

*Southern African Auditor and Training Certification Authority*

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EVALUATION OF TRAINING COURSE PROVIDERS PROCEDURE

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**SUMMARY:** THIS PROCEDURE DESCRIBES THE CONTROL AND ADMINISTRATION OF TRAINING COURSE PROVIDER (TCP)

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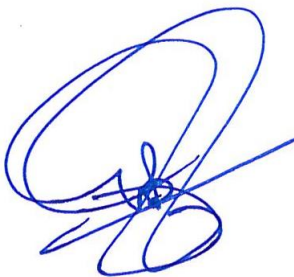
**DATE OF APPROVAL OF THIS REVISION:**

**APPROVAL PAGE**



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**10 JUNE 2017**  
DATE



APPROVED BY: JAMES JORDAAN  
CHAIRMAN: SAATCA BOARD

**10 JUNE 2017**  
DATE

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**AMENDMENT HISTORY**

Doc Revision	Approved Date	Amendments	Doc change No.	Conformance	
				Name	Initials
REV 1-6		History			
REV 7	10 June 2017	Minor changes removed obsolete documents	DC 10147		

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### **1. PURPOSE**

- 1.1 This procedure describes the controls and administration of Training Course Provider (TCP) documentation reviews, audits and approval to ensure consistency with SAATCA requirements.
- 1.2 TCPs operate independently from SAATCA. Their Management Systems and courses are approved, not certified. As part of the criteria for Certification of Management System Auditors, the successful completion of a SAATCA approved course is a requirement.

### **2. DOCUMENTS**

#### **2.1 Applicable documents**

- QSP 1.4 - Appeals and Complaints
- QSP 1.6 - Control of Suppliers
- SF12 – Confidentiality and Impartiality form
- SF30 - TCP Evaluation Preparation Checklist
- SF31 - TCP Evaluation Plan
- SF32 - TCP Meeting Agenda, for opening and closing meetings
- SF33 - TCP Attendance Register
- SF34 - Checklist for Evaluation of Course Providers
- SF35 – TCP Evaluation Report
- SF36 - Corrective and preventative action request form for TCP
- SF37 - TCP Corrective Action Plan
- SF43 - TCP Evaluation Programme
- SF48 - Regulations governing the use of the SAATCA Logo
- SF 118 - SAATCA TCP Approval certificate
- SF122- Declaration of conflict of Interest

#### **2.2 Reference documents**

- CRT 6.12 - Criteria for certification: Training course providers
- Relevant course criteria as related to the applicable scheme. (CRT documents)

### **3. RESPONSIBILITIES**

The Operations Manager is responsible for the implementation of this procedure.

### **4. PROCEDURE**

#### **4.1 TCP Evaluator selection criteria**

- 4.1.1 All TCP Evaluators shall be SAATCA registered lead auditors and where possible ETDP Registered Assessors.
- 4.1.2 All TCP Evaluators shall have received training in SAATCA TCP criteria to ensure competency in fulfilling their tasks.

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4.1.3 Appointment and assignment of TCP Evaluators shall be in accordance with procedure QSP 1.6 Control of Suppliers.

### **4.2 Independent evaluation panel selection criteria and process**

4.2.1 An independent evaluation panel will be established in the case of an appeal regarding the TCP approval process or evaluation outcome.

4.2.2 The members of the panel are arranged by the Certification Manager and shall comprise of at least two members, both being independent of the original evaluation outcome, and with at least one with training evaluation knowledge.

4.2.3 These members shall not be members of SAATCA registered TCP's or a TCP, nor have been for a period of not less than 3 years prior to the appeal date. The TCP shall be notified of the members and have opportunity to object, if there is a conflict of interest or threats to impartiality.

4.2.4 The panel should include at least one assessor representative of the Services SETA where possible for the approval of TCP.

4.2.5 Once panel is agreed, the Certification Manager will submit the applicable evaluation report and supporting evidence/records to the panel for review and ruling.

4.2.6 If the ruling of the panel is not acceptable to the TCP, the Certification manager will escalate it to the TMAC, for resolution in accordance with the SAATCA appeals process (Refer to QSP 1.4).

### **4.3 Confidentiality and Impartiality**

4.3.1 No member of the Evaluation team may have been, involved with the TCP applicant for a period of not less than 3 years prior to the assessment date, for example in consultancy or training or auditing activities.

