholders and the community at large.**		
1.6.1. Provide a copy of your marketing plan for the current academic year.	The plan must t indicate: • Marketing activities • Dates of implementation and • People responsible for implementation.	3 correct requirements submitted =3 2 correct requirement submitted =2 1 correct or Irrelevant submission =1
1.6.2. Provide a copy of the institution's prospectus for the current academic year and any other promotional material currently being distributed.	Prospectus that shows: • Vision and Mission of college • Governance and management structure • Programmes offered • Modes of delivery • Admission requirements • Delivery sites • Contact details • Tuition fees • Accreditation status of programmes	9 relevant requirements submitted = 3 4 to 8 relevant requirements submitted =2 Irrelevant or Less than 4 requirements submitted =1
1.6.3. Show how the institution helps prospective learners to select a programme that is likely to provide a satisfactory learning experience with positive outcomes that will help the learner to find gainful employment or access to higher	• Career guidance programme • Career guidance schedule • Responsible people	3 correct requirements submitted =3 2 correct requirement submitted =2 1 correct or Irrelevant submission =1

CRITERIA	Evidence Requirements and Scoring	
education.		
1.6.4. Show how the admission process is monitored to ensure that institutional policies and procedures are followed and that the system is subjected to regular review for the purpose of quality assurance and continuous improvement.	• The admission policy • The admission process and procedure • The review process for the admission process • Monitoring and review of registration process • Enrolment plan	5 relevant requirements submitted = 3 3 to 4 evidence requirements submitted =2 Irrelevant or 2 and less requirements submitted =1
1.6.5. Provide a copy of a fully completed and signed learner contract between the institution and a learner enrolled upon a programme currently in progress.	Contract addresses the following: • FET programmes offered • Duration of programme • Accreditation status of programmes • NQF level of programme	4 relevant requirements submitted = 3 2 to 3 relevant requirements submitted =2 1relevant or irrelevant requirement submitted =1
Criterion 2 – Teaching and training		
INDICATOR 2.1 **Teaching staff are enabled to enact the curriculum and achieve the purpose of the qualification.**		

CRITERIA	Evidence Requirements and Scoring	
2.1.1. Show how the quality of classroom teaching and learning is monitored and assessed.	Plan for the conduct of classroom visits. Plan must show: • Dates of visits • People responsible for visits • Templates used for classroom visit • Classroom visit follow-up • Feedback report to teacher	5 relevant requirements submitted = 3 3 to 4 evidence requirements submitted =2 Irrelevant or 2 and less requirements submitted =1
2.1.2. Show the action taken to monitor satisfaction levels amongst a range of identified stakeholders.	• Client satisfaction survey for teachers , learners and other stakeholders • Schedule for the conduct of surveys	2 correct requirements submitted =3 1 correct requirement submitted =2 Irrelevant submission =1
2.1.3. Outline the processes and procedure followed to correct weaknesses and build upon strengths revealed by monitoring teaching and learning and/or stakeholder satisfaction**.**	Process and procedure for correcting weaknesses identified by monitoring of teaching.	Process and procedure submitted = 3 Submitted evidence not relevant = 1
2.1.4. Provide an example of a facilitator training and development programme currently in progress.	Staff development plan showing: • dates of training • staff to be trained and • type of training to be conducted	3 correct requirements submitted =3 2 correct requirement submitted =2 1 correct or Irrelevant submission =1
2.1.5. Provide data on facilitator turnover for the current and previous year.	Staff retention policy Previous year's facilitator turnover data.	Staff retention policy submitted = 3 Submitted evidence not relevant = 1
2.1.6. Outline the process and procedures for the employment of facilitators and include a copy of a completed and signed contract relating to a current member of the facilitation staff.	• Process and procedure for the appointment of relevant teachers. • Employment contract	2 correct requirements submitted =3 1 correct requirement submitted =2 Irrelevant submission =1

CRITERIA	Evidence Requirements and Scoring	
INDICATOR 2.2 **Learning materials of a content and quality appropriate to each programme offered, in quantities that are sufficient to meet the needs of all registered learners, are available on time and in use.**		
2.2.1. Show action taken that facilitates the delivery of learning materials to registered learners on time, every time.	- Identification of relevant learning materials - Evaluating and establishing an approved list of textbooks and learning materials - Procurement - Management of libraries and the provision of reading materials - Reconciliation of resources to number of learners	5 relevant requirements submitted = 3 3 to 4 evidence requirements submitted =2 Irrelevant or 2 and less requirements submitted =1
2.2.2. Agenda and minutes of the two recent meetings held to review learning material and equipment.	Meeting attendance register • Schedule of learning material meetings • Agenda and minutes of where learning material results are discussed	2 correct requirements submitted =3 1 correct requirement submitted =2 Irrelevant submission =1
Criterion 3 Learning and assessment		

