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	<b>Document Authorisation:</b>	Felicity Steadman - Director
<b>QUALITY MANAGEMENT POLICY AND PROCEDURE MANUAL</b>		



## QUALITY MANAGEMENT SYSTEM

# CONFLICT DYNAMICS

## Policies and Procedures Manual

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## Company Overview

**NAME OF INSTITUTION:** CONFLICT DYNAMICS

**COMPANY REGISTRATION NO:** CK96/27787/23

**STREET ADDRESS:** 165 West Street  
5th Floor  
Bowman Gilfillan Building  
Sandton  
Johannesburg


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## Distribution and Control List

<b>Position</b>	<b>Manual No.</b>
<b>Directors</b>	
J. Brand - Director	001
F. Steadman - Director	002
G. Barbieri - Director	003
<b>Staff</b>	
V. Botha - Training Manager	004
A. Schorr - Admin Manager	005

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## Amendment Record Sheet

Draft	Issued for comment	26 April 2002
1	Approved for issue	30 April 2002
2	First revision approved for issue	20 May 2002
3	Second revision approved for issue	31st May 2005
4	Third revision approved for issue	12 <sup>th</sup> February 2007
5	Fourth revision approved for issue	16 <sup>th</sup> July 2007
6	Fifth revision approved for issue	28 <sup>th</sup> January 2010
7	Sixth revision approved for issue	31st March 2011
8	Seventh revision approved for issue	11 July 2011
9.	Eighth revision approved for issues	6 July 2012

 <b>CONFLICT DYNAMICS</b> <small>CONFLICT &amp; DISPUTE MANAGEMENT TRAINING</small>	<b>Revision No.:</b>	008
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### Revision Record Sheet

Rev No.	Description of Revision	Rev. Date
7	QMS needs to be updated and all changes and addendums should be reflected in the review page. We have added this record revision sheet to address this area of remediation as per the SABPP report 17 June 2011. Implementation of the revision record sheet – changes and amendments to addendums will be recorded on this sheet going forwards.	11 July 2011
7	Update of the moderation policy to cover all areas of who, when, what and how moderation procedures would be dealt with. Include the QALA process in the moderation policy. As per SABPP report dated 17 June 2011.	11 July 2011
7	All review mechanisms for QMS and learning material, assessment, resources, etc. Have been reviewed as per the SABPP report dated 17 June 2011. All policies and procedures reviewed by an external consultant.	11 July 2011
8	Add the names of further facilitators (specifically for mediator training)	6 July 2012
8	Changed the names of the auditors	6 July 2012
8	Added in policy to pay suppliers on a twice a month basis, and added in invoicing, fees and expenses policy for facilitators	6 July 2012
8	Added to training co-ordination checklist - follow up letter to client	6 July 2012
8	Added reference to leave policy under STAFF SELECTION, DEVELOPMENT AND APPRAISAL POLICY AND PROCEDURE	6 July 2012
8	Added a policy and procedure on MANAGING A MAJOR INCIDENT OR DISRUPTION	6 July 2012

**QUALITY MANAGEMENT POLICY AND PROCEDURE MANUAL**


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## Purpose

The purpose of this Policy and Procedures Manual is to document the requirements for the Quality Management System to be implemented by CONFLICT DYNAMICS to achieve the Vision, Mission and Values and effectively implement CONFLICT DYNAMICS Policies and Procedures.

## Scope


The Manual includes all Policies, Procedures and Review Mechanisms required for the effective implementation of each element of CONFLICT DYNAMICS Quality Management System shown below:

- Quality Management
- Strategic Management
- Registration and Accreditation
- Marketing
- Learning Programme Development, Delivery and Evaluation
- Financial Management
- Administration and Communication
- Database of learner information
- Reporting
- Document and Record Management
- Health and Safety Management
- Management System Review
- Certification
- Special Needs
- RPL
- Language of Teaching, Learning and Assessment
- Collaborations and Partnerships
- Employment Equity
- Resource Management
- Staff Selection, Appraisal and Development
- Learner Entry, Guidance and Support
- Work Site Management
- Assessment Management
- Moderation
- Appeals
- HIV/AIDS for Staff
- HIV/AIDS for Learners
- Fire and Theft
- Public Liability
- Grievance policy and procedure for staff
- Grievance policy and procedure for learners
- Complaints
- Reporting
- Document and Record Management
- Disciplinary procedure for staff
- Disciplinary procedure for learners

