



# ***Provider Self - Evaluation Guide***

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## Acronyms

ABET	Adult Basic Education and Training
CAWU	Construction and Allied Workers Union
CCFO	Critical Cross Field Outcomes
CIDB	Construction Industry Development Board
COSATU	Congress of South African Trade Unions
CETA	Construction Industry Sector Education & Training Authority
DoE	Department of Education
DoL	Department of Labour
DPW	Department of Public Works
EEA	Employment Equity Act
ETDP	Education and Training Development Practitioner/Practices
ETDP SETA	Education, Training and Development Practices SETA
ETQA	Education and Training Quality Assurance Body
FET	Further Education and Training (NQF Levels 2–4)
FETC	Further Education and Training Certificates
FETQA	Further Education and Training Quality Assurance Body
GET	General Education and Training (ABET, NQF, Level 1, Std 4)
GETC	General Education and Training Certificate
HEQC	Higher Education Qualifications Council
HET	Higher Education and Training (NQF Levels 5–8)
M&E	Monitoring and Evaluation
MOU	Memorandum of Understanding
NLRD	National Learner Record Database
NQF	National Qualifications Framework
NSA	National Skills Authority
NSB	National Standard Bodies
NSDS	National Skills Development Strategy
NSF	National Skills Fund
NTC	National Technical Certificate
OBE	Outcomes Based Education
OBET	Outcomes Based Education and Training
PDI	Previously Disadvantaged Individual
POE	Portfolio of Evidence
SASSETA	Safety and Security Sector Education and Training Authority
QALA	Quality Assurance of Learner Achievements
QMS	Quality Management System
RPL	Recognition of Prior Learning
SADTU	South African Democratic Teachers Union
SAQA	South African Qualifications Authority
SAQAA	South African Qualifications Authority Act
SARS	South African Revenue Service
SDA	Skills Development Act
SDC	Skills Development Committee
SDF	Skills Development Facilitator
SDL	Skills Development Levy
SDLA	Skills Development Levies Act
SDPU	Skills Development Planning Unit
SDS	Skills Development Strategy
SETA	Sector Education and Training Authority
SGB	Standard Generating Body
SIRA	Private Security Industry Regulatory Authority
SME	Subject Matter Expert
SMME	Small Medium and Micro Enterprises
SSP	Sector Skills Plan
WPA	Workplace Assessment
WSP	Workplace Skills Plan

# 1. Introduction

This guide has been developed by the SASSETA to assist constituent education and training providers with the process of self-evaluation. The guide is part of a series of documents, all of which complement each other and should be used as a whole “package”. The package contains the following:

- Accreditation Application Form
- SASSETA Provider Accreditation Manual
- Accreditation Programme Evaluation Form
- Assessor/Moderator Guide and Application Form

## 1.1. What is self-evaluation?

In the context of education and training and accreditation processes, self-evaluation is the process whereby providers reflect on their own practices in order to ascertain more broadly the extent to which they are ensuring the highest standards of quality in the provision of education and training. A self-evaluation process is a reflective process — it is your opportunity as a provider to reflect on your organisation and its outputs, with a view to improving your own systems and services.

It is important to note that the SASSETA does not view the self-evaluation as a “quick checklist” process. The provider accreditation manual and the application form explain to providers what the criteria for accreditation are and what documentary evidence needs to be available in order to fulfil the basic requirements for accreditation.

The self-evaluation process, on the other hand, is more about the process of reflection and about achieving quality in the short-, medium- and long-term. Providers are urged to conduct the self-evaluation process not only to obtain accreditation, but as a mechanism for constantly improving quality and setting and obtaining higher and higher goals in this regard.

**You will notice that the items against which you complete the self-evaluation process are not exactly the same as the criteria for accreditation. This is because the self-evaluation process is inclusive of both what you need to have in place in order to be accredited, as well as what you need to continually ensure quality provision in the long-term. The processes of self-evaluation and accreditation are complementary to one another, but are not the same processes.**

### Relationship with a QMS process

Self-evaluation is a key component of a Quality Management System. In order to reflect on whether the organisation is achieving its objectives in an effective and efficient manner it is critical that the organisation has a mechanism for continual review and quality improvements.

## 1.2. How does the self-evaluation process fit into the accreditation process?

The accreditation process comprises six major phases that follow a sequence that forms a process cycle. The phases in the process cycle are progressive and each phase needs to be completed for the next to be successfully achieved. The phases are briefly outlined below:

### 1.2.1. Step 1: Application phase

1. The SASSETA provides various documents to providers applying for accreditation; these include:
  - a) Provider Accreditation Manual
  - b) Provider Self-evaluation Guide
  - c) Accreditation Application Form
  - d) Assessor/Moderator Guide and Registration Form

Note that the self-evaluation should be completed by the provider and submitted together with the application form. The self-evaluation should be submitted to the ETQA as it gives the evaluator a sense of the state of readiness of the provider, although the emphasis of the self-evaluation form is to encourage providers to undertake the self-evaluation as part of a culture of self-reflection.