CRITERIA	Evidence Requirements and Scoring	
INDICATOR 3.1 **Appropriate assessment instruments, in keeping with the purpose and context of qualifications, are used**.		
3.1.1. Show how you select and/or develop appropriate formative and summative assessment instruments and tasks that are relevant to the content and purpose and level of each learning programme and are in accordance with subject assessment guidelines.	Process and procedure for the development of: • Formative assessment • Summative assessment • Teacher PoA and leaner PoE	3 correct requirements submitted =3 2 correct requirement submitted =2 1 correct or Irrelevant submission =1
3.1.2 Show how appropriate marking tools/ marking guides and markers are developed or selected in relation to the selected assessment instruments and procedures.	Plan for the design of ICASS and conduct of ISAT: • Due dates for the design and moderation of ICASS • Due dates for the conduct of ISAT • People responsible for the design and moderation • People responsible for the conduct of ISAT	4 relevant requirements submitted = 3 2 to 3 relevant requirements submitted =2 1relevant or irrelevant requirement submitted =1
3.1.3. Submit a pre-assessment moderation checklist - Show how and by whom the selected assessment instruments and marking tools are moderated before assessment takes place.	Plan must cover: • Analysis of task • Technical criteria • Content coverage • Cognitive skills • Types of questions • Language and bias • Overall impression • Assessment tool	

CRITERIA	Evidence Requirements and Scoring	
	The plan must be in line **with Annexure B (Report 191 and Annexure H2 –NCV)**	
3.1.4. Submit a post assessment moderation checklist	Annexure C for Report 191 and Annexure I2 for NCV	
3.1.5. Submit a moderation report template.	Annexure D for Report 191 & Annexure K1 for NCV	
3.1.6. Submit a composite pre and post moderation checklist	Annexure D for Report 191 and or Annexure K2 for NCV	
3.1.7. Summarize the guidance and training provided to enable facilitators to manage the assessment process and encourage learner achievement.	This must cover: - Teacher qualifications and development - Staff development programme - Training on ICASS - Training on the conduct of ISAT - Training on invigilation - Dealing with irregularities in exam room	6 Relevant requirements submitted = 3 3 to 5 relevant requirements submitted =2 Irrelevant or Less than 3 requirements submitted =1
3.1.8. Summarize the specific arrangements made for the security and reliability of learner results and for working with external assessment agencies**.**	- Security of learner results and - Reliability of learner results	2 correct requirements submitted =3 1 correct requirement submitted =2 Irrelevant submission =1
INDICATOR 3.2 **The assessment process and outcomes are used to develop & improve learning programmes, enrich the learning experience and create greater opportunities for learner achievement**		

CRITERIA	Evidence Requirements and Scoring	
3.2.1. Outline the process and procedures adopted for analysis of assessment outcomes.	• Process and procedure for analysis of assessment outcomes • Reports from analysis of assessment outcomes • Plan for the analysis of assessment outcomes –with date and roles	3 correct requirements submitted =3 2 correct requirement submitted =2 1 correct or Irrelevant submission =1
3.2.2 Show the processes and procedures followed to correct weaknesses and build upon strengths revealed by the analysis process.	• Process and procedure for correction of weaknesses identified in the analysis of outcomes	Process explained =3 Process not explained =1
INDICATOR 3.3 **Assessment tasks relating to subjects in the National Certificate Vocational conform to Subject assessment Guidelines.**	•	
3.3.1. Show how you ensure that all assessment tasks relating to subjects of the National Certificate Vocational (NCV) and or Report 191 conform to the relevant ICASS mark requirements as published by the Department of Higher Education and Training.	A table showing the number and spread of tasks that constitute the ICASS mark: •	3 correct requirements submitted =3 2 correct requirement submitted =2 1 correct or Irrelevant submission =1
3.3.2. Provide details of the duration and mark allocations for tasks that constitute ICASS mark.	Annexure T3 for Report 191 and or Annexure F for NCV	
3.3.3. Submit a subject assessment plan per subject	Annexure T1 for report 191 and or Annexure A for NCV	
3.3.4. Submit a subject assessment schedule per	Annexure T2 for Report 191 and or	

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subject	Annexure B for NCV	
3.3.5. Submit an analysis grid and checklist for each question in a task.	Annexure A for report 191 and or Annexure E.1 for NCV	
3.3.6. Submit a template for recording of ICASS marks.	Annexure T4 for report 191 and or Annexure J1 – J4 for NCV	
3.3.7. Explain the process used to design assessment tasks.	• Process for the design of assessment tasks explained	Process explained =3 Process not explained =1
3.3.8. Explain the process used to moderate the assessment tasks.	• Process for the design of assessment tasks explained	Process explained =3 Process not explained =1
3.3.9. How are marks recorded and what moderation process is used?	• Mark sheets for the submitted tasks • Moderation plan for the submitted tasks	2 correct requirements submitted =3 1 correct requirement submitted =2 Irrelevant submission =1
3.4.10. How, by whom, to whom and when is feedback on the outcome of assessment tasks provided?	• Copy of assessment report or sample of assessment report	Copy or sample of assessment report submitted =3 Irrelevant submission submitted =1
INDICATOR 3.4 **A representative selection of assessment tasks set for the subjects currently offered are submitted.**		