## References

- South African Qualifications Act (Act 58 of 1995)
- SAQA Regulation No R452 of 1998
- SAQA Regulation No R1127 of 1998
- Skills Development Act (Act 97 of 1998)
- Skills Development Levies Act (Act 9 of 1999)
- Employment Equity Act (Act 55 of 1998)
- Schools Act (Act 84 of 1996)
- Further Education and Training Act (Act 98 of 1998)
- Higher Education and Training Act (Act 101 of 1997)
- Adult Based Education and Training Act (Act 52 of 2000)
- National Education Policy Act (Act 27 of 1996)
- Labour Relations Act No. 66 of 1995



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## **Quality Policy: Vision, Mission and Values**

### **Quality Policy**

CONFLICT DYNAMICS commits itself to the view that the Quality of its business consulting and developmental services will be determined and guided by its Vision and Mission.

### **Vision statement**

We strive to enhance, uplift and continuously improve the quality of our Education and Training products and services with the commitment of always:-

### **“SERVING THE LEARNER”**

### **Mission statement**

Conflict Dynamics has a mission to provide the highest quality most cost effective education and training to all learners wishing to achieve standards and qualifications registered on the NQF by the following means:-

- Provision of tuition and assessment
- Serving specifically further education and training
- Working in national, sectoral and local contexts
- Being responsive to changing requirements
- Taking accountability for our actions

### **Appointment of Management Representative**

Felicity Steadman, one of the Directors, has been appointed as the person responsible for Quality Assurance.

### **Strategic Objectives**

The structures, systems and activities that are described in subsequent sections of this policy are designed to implement the Mission and Values of CONFLICT DYNAMICS in order to achieve the following Key Strategic Objectives on an ongoing basis:

The business consulting skills development services meet the expectations of the customers as evaluated by:

- Ongoing, repeat business with existing customers
- Expanding customer base leveraged by existing business
- Joint reviews of projects with clients on an ongoing basis
- Ad Hoc evaluation (surveys) of service quality

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Measurable individual learning occurs from skills development programmes as measured through evaluation forms and customer service surveys:

1. Reaction – Course Evaluation Analysis
2. Learning – Certification Analysis
3. Performance – Customer service survey analysis
4. Results – Customer service survey analysis – as far as practical

Directors hold a **Planning and Review meeting**, at least **once annually** to discuss current issues. Corrective action and improvement action plans are implemented as required and a record is kept of decisions made and actions taken.

Directors and staff development, planning and review meetings are held approximately every 6 months to discuss current issues as per Standard Agenda Form CD No 1.

Corrective action and improvement action plans are implemented and/or referred to the next directors meeting.


On an annual basis, a major strategic review and skills development meeting is held with all directors to review feedback from staff, learners, SETA.


In order to maintain the integrity and currency of the Quality Management System, CONFLICT DYNAMICS subscribes to the following processes:

- External Moderation – conducted by an external Moderator
- SETA Monitoring
- Attendance at external provider forums

CONFLICT DYNAMICS becomes and remains an Accredited Provider of Education and Training within its selected fields and sub fields of learning with the Services SETA, accreditation requirements fully met.

I the undersigned, hereby give my commitment to ensuring that these Policies are fully understood, implemented and maintained within the organisation.