2. Complete the application form with the evidence required attached.
3. Complete the **self-evaluation**.
4. Submit both documents to the SETA.
5. SASSETA should acknowledge receipt of application and self-assessment forms within 10 days.
6. SASSETA reviews whether or not evidence requirements for the application phase have been met, and follows up on missing documentary evidence within 10 days. Providers are urged to submit any outstanding evidence as soon as possible, so as to not hold up the process of accreditation.
7. Once initial evidence requirements have been met, SASSETA submits programme evaluation forms to the provider for completion.
8. Submit programme evaluation forms, which SASSETA reviews for completeness and ensures that subject-matter experts review in terms of the programme approval criteria. The ETQA will then follow up with the provider, where necessary.

### 1.2.2. Step 2: The site visit

1. Once programme evaluation forms have been submitted, SASSETA will initiate processes to put together a verification team (including an official as well as one or two subject-matter experts (although this may only be one person as the bulk of the programme evaluation activities will take place before the visit based on the forms). This subject-matter expert will review a sample of the programmes and related materials during the site visit. This site visit should take place approximately 30 days after submission of the programme evaluation forms.
2. The ETQA will inform you as a provider about the site visits so that a date can be scheduled.
3. The verification team are briefed and provided with the necessary documentary information.
4. The site visit is conducted.
5. The team reports their findings to the SASSETA who will take this recommendation through the requisite processes in the SETA (such as the ETQA committee and EXCO).
6. Four possible courses of action ensure:
  - a) The process of full accreditation commences
  - b) The process of provisional accreditation commences
  - c) Approved Provider Status Awarded
  - d) The provider is informed of “denial of accreditation” status and a decision is taken on whether or not to charge the provider for expenses incurred.

### 1.2.3. Step 3: Accreditation and provisional accreditation phase

The outcome of the evaluation of the documentation and the site visit will be one of the following:

1. *Full Accreditation*: This will be granted if the applicant complies fully with the accreditation requirements.
2. *Provisional Accreditation*: Provisional Accreditation will be granted to a provider who does not fully meet the requirements, subject to the implementation of the necessary corrective actions based on a mutually agreed development plan in line with the time-frames set by the SASSETA.
3. *Approved*: A status which confirms that the provider can provide a sound learning environment for short course(s) it intends to offer, not tied to any Unit Standards at present.
4. *Denial of Accreditation*: The SASSETA has the right to reject any application for accreditation with costs if the provider applying for accreditation does not meet the requirements for accreditation and has no intention to implement the required corrective actions.
5. Providers approved for either provisional or full accreditation will be notified in writing and issued with an Accreditation Certificate as per the SASSETA *Certification Policy*.

5. Appeals by a provider against the non-accreditation of the provider may be lodged in writing with the SASSETA in terms of the *Appeals Procedure for Providers*, and the necessary arrangements for the appeal will be made.

#### 1.2.4. Step 4: Monitoring phase

1. The SASSETA conducts site audits at providers as an ongoing monitoring and evaluation function.
2. Providers will be required to provide the SASSETA with quarterly reports complying with specified guidelines. These reports would include but not be limited to:
  - a) progress reports on developmental plans;
  - b) the assessment activities of the provider;
  - c) two internal audit reports of the learning system;
  - d) reports of information on learner records and quality management systems; and
  - e) reports on quality management systems.

#### 1.2.5. Step 5: Review

1. Providers' accreditation status is reviewed every five years.
2. ETQA makes a decision about its continued accreditation of the provider.

#### 1.2.6. Step 6: Application for extension of accreditation

1. If a provider wishes to provide additional programmes after being awarded accreditation status, they can request that the SASSETA evaluates those particular programmes for extension of accreditation.
2. ETQA will then review the programme outlines of the provider, and if acceptable, provide an extension of accreditation to the provider.

### 1.3. The role of the self-evaluation form in terms of the accreditation process

The self-evaluation process will be completed at the same time as the application process. The self-evaluation report is important because:

- it guides the composition of the team of verifiers;
- the verifiers will design and prepare their verification visit based on the application form and the self-evaluation report; and
- the findings and evidence of the self-evaluation report (i.e. areas that require improvement and strengths and weaknesses), will be verified during the verification phase.

It is therefore, necessary for the self-evaluation process to be completed with integrity. Providers should be ready for the verification visit when they submit the self-evaluation report (or alternatively they should be in a position to flag what is still required before the verification visit can be conducted).

### 1.4. How to use this guide

There is no blue print for the self-evaluation process. The evaluation process will be different for each provider and will be influenced by a range of factors that include the type of training programmes provided and the organisational context. The guide is a resource to support the self-evaluation process and the development of the self-evaluation report. It proposes an approach to the process of self-evaluation, provides a format for the self-evaluation report and highlights key questions for each of the core criteria for accreditation in the annexures.