4.3.2 Evaluators shall declare any vested interest they have or had with the TCP applicant's organization which could cause them to act in any manner other than impartial.

4.3.3 The Confidentiality and Impartiality form – SF12 shall be used for declaring vested interests and binding confidentiality, and shall be signed prior to commencement of work.

4.3.4 SAATCA shall take appropriate disciplinary action if it finds that any Evaluator has breached a contractual agreement. Any evaluator who has breached confidentiality will not be used by SAATCA in any capacity thereafter.

### **4.4 Initial Review and Evaluation**

4.4.1 On written application of a TCP for registration of a training course, the TCP will be requested to either submit the following documentation, or make it available for an on-site review:

- a) The TCP's documented policy and procedures.
- b) All course material including the time schedule, student and instructor materials such as course notes, student reading materials, case studies and simulations.
- c) The examination format, question and answers, the policy and procedures for re-examination, techniques for continuous evaluation, procedures used to ensure the validity of measurements.
- d) The criteria for selecting instructors and procedures for assessing their performance.
- e) Course administration documents including policies for admission of students and a current list of instructors and their auditor Certification status.

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- f) Course administration documents including policies for admission of students, course registration forms, fee schedules, course certificate and typical advertisements.
- 4.4.2 The Certification Manager will review the documentation for completeness to ensure it meets with all the SAATCA requirements.
- 4.4.3 The Certification Manager may then select TCP Evaluator/s who have the relevant knowledge and experience related to the scheme for which the TCP has made application, from the list of approved evaluators (refer QSP 1.6). The TCP shall be notified of the evaluators in advance have opportunity to object, if there is a conflict of interest.
- 4.4.4 The selected and agreed TCP Evaluator shall carry out the desktop document review of the course material. This document review may take place off-site or on-site at the TCP.
- 4.4.5 The TCP Evaluator will submit a feedback report, SF39, to the Certification Manager for review to ensure that an impartial and fair evaluation was done.
- 4.4.6 If the documentation is not acceptable, the TCP will be given an opportunity to rectify the non-conformities and submit documents for re-evaluation. At the discretion of the Certification Manager, and depending on the amount of re-evaluation to be done, this may result in additional evaluation costs which will be for the account of the TCP.
- 4.4.7 If the documentation is acceptable, the on-site evaluation will proceed.
- 4.4.8 The Certification manager will prepare the Evaluation Plan (SF 31) and use the Evaluation checklist (SF30) to plan for the conducting of the evaluation. If there are more than one evaluator in the team, the lead evaluator shall co-ordinate with the evaluation team. The Certification manager shall advise the TCP in writing including the evaluation plan, detailing areas to be covered with suitable times and dates for approval (agreement) by the TCP.
- 4.4.9 Once the evaluation plan is agreed, the TCP Evaluator/s will then conduct an on-site evaluation of the TCP to ensure the systems are satisfactorily implemented. They will use SF32- TCP Meeting Agenda, for opening and closing meetings, SF33 TCP Attendance Register, SF34 - Checklist for Evaluation of Course Providers and the relevant criteria related to the TCP scheme of application.
- 4.4.10 The on-site evaluation activities will consist of evaluation of
- a) The course presentation, course material, instructors, student continual evaluation, etc. Refer to relevant scheme course criteria and SF34 checklist
  - b) The TCP's administrative procedures and records as per CRT 6.12.
- 4.4.11 In a closing meeting at the end of the audit, the lead evaluator shall inform the TCP's Management of the observations made.
- 4.4.12 The lead evaluator will submit an evaluation report as per the template SF35 detailing the findings and recommendations and submit this to the Certification Manager.
- 4.4.13 If any corrective action is required the TCP provider will be advised in writing. The TCP may use the optional corrective action plan (SF37).
- 4.4.14 The TCP may modify the course and/or its administrative procedures and practices and reapply for assessment, or appeal the outcome.
- 4.4.15 If the TCP appeals the outcome, the independent evaluation panel shall review the appeal. Refer to section 4.2 above.
- 4.4.16 If the TCP makes the corrections as necessary and submits the appropriate documentation, a re-evaluation of the areas of nonconformity may be required. This may result in additional costs which will be for the account of the TCP.