Name	Title	Signature	Date
Felicity Steadman	Director		31 March 2011

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## Organisation Chart (Quality Management) 2011

### MANAGEMENT BOARD

John Brand Felicity Steadman and Gina Barbieri

#### STAFF

- Vanessa Botha (Training manager and programme specialist)
- Ann Schorr (Administrator)

#### FACILITATORS

Brigitte MacDonald ; Eva Moodley ;  
 Felicity Steadman ; Gina Barbieri ;  
 Graham Damant ; Helen Wilsenach ;  
 Imraan Haffeggee ; Ingrid Lewin ;  
 Jeanne Gaylard ; John Brand ; John  
 Lobban ; Karen Fulton ; Lungile Zondi  
 ; Qaqamba Vellem ; Sharon Wakeford  
 ; Shelley Wilson ; Talita Laubscher ;  
 Vanessa Botha ; Charles Nupen ;  
 Patrick Deale, Mahamed Rajah, Tanya  
 Venter ; Zarina Kellerman, Kamlesh  
 Ker ; John O'Leary ; Barney Jordaan

#### ASSESSORS

Vanessa Botha / Amanda Roode

#### MODERATORS


Jane Margalit / Ruth Rogers

### QUALITY COMMITTEE

Felicity Steadman, Vanessa Botha, Ann Schorr, Gina Barbieri, invited assessor and/or moderator

### AUDITOR

**Hellman and Associates**

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## QUALITY POLICY AND PROCEDURE


<b>Document Reference:</b>	<b>CD 01</b>
<b>Revision Status:</b>	<b>8</b>
<b>Date of Issue:</b>	<b>31 March 2011</b>

### Approved for issue:

<b>Name</b>	<b>Title</b>	<b>Signature</b>	<b>Date</b>
Felicity Steadman	Director	<i>FJ Steadman</i>	31 March 2011

### Supporting documents:

- Policies and Procedures
- Internal Review Checklist (Refer to QMS Review Policy)

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## QUALITY MANAGEMENT POLICY

CONFLICT DYNAMICS specifies the **Degree of Excellence** as “all activities of the organisation will be carried out in a systematic manner in accordance with defined and documented Policies and Procedures, will meet applicable legislative requirements, will be visible and auditable, and will ensure that the needs of Learners, Staff and Stakeholders are met”.

To achieve this **Degree of Excellence** it is the stated **Policy** of CONFLICT DYNAMICS to establish and implement a formally documented **Quality Management System (QMS)**, which includes Policies, Procedures and Review Mechanisms, in order to gain, and maintain, accreditation as a Provider of Education and Training.

The Quality Management System (QMS) is documented in the CONFLICT DYNAMICS Policy and Procedures Manual, which includes:


- Policies
- Procedures

CONFLICT DYNAMICS realises that Quality is the responsibility of all CONFLICT DYNAMICS personnel, and therefore will promote a **Quality Culture** within the organisation by means of sharing information, including personnel in decision making and delegating specific Quality Management functions, e.g. Quality System maintenance, to suitably skilled and competent persons.

A **Quality Committee** is formed, from members of the organisation, who will be allocated responsibilities for ensuring the effective implementation of specific CONFLICT DYNAMICS procedures. The Quality Committee will meet on a regular, scheduled basis, to **review** the continued suitability and effectiveness of the Quality Management System, and **records** of reviews, and actions arising, will be maintained.

Where deficiencies are found, related to the operation of the QMS, corrective and preventative action will be taken to ensure **continual improvement** of CONFLICT DYNAMICS policies and procedures.

The Quality system has the full commitment of the CONFLICT DYNAMICS employees.

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## QUALITY MANAGEMENT PROCEDURE

### 1. Purpose

The purpose of this procedure is to describe the CONFLICT DYNAMICS Quality Management System and to detail the methods by which CONFLICT DYNAMICS implements the requirements of the Quality Policy

### 2. Scope

The scope of the procedure includes the following:

- The Quality Management System
- Promoting a Quality Culture
- The Quality Committee
- Quality Management System Audits
- Quality Management System Review
- Continual Improvement

### 3. References

SAQA Regulation No R1127 of 1998  
Further Education and Training Act (Act 98 of 1998)  
National Education Policy Act (Act 27 of 1996)  
ISO 10013: 1995 – Guidelines for developing Quality Manuals

### 4. Definitions

- 4.1 **Quality Management System** - the combination of processes used to ensure that the degree of excellence specified is achieved.
- 4.2 **Continual Improvement** - the dynamic notion of Quality as a continuous event in order to ensure the continual development and redevelopment of Policies, Procedures, Qualifications and Standards to meet specified needs.