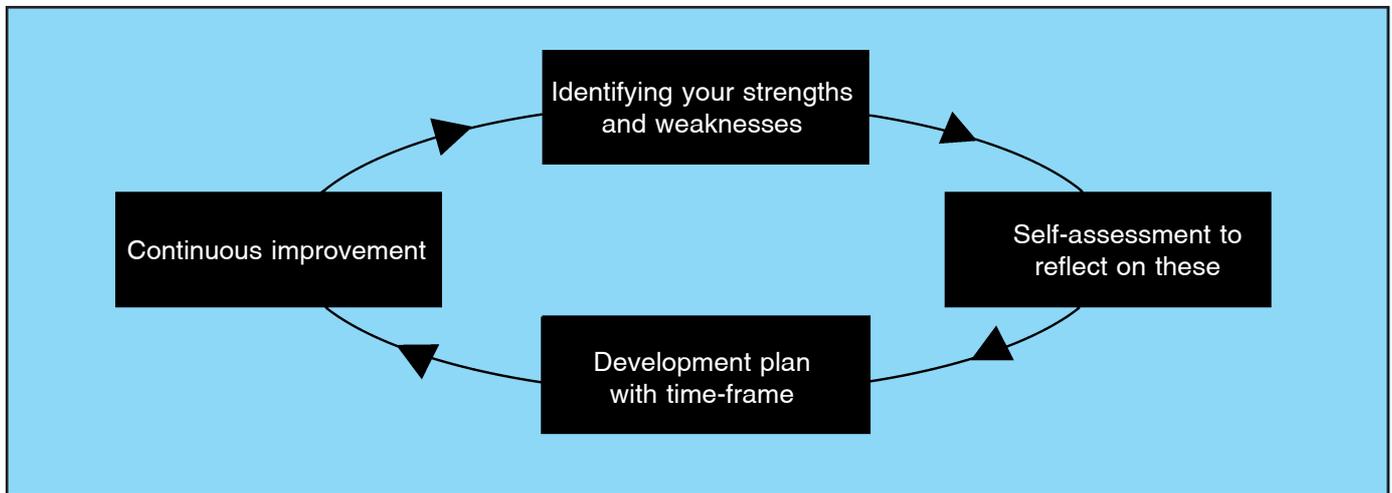
### 1.5. What are the outputs of this process?

There are two essential outputs of the self-evaluation process. The first output is a **short report and developmental plan** that should be submitted to the SASSETA ETQA as part of the accreditation process. The second output is a complete self-evaluation undertaken within your organisation to assist you to determine what aspects of provision can be enhanced and further developed to ensure constantly evolving standards of quality and continuous improvement.

## 2. Underlying approach

Our approach to the self-evaluation process is, first and foremost, developmental in nature. Providers should regard this process as an opportunity to reflect honestly on your practice of training provision in the past and assess the areas for future improvement. We would therefore encourage all providers to adopt a **reflective learning approach** as illustrated in the box below:

### Box 1: Reflective learning cycle



Reflective learning is a method of facilitating learning from experience. This assumes that experience is not sufficient to guarantee learning. Experience forms the basis for learning, but it is what we do with the experience that will influence learning.

Thus, the evaluation should be conducted as a learning exercise and should be designed to diagnose areas of need so as to guide capacity building efforts to strengthen the organisation. A learning model ideally assess how to influence the development and performance of the organisation.

The evaluation should be conducted in partnership with individuals having intimate, day-to-day knowledge of the organisation and with external stakeholders such as clients and learners. It is important to involve your clients, your learners, different practitioners and other stakeholders involved in the provision of training. These stakeholders can provide valuable insights about their experience of the organisation as a provider, which in turn will add value to your process of reflection. The participation of your stakeholders in the process will also contribute to them owning the required changes.

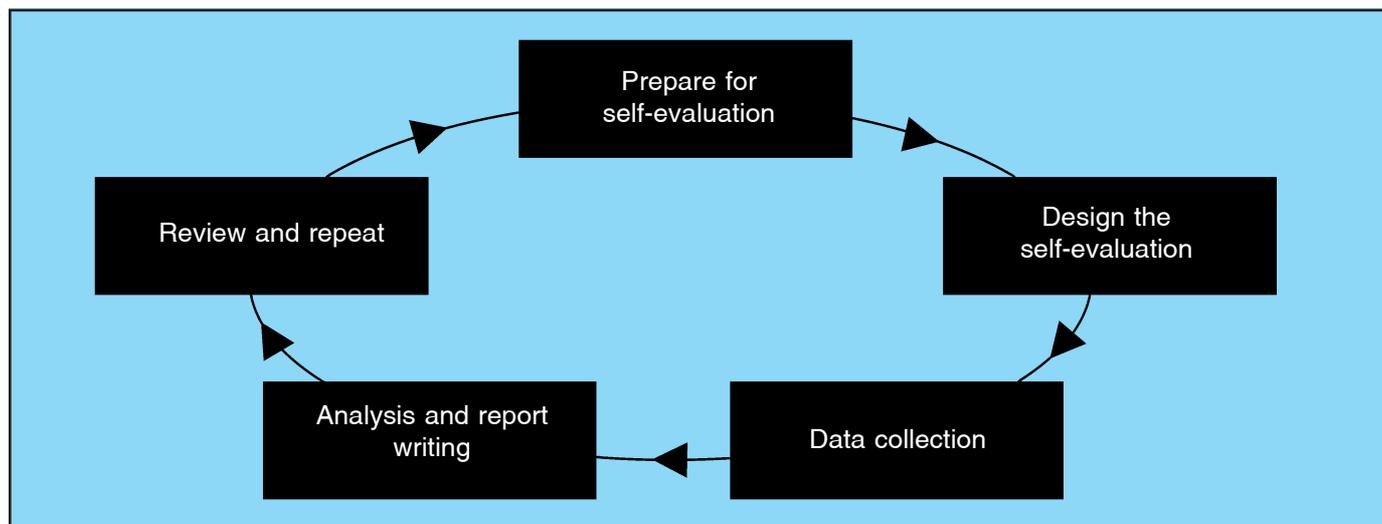
The evaluation takes place at an **organisational** and **programme** level. The self-evaluation at an organisational level explores how the organisation is structured and how it uses its resources to achieve its mission, while the evaluation at programme level assesses the quality of the training provided. At the same time, the self-evaluation takes place within the national qualifications framework and against the criteria for accreditation of training providers.