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If the course is still unsatisfactory after the second evaluation visit, the Certification Manager will advise the TCP accordingly, and the evaluation process shall be re-started.

- 4.4.17 If the evaluation ends in a positive conclusion and recommendation that the TCP be approved, the Certification manager forwards the recommendation to the Board Chairman for approval of certificate, the TCP will be advised in writing.
- 4.4.18 SAATCA will issue a certificate which details the Scope of the Course Provider registration details and number. The certificate will display the following:
- a) TCP Registration number
  - b) TCP Name
  - c) Scope of registration
  - d) Date of the certificate / date of approval, and date of expiry
- 4.4.19 The SAATCA Chairman will approve the TCP certificate.

### **4.5 Surveillance Evaluations**

- 4.5.1 The Certification Manager will schedule surveillance evaluations of all TCP's – refer to SF43 - TCP Evaluation Programme.
- 4.5.2 An annual surveillance of a TCP may be conducted, including a sample of course presentation; the administrative procedures and practices. If the Quality Management System of the course provider organisation is certified to ISO 9001/ISO14001/ OHSAS 18001 by an accredited Certification body or is SETA accredited or by a Higher Learning Quality Assurance Body this requirement can be waived or reduced at the discretion of the Certification Manager.
- 4.5.3 The lead evaluator selected using the same process as for Initial Application and Evaluation, will notify the TCP in writing of the evaluation, at least one month prior to the audit. Where a TCP is unable for valid reasons provided, to undergo the annual surveillance audit during the course of the year and informs SAATCA thereof, the Certification Manager may waiver the requirement where all TCP fees due have been received and where no notifiable changes exist and are confirmed by the TCP in writing. Such TCP will undergo a full annual surveillance audit in the following year.
- 4.5.4 Surveillance evaluations will be conducted by sampling the TCP's course presentation and administrative procedures against the same SAATCA requirements as for the initial evaluation. Refer to SF34 checklist. It is not possible to cover the entire checklist during surveillance evaluations but forms the basis of the activity.
- 4.5.5 The lead evaluator will submit a report as per the template SF35 detailing the findings and recommendations.
- 4.5.6 The Certification Manager may decide that more frequent or more extensive surveillances are necessary for specific TCP's, with justification.
- 4.5.7 The Certification Manager shall review the evaluation results and indicate completeness of the surveillance process by signing the evaluation report – SF35 and submitting it to the TCP.



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### **4.6 Re- evaluation**

- 4.6.1 Re- evaluation may be necessary after significant changes to the applicable approval criteria,(eg standard, SAATCA criteria), TCP's management system or practices, valid complaints or irregularities (Refer to SAATCA document entitled SF56 SAATCA Notifiable Changes).
- 4.6.2 The TCP will be advised in writing of the required information and if necessary, suitable times and dates for an on-site assessment.
- 4.6.3 The lead evaluator selected using the same process as for Initial Application and Evaluation, will review the information provided and where necessary conduct an on-site evaluation of the TCP to verify changes, valid complaints or irregularities. The lead evaluator shall prepare a report and submit a copy to the Certification manager for review, approval and submission of the TCP.
- 4.6.4 On receipt of the TCP's response to the corrective actions required, the Certification Manager will liaise with the lead evaluator to evaluate the corrective actions.
- 4.6.5 If the corrective action is considered satisfactory, the Certification Manager may plan an on-site evaluation of the TCP to verify the effectiveness of the corrective action. This will be at the expense of the TCP. The lead evaluator will then carry out a follow up evaluation.
- 4.6.6 All follow-up actions will be recorded in a follow-up report and retained as a record.
- 4.6.7 If the corrective action is not satisfactory, CPR 3.3, Suspension and Withdrawal of Course Provider Approval will be followed.

### **4.7 Managing Non-conformities**

- 4.7.1 The non-conformities identified during the assessments above will be logged – refer SF02 and / or the electronic Action Request System against the scheduled evaluation. It must be ensured that these actions are closed out once the action implemented has been verified.

## **5. RELATED RECORDS**

TCP file, with all TCP records including Evaluation records (SF30 to SF39, as applicable)

TCP Evaluator records, including Confidentiality form, assignment forms, conflict of interest form, etc.