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3.4.1 Submit the following types of assessment task per subject per programme: • Assignment • Test and • Project The tasks must be in line with the subject assessment guidelines.	3 x assessment tasks per subject per programme	
3.4.2. Submit a plan that indicates how the ISAT will be executed. The plan must indicate: • The type of the current ISAT • People responsible for the execution of ISAT • Dates of execution	ISAT plan that indicates: • The type of the current ISAT • People responsible for the execution of ISAT • Dates of execution	
3.4.3 What process is used to make certain that the optimum balance between theoretical and practical assessment is achieved?	• Submitted tasks indicate the notional hours required for both practical and theoretical work	Tasks with required notional hours submitted = 3 Submitted evidence does not indicate notional hours = 1
3.4.4 How do you ensure that tasks are directly relevant to the specific outcomes of the	• Tasks that relate to specific outcomes of qualification submitted	Tasks relating to specific outcomes submitted = 3 Submitted evidence not relevant to specific outcomes = 1

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qualification or part qualification to which the assessment relates?		
3.4.5 Comment on the cognitive level of the tasks.	• Cognitive level of submitted tasks indicated • Cognitive level of tasks not indicated	Cognitive level of tasks indicated = 3 Submitted evidence not indicating the cognitive level = 1
INDICATOR 3.5 **The institution has processes and procedures in place to ensure that ALL assessment activities are fair and equitable.**		
3.5.1 What action is taken to ensure that all assessments are conducted in a manner that is fair, manageable, reliable and valid; and that supports the concept of equal opportunities?	• Assessment tasks match the assessment outcomes indicated in the assessment plan.	There is a match between assessed activities and the assessment plan = 3 Irrelevant submission = 1
3.5.2 Submit the agenda and minutes of two recent meetings where matters relating to the planning and conduct of assessments are discussed; together with the names, relevant qualifications and/or constituency represented of persons present.	• Agenda of two recent meetings where assessment issues are discussed. • Minutes of two recent meetings where assessment issues are discussed	2 correct requirements submitted =3 1 correct requirement submitted =2 Irrelevant submission =1
Criterion 4 Learner support		

CRITERIA	Evidence Requirements and Scoring	
INDICATOR 4.1 **The institution provides activities, programmes and services that meet the academic, cultural, moral, physical, progression and/or work placement needs of learners.**		
4.1.1. Submit learner support programme and schedule	Learner support programme and schedule that shows; • Learner support activities • People responsible for implementation • Dates of implementation	3 correct requirements submitted =3 2 correct requirement submitted =2 1 correct or Irrelevant submission =1
4.1.2. Submit a representative selection of reports on individual learners to whom a support service has been provided .	• Learner support register • Reports from learner support services	2 correct requirements submitted =3 1 correct requirement submitted =2 Irrelevant submission =1
4.1.3. Explain how privacy and integrity of learner information is protected.	Explanation of : • Learner privacy submitted • Integrity of learner information protection	2 correct requirements submitted =3 1 correct requirement submitted =2 Irrelevant submission =1
Submit the agenda and minutes of two recent meetings where matters relating to learner support are discussed; together with the names, relevant qualifications and/or constituency represented of persons present.	• Meeting attendance register • Schedule of learner support meetings • Agenda and minutes of learner support services are discussed	3 correct requirements submitted =3 2 correct requirement submitted =2 1 correct or Irrelevant submission =1
INDICATOR 4.2 **The quality of learner support services are managed and improved through implementation of appropriate policies, procedures and regular monitoring and review.**		

CRITERIA	Evidence Requirements and Scoring	
4.2.1. Provide the name, position and condensed job description of the person responsible for the evaluation of learner support activities for the purpose of quality assurance and continuous improvement.	Review plan for the : • Learner support system The plan must indicate; • Learner support activities • , implementation dates of activities and • people responsible for implementation of activities	3 correct requirements submitted =3 2 correct requirement submitted =2 1 correct or Irrelevant submission =1
Criterion 5 Achievement and results		
INDICATOR 5.1 **Quantitative and qualitative evaluation and review of data relating to all aspects of institutional performance over a complete programme cycle.**		
5.1.1. . Indicate the process employed to review institutional performance and achievement.	The process must address the following : • Data collection methods • Learner attainments • Access rates • Learner retention rates • Learner placements rates • Monitoring and review of the policy	6 Relevant requirements submitted = 3 3 to 5 relevant requirements submitted =2 Irrelevant or Less than 3 requirements submitted =1

CRITERIA	Evidence Requirements and Scoring	
5.1.2 Show the range of data gathered, the processes of statistical or other analysis applied and the outcomes achieved.	Learner statistics information per programme for the last 3 years	Statistic for 3 years submitted = 3 Statistics for less than 3 years submitted = 2 Irrelevant statistics submitted = 1
INDICATOR 5.2 **The outcomes of the performance and systems review process are integrated into the institution's future plans.**		
5.2.1. Agenda and minutes of two recent meetings where the development of future plans was discussed; together with the names of persons present, with details of their position in the organization and relevant qualifications and/or constituency represented.	• Meeting attendance register • Schedule of learner achievement and result meetings • Agenda and minutes of learner achievement and result are discussed	3 correct requirements submitted =3 2 correct requirement submitted =2 1 correct or Irrelevant submission =1