There are five basic questions you need to address during this process. These are:

1. How effective is the current state of practice in terms of learning, the delivery of learning and assessment and what do we want to change to make it more effective?
2. What do we hope to achieve through these changes?
3. What is available in our organisation to support this process of change?
4. Do we have tools or resources to effect such changes?
5. What other support would be necessary to support such change (within and beyond the organisation)?

### 3. Steps in conducting the self-evaluation

Completing the self-evaluation process comprises the following five key steps:



#### 3.1. Preparing for the self-evaluation

The provider should recognise the self-evaluation process as important, not only for accreditation purposes, but also for organisational learning. Therefore providers should dedicate adequate human and other resources to the process of self-evaluation. Where possible, providers are encouraged to appoint a dedicated person to drive the self-evaluation process. This person should have sufficient authority to ensure that the whole organisation participates and that external stakeholders are involved in the process.

#### 3.2. Designing the self-evaluation

The design of the self-evaluation process should be influenced by the organisation-specific context. The design will provide the framework for guiding the sources of data, the data collection methods, the participants in the process and the resource requirements.

#### 3.3. Data collection

Both qualitative and quantitative data can be used for the evaluation, depending on the issues being explored. Quantitative data may include financial information or/and numbers of learners trained over a specified period. Qualitative data can include observational records, interviews, focus group discussions and case studies. Data sources can be both external and internal.

#### 3.4. Analysis and report writing

The analysis of the information must be guided by honesty and frankness and should be viewed against the organisation's commitment to improving its performance. A report must be drafted on the outcomes of the evaluation.

#### 3.5. Review and repeat

The self-evaluation process should not be seen as a requirement for initial accreditation only. Providers should develop a culture of reflecting on their practices through self-evaluation on an ongoing basis to ensure that there is continuous improvement and ever-evolving standards of quality.

## 4. Organisational self-evaluation

Before we discuss the relevant areas for the self-evaluation at organisational level, it is important to note that the organisation's performance is impacted on by external factors. An assessment of these external factors and its impacts on the organisation will provide a necessary context within which to conduct the self-evaluation.

The assessment of how the external factors impact on the organisation should be the introduction of the self-evaluation report that will be drafted at the completion of the process.

The organisational self-evaluation focuses on five main areas that support the organisation in pursuing its vision and achieving its mission. These areas are:

- Strategic leadership
- Governance and management
- Human resources
- Physical and learning resources
- Institutional linkages

### Box 2: External factors

#### External factors:

- Legal and administrative requirements
- Technology
- Political factors
- Economic
- Social and cultural
- Stakeholders

### 4.1. Strategic leadership

Strategy refers to all the activities that set the course in pursuit of its mission. Strategic leadership is associated with risk, with vision and with ideas. It is the process of setting clear organisational goals and directing the efforts of staff and stakeholders alike toward fulfilling the organisational objectives. A strategically led organisation will continuously engage in the process of changing and adapting. Strategic leadership comprises the main elements of leadership and strategic planning.

Firstly, leadership can exist in many levels inside the organisation, both formally and informally. Those appointed to positions of authority exercise formal leadership. Informal leadership is exercised by individuals who become influential because they have special skills and resources valued and needed by others.

Secondly, strategic planning entails formulating and implementing activities that lead to long-term organisational success. A strategic plan is a written document setting out the specific goals, priorities and tactics of the organisation.

### Box 3: Evidence of strategic leadership

#### Indicators:

- Formal organisational strategy
- Organisational leaders that drive the organisation
- Regular strategic planning sessions to assess and update the strategy
- Everyone knows the strategy

#### Data sources:

- Organisational strategic plan
- Minutes of strategic planning sessions
- Level of staff participation

#### Data instruments:

- Secondary research
- Key informant interviews

## 4.2. Governance and management

At the governance level, the legal and policy framework and direction for organisational functioning is set. Governance can be conceived as the point at which the external and the internal meet. The governance and management roles have a responsibility to ensure that systems are in place to identify and manage risks concerned with the provision of quality training. Ownership and governance structures need to be clearly defined. A coherent set of policies needs to exist that define financial and general management practices.

Organisational structure supports the function of governance and management. It is the system of working relationships arrived at to divide and co-ordinate the tasks of people and groups working toward a common purpose. It involves the division of labour including roles, responsibility and authority. Many variables influence the organisational structure such as history, organisational goals, strategy, governance, and technology.

### Box 4: Evidence of governance and management

#### Indicators:

- Coherent set of governance and management policies and practices
- Clearly defined organisational structure, roles, responsibilities, authority and lines of reporting and accountability
- Acceptable financial management practices and financial performance
- Complies with statutory obligations

#### Data sources:

- Policies and procedures manuals
- Business plan
- Organisational charts
- Financial records

#### Data instruments:

- Secondary research
- Interviews

## 4.3. Human resources

The human resources of any organisation are its most valuable assets. The human resources function relates to the recruitment, hiring, creating an assessment system that rewards people and help keep them in the organisation, and provide for the ongoing learning and career development of employees.

Recruitment and selection policies ensure staff is recruited with adequate teaching and subject knowledge, assessment and moderation expertise, educational management expertise, and student support skills.

### Box 5: Evidence of human resources

#### Indicators:

- Recruitment and selection policies, procedures and practices
- Good and safe working conditions
- Ongoing staff development
- Ongoing performance appraisals

#### Data sources:

- Policies and procedures
- Staff appraisal documents
- Staff development plans

#### Data collection instruments:

- Secondary research
- Interviews

## 4.4. Physical and learning resources

This concerns the organisation's physical and learning resources to enable it to effectively carry out training provision. Policies and procedures on the adequacy, appropriateness and effectiveness of resources must be in place.

Furthermore, the organisation should manage its financial resources, contractual obligations, purchasing, supply and other administrative processes. This will ensure that the organisation makes effective use of its information, assets and facilities in the course of training provision.

The physical and learning resources should be geared towards supporting the delivery of quality education and training.

### Box 6: Evidence of physical and learning resources

#### Indicators:

- Appropriate levels of quality, health, and safety for learners and staff at permanent and temporary training sites
- Policies and procedures manual

#### Data sources:

- Inventory lists
- Policies and procedures
- Learners and staff

#### Data collection instruments:

- Secondary research
- Focus group discussions
- Client satisfaction survey

## 4.5. Institutional linkages

Linkages with other organisations, individuals and stakeholders are healthy for promoting exchange of approaches and resources (including knowledge and expertise). Formal linkages can also contribute to improving communication with constituencies for the organisation.

Institutional linkages involve the following three main elements:

- *Networks*  
Networks are defined as groups of individuals or organisations that share a common interest and exchange information or resources in various forms or on a regular or organised basis.
- *Partnerships*  
Formalising relationships into strategic partnerships are becoming increasingly important as organisations begin to specialise. There is a realisation that it is not always efficient to do everything and that working with like-minded organisations and individuals can increase outreach and effectiveness.
- *External communication*  
Formal and informal communications with key stakeholders are vital to help foster important linkages. A continuous flow of information to the outside world keeps those in the wider environment (general public, identified constituents, specialised audiences) informed.

## Box 7: Evidence of institutional linkages

### Indicators:

- Formal communication strategy
- Resources are dedicated to supporting networks and partnerships
- Networks contribute to creating new ideas and generating resources

### Data sources:

- Strategic partnership agreements
- Memoranda of understanding
- Communication strategy

### Data collection instruments:

- Secondary research
- Interviews with external partners
- Focus group discussions

## 5. Programme self-evaluation

The programme self-evaluation focuses on five main areas that ensure the delivery of quality education and training: These areas are:

- Learner information, entry and support
- Learning programmes
- Assessment and moderation
- Education training and development practitioners
- Institutional linkages

### 5.1. Learner information, entry and support

Learners are entitled to support before, during and after the delivery of a learning programme. Learners have the right to full, accurate and timely information that will enable them to make fully informed decisions on their proposed programme of study. It is also expected that learners will have access to appropriate support and guidance systems, both within and external to the organisation.

To this end, learners should be reasonably informed of these before they begin a course. The focus of this section is also concerned with the organisation's recognition of a client's current competencies (skills, knowledge and attitudes) held as a result of previous formal training, work experience and/or life experiences. Entry requirements should not be misleading.

Learners must be consulted to determine whether the current practices of the organisation adequately adhere to this requirement.

## Box 8: Evidence of learner information, entry and support

### Indicators:

- Policies and procedures
- Communication strategy
- Resources dedicated to learner support

### Data sources:

- Policies and procedures
- Learners

### Data collection instruments:

- Secondary research
- Focus group discussions
- Client satisfaction survey

## 5.2. Learning programmes

Learning programmes are the combination of courses, modules or units of learning by which learners can achieve learning outcomes. Learning programmes lead to specific outcomes that should relate to one or more of the unit standards that are registered on the NQF.

Learning programme design involves ensuring that outcomes and content are relevant; form and structure encourage access and are responsive to needs; and learning and assessment methods are appropriate to the aims and purposes of the programme. There should be evidence that there is a good match between the expectations of the learners/clients and stakeholders and the content of the programme.

The success of the organisation depends on the effective delivery of well-designed programmes. Programme delivery is effective when training and learning are purposeful and there is attention to learner needs; the methods used are appropriate, emphasise activity and responsibility, and are varied.

## Box 9: Learning programme evidence

### Indicators:

- Learning programmes comply with SAQA criteria
- Programmes meet the needs of learners
- Programmes are monitored and evaluated systematically

### Data sources:

- Policies and procedures
- Learners
- Clients

### Data collection instruments:

- Client satisfaction survey

## 5.3. Assessment and moderation

This section is concerned with the effectiveness of the organisation's arrangements for assessment and moderation. The arrangements must ensure that instruments for assessment must comply with each unit standard and qualification: that learners are fully informed of all the assessment arrangements before they are assessed including their rights to appeal; staff understand the procedures; staff prepare valid assessment instruments for candidates to demonstrate their competence.

Evidence of the candidates' work and the assessment records should be retained for moderation purposes. There should be an internal moderation system that monitors, moderates and evaluates the adequacy of assessment and moderation within the organisation.

## Box 10: Assessment and moderation evidence

### Indicators:

- Organisation meets assessment requirements as specified in the standards and qualifications
- Adequate storage to meet moderation requirements
- Internal moderation procedures
- Assessments that are systematic and consistent
- Assessment methods that are appropriate, fair and manageable

### Data sources:

- Policies and procedures
- Learners
- Clients

### Data collection instruments:

- Client satisfaction survey
- Learner focus groups
- Staff interviews

## 5.4. Education, training and development practitioners

Practitioners must be qualified at or above the level of the learners they are training in the appropriate field of learning, or be able to demonstrate equivalent levels of competence in that field. Many education, training and development practitioners (ETDPs) currently hold qualifications in their own field of expertise but do not hold any ETD qualifications.

A number of qualifications have been generated and registered on the NQF to cater for this need over the past four years. These include Occupationally-Directed ETD qualifications at NQF levels 4, 5 and 6 and ABET practitioner qualifications at NQF levels 4, 5 and 6. These new qualifications include the assessor standard required by SAQA for registered assessors.

The SASSETA expects providers to plan for the RPL, training or RPL and top-up training of practitioners who currently hold no ETD qualifications. People who have worked in other ETD fields (for example ex-teachers) will not be required to undergo ETD training, as they should be able to transfer their educational knowledge into different contexts. At this time a plan, together with budget and resources, to upgrade and formally recognise the competence of ETD practitioners will be accepted. However, by the year 2010 ETD qualifications will be required as part of the core criteria.

## Box 11: Evidence on ETDPs

### Indicators:

- Qualified practitioners or plans to RPL them
- All assessors have achieved generic assessor standard
- Registered moderators are used

### Data sources:

- Policies and procedures
- Practitioners
- Staff records

### Data collection instruments:

- Secondary research
- Staff interviews

## 6. Self-evaluation and developmental plan reporting format and conclusions

Both the organisational and programme elements discussed above need to be assessed against the questions discussed earlier. These critical questions provide the basis for the self-evaluation and developmental plan reporting format, i.e.:

### 6.1. Organisational self-evaluation:

- How effectively is the current state of organisation of the provider supporting quality learning, teaching and assessment and what do we want to change to make it more effective?
- What do we hope to achieve through these changes?
- What is available in our organisation to support this process of change?
- Do we have tools or resources to effect such changes?
- What other support would be necessary to support such change (within and beyond the organisation)?

#### Box 12: Self-evaluating template

##### **Introduction:**

- Background and history of the organisation
- Process of self-evaluation
- Design
- Methodology
- Stakeholder involvement

##### **Organisational context:**

- Legal and administrative
- Political
- Economic
- Social
- Culture
- Stakeholders
- Technology

##### **Organisational self-evaluation:**

- Strategic leadership
- Governance
- Human resources
- Physical and learning resources
- Institutional linkages

##### **Programme self-evaluation:**

- Learner information, entry and support
- Learning programmes
- Assessment and moderation
- ETDPs
- Extension of accreditation to offer RPL (where applicable)

##### **Conclusions and development plan:**

- Areas identified for improvement
- Resource plan for improvements
- Responsible persons for improvement
- Time-frames for improvements
- Conclusions

## 6.2. Programmes self-evaluation:

- How effectively is the current practice of quality learning, teaching and assessment and what do we want to change to make it more effective?
- What do we hope to achieve through these changes?
- What is available in our organisation to support this process of change?
- Do we have tools or resources to effect such changes?
- What other support would be necessary to support such change (within and beyond the organisation)?

Providers need to develop a short report on the self-evaluation process according to the questions above. In addition, providers need to indicate how and when (i.e. clear time-frames) they intend to make the necessary improvements and adjustments identified in the self-evaluation process in the form of a developmental plan. Both the short report and developmental plan should be submitted to the SASSETA ETQA.

The annexures that follow below provide you with two self-evaluation tools that you can use to assist you with completing the self-evaluation process. Completed versions of these tools do not need to be submitted to the SASSETA ETQA. They are simply mechanisms to assist you with the report-writing process.

## 7. Annexure A

The self-rating resource below is provided as a checklist against which providers can assess themselves. This checklist is not intended to substitute the self-evaluation process, but rather to aid providers in conducting it.

Providers need to rate themselves against the key questions posed for each of the sections within the organisational and programme level self-evaluations. Your organisation needs to determine the extent to which it complies with the accreditation criteria for each section. If the criteria are not met, a developmental plan needs to be developed for making the necessary improvements. The key to rating yourself against the criteria is as follows:

### 7.1. Key to self-rating

Finding		Description of the finding
5-	Highly effective, continuously improved	Evidence of high effectiveness is readily available and the area is continuously improved
4-	Mostly effective, being improved as planned	Evidence shows that the area is mostly effectively implemented and that plans for further improvement are being implemented
3-	Partly effective, improvements planned	Evidence shows that quality assurance objectives and intended outcomes are partially achieved. The area is currently being improved to enhance effectiveness
2-	Under-effective, needs improvement	Evidence of effectiveness is minimal and the area needs improvement
1-	Not effective, needs improvement	Evidence is not available or shows that quality assurance objectives are unmet. Needs improvement

Key questions	Evidence	Rating				
<b>Tools for evaluating strategic leadership</b>						
Core		1	2	3	4	5
• Is there a formal organisational strategy?						
• Is it known by those in the organisation?						
• Is the strategy generally accepted and supported in the organisation?						
• Does the strategy improve performance?						
• Does the strategy enhance quality service provision?						
• Is there a process for continuously assessing the vision and mission, goals and threats and opportunities?						
• Are there leaders within the organisation that drive the implementation of the strategy?						
• Do the leaders within the organisation set direction, demonstrate a strong client focus, enable team performance, and ensure that training provision is efficiently and effectively managed?						
Data collection						
Data sources	Data collection instruments					

Key questions	Evidence	Rating				
<b>Tools for evaluating governance and management</b>						
Core		1	2	3	4	5
<ul style="list-style-type: none"> <li>• Are ownership and governance structures clearly defined?</li> </ul>						
<ul style="list-style-type: none"> <li>• Does the organisation have a coherent set of governance and management policies and procedures in place?</li> </ul>						
<ul style="list-style-type: none"> <li>• Does the organisation have defined organisational structures, roles, responsibilities, authorities and lines of reporting and accountability in place?</li> </ul>						
<ul style="list-style-type: none"> <li>• Are the organisation's mission and goals supported by its structures?</li> </ul>						
Data collection						
Data sources		Data collection instruments				

Key questions	Evidence	Rating				
<b>Tools for evaluating human resources</b>						
Core		1	2	3	4	5
<ul style="list-style-type: none"> <li>• Does the organisation use recruitment and selection practices to make sure the organisation has adequate human resources with: <ul style="list-style-type: none"> <li>– teaching and subject knowledge</li> <li>– assessment and moderation expertise</li> <li>– educational management expertise</li> <li>– quality management expertise</li> <li>– learner support skills</li> <li>– financial and administration expertise</li> </ul> </li> </ul>						
<ul style="list-style-type: none"> <li>• Does the organisation provide: <ul style="list-style-type: none"> <li>– good and safe working conditions</li> <li>– policies and procedures and regard to Employment Equity, health and safety, etc.</li> </ul> </li> </ul>						
<ul style="list-style-type: none"> <li>• Does the organisation regularly appraise staff performance?</li> </ul>						
<ul style="list-style-type: none"> <li>• Do we provide ongoing staff development?</li> </ul>						
Data collection						
Data sources		Data collection instruments				

Key questions	Evidence	Rating				
<b>Tools for physical and learning resources</b>						
Core		1	2	3	4	5
<ul style="list-style-type: none"> <li>Does the organisation meet the appropriate levels of quality, health and safety for learners and permanent staff and temporary teaching sites?</li> </ul>						
<ul style="list-style-type: none"> <li>Are the required resources for the course available before the delivery of training?</li> </ul>						
<ul style="list-style-type: none"> <li>Does the organisation's policies and procedures ensure that the assets, equipment and materials meet learners' needs?</li> </ul>						
Data collection						
Data sources	Data collection instruments					

Key questions	Evidence	Rating				
<b>Tools for evaluating institutional linkages</b>						
Core		1	2	3	4	5
<ul style="list-style-type: none"> <li>Have the existing networks had an effect on the manner in which the organisation functions?</li> </ul>						
<ul style="list-style-type: none"> <li>Are there constructive partnerships with organisations and individuals that contribute to new ideas and resources?</li> </ul>						
<ul style="list-style-type: none"> <li>Are resources dedicated to maintain these linkages?</li> </ul>						
<ul style="list-style-type: none"> <li>Is there a formal communication strategy in place?</li> </ul>						
Data collection						
Data sources	Data collection instruments					

Key questions	Evidence	Rating				
<b>Tools for evaluating learner information, entry and support</b>						
Core		1	2	3	4	5
<ul style="list-style-type: none"> <li>Does the organisation provide information to learners covering: <ul style="list-style-type: none"> <li>recruitment and enrolment</li> <li>descriptions of courses and qualifications</li> <li>induction</li> <li>entry and selection criteria</li> <li>rules and regulations</li> <li>disciplinary procedure</li> <li>compliant procedure</li> <li>reassessment and appeals</li> <li>total costs of enrolment</li> <li>learner fee indemnification arrangements</li> <li>recognition of prior learning or current competencies</li> </ul> </li> </ul>						

Key questions (Continued)	Evidence	Rating				
<b>Tools for evaluating learner information, entry and support</b>						
Core		1	2	3	4	5
<ul style="list-style-type: none"> <li>Does the organisation deal with learners fairly and equitably?</li> </ul>						
Data collection						
Data sources	Data collection instruments					

Key questions	Evidence	Rating				
<b>Tools for evaluating learning programmes</b>						
Core		1	2	3	4	5
<ul style="list-style-type: none"> <li>Does the learning programmes comply with SAQA criteria?</li> </ul>						
<ul style="list-style-type: none"> <li>Does the organisation design, develop and deliver learning programmes that ensures the following: <ul style="list-style-type: none"> <li>are based on the needs of learners and other stakeholders (e.g. industry)</li> <li>have appropriate content, teaching and learning strategies, resources and assessment activities</li> <li>allows for learner participation and feedback</li> <li>allows for the integration and management of different components</li> </ul> </li> </ul>						
<ul style="list-style-type: none"> <li>Are courses delivered in a way that meets the needs of learners?</li> </ul>						
<ul style="list-style-type: none"> <li>Does the organisation systematically monitor and evaluate all programmes and use the results of the evaluation to improve learning outcomes and achievements?</li> </ul>						
Data collection						
Data sources	Data collection instruments					

Key questions	Evidence	Rating				
<b>Tools for evaluating assessment and moderation</b>						
Core		1	2	3	4	5
<ul style="list-style-type: none"> <li>Does the organisation meet the assessment requirements as specified in the standards and qualifications?</li> </ul>						
<ul style="list-style-type: none"> <li>Does the organisation ensure assessment that have: <ul style="list-style-type: none"> <li>processes and decisions that are open systematic and consistent</li> <li>methods that are appropriate, fair, manageable, and integrated with learning work</li> </ul> </li> </ul>						
<ul style="list-style-type: none"> <li>Does the organisation ensure that learner work is adequately stored to meet moderation requirements, reassessments, and learner appeals?</li> </ul>						

Key questions (Continued)	Evidence	Rating				
<b>Tools for evaluating assessment and moderation</b>						
Core		1	2	3	4	5
<ul style="list-style-type: none"> <li>Does the organisation have internal moderation procedures in place?</li> </ul>						
<ul style="list-style-type: none"> <li>Does the organisation apply fair and consistent processes for recognition of prior learning?</li> </ul>						
Data collection						
Data sources	Data collection instruments					

Key questions	Evidence	Rating				
<b>Tools for evaluating ETD practitioners</b>						
Core		1	2	3	4	5
<ul style="list-style-type: none"> <li>Are practitioners qualified in their field of expertise, or is there a plan to RPL them or train them has been developed?</li> </ul>						
<ul style="list-style-type: none"> <li>Have all assessors achieved the generic assessor standard “Conduct outcomes-based assessments of learning” and are they registered with the SASSETA, or has a plan to meet this requirement been developed?</li> </ul>						
<ul style="list-style-type: none"> <li>Are moderators registered with the SASSETA used to carry out the moderation procedures currently in practice or beginning to be implemented, or alternatively, has a plan to meet this requirement been developed?</li> </ul>						
Data collection						
Data sources	Data collection instruments					

Key questions	Evidence	Rating				
<b>Tools for evaluating RPL practices</b>						
Core		1	2	3	4	5
• Has the organisation developed effective communication with prospective candidates?						
• Has the organisation established relationships with providers and workplaces that are using the RPL service?						
• Does the organisation have a written RPL policy that addresses the following: <ul style="list-style-type: none"> <li>– candidate access</li> <li>– minimum requirements</li> <li>– RPL process</li> <li>– assessment purpose</li> <li>– support</li> <li>– appeals system</li> <li>– maintenance of learner records</li> <li>– monitoring and evaluation of the RPL system</li> </ul>						
• Does the organisation have qualified RPL practitioners or plan to train them?						
Data collection						
Data sources		Data collection instruments				

## 8. Annexure B: Self-rating summary results

It is anticipated that this summary document will form the basis for the self-evaluation report that you will submit to the SASSETA ETQA. Please indicate your assessment of each of these areas, as well as the areas that you will be working on to enhance your provision.

- Please indicate the level of priority (based on how important it is to the organisation and the rating that you had given to the category).
- Please provide comments as to how issues may be addressed in your development plan.

Level of priority	Organisational level				Programme level			
	Strategic leadership	Governance and management	Human resources	Physical and learning resources	Institutional linkages	Learning programmes	Assessment and moderation	ETD practitioners
1. Urgent/Immediate priority								
2. High priority								
3. Priority								
4. Low priority								
5. No concerns								