### 5. Responsibilities

The responsibility for implementing the requirements of this procedure rests with the Director and/or his/her representative.

### 6. Procedure

#### 6.1 The Quality Management System

- The Quality Management System (QMS) is established by the Director documenting CONFLICT DYNAMICS Policies and Procedures in a Policy and Procedures Manual.
- The Policy and Procedures Manual describes the system to be implemented for assuring Quality, related to all CONFLICT DYNAMICS functions and activities.
- The Policy and Procedures Manual includes policies and procedures.
- The Policies and Procedures ensure all activities are carried out in a systematic manner in accordance with defined and documented requirements, meet

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applicable legislative requirements, are visible and auditable and ensure that the needs of Learners, Staff and Stakeholders are met.


The following functions and activities are covered by the Policies and Procedures in the Manual:

- Quality Management
- Strategic Management
- Registration and Accreditation
- Marketing
- Learning Programme Development, Delivery and Evaluation
- Financial Management
- Administration and Communication
- Database of Learner Information
- Resource Management
- Staff Selection, Appraisal and Development
- Learner Entry, Guidance and Support
- Work Site Management.
- Assessment Management
- Moderation
- Appeals
- Complaints
- Disciplinary policy and procedure for staff
- Disciplinary policy and procedure for learners
- Reporting
- Document and Record Management
- Health and Safety Management
- Management System Review
- Certification
- Special needs
- RPL
- Language of Teaching, Learning and Assessment
- Collaboration and Partnerships
- Employment Equity
- HIV/AIDS for staff
- HIV/AIDS for learners
- Fire and Theft
- Public Liability Insurance
- Grievance policy and procedure for staff
- Grievance policy and procedure for learners

The Policy and Procedures Manual issue and control will be in accordance with System Procedure CD 20 – Document and Record Management.

## 6.2 Promoting a Quality Culture

- A Quality culture is promoted within CONFLICT DYNAMICS by completing the following activities:
  - Establishing and implementing a Quality Policy and Quality Objectives
  - Documenting Policies and Procedures in a Policy and Procedures Manual.
  - Ensuring that procedures are suitable and appropriate.
  - Conducting Quality awareness, motivation and involvement training for CONFLICT DYNAMICS staff and directors.
  - Conducting interviews with Learners, Directors and Staff, to gain information, to feedback into the system to promote continual improvement of CONFLICT DYNAMICS functions and activities.

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- Ensuring the availability of necessary resources.
- Conducting regular review of the QMS and taking corrective and preventative action as necessary.

- Evidence to verify that the above actions have been conducted is maintained by the Director and/or his/her representative.

### 6.3 The Quality Committee

- A Quality Committee is appointed
- Committee Members are allocated responsibilities for ensuring the effective operation of individual QMS criteria.
- The Quality committee meets at least once annually to review the implementation and effectiveness of the Quality Management System and maintains records of reviews and actions arising.
- Where deficiencies are found, relating to the operation of the QMS, they are documented and corrective and preventative action is taken to ensure continual improvement of policies and procedures.
- Corrective and preventative actions are reviewed at each Quality committee meeting, to ensure all actions are followed up and adequately closed out.


### 6.4 Quality Management System Review

- The Quality Management System is reviewed annually, in accordance with the requirements of the Management System Review procedure CD 22, and includes the following:
  - The continuing suitability of Policies and Procedures against CONFLICT DYNAMICS goals and objectives.
  - Actions necessary to promote continual improvement.

### 6.5 Continual Improvement

- Continual improvement of the Quality Management System is promoted by implementation of the Improvement Incentive Scheme, (IIS). The IIS is implemented by all personnel considering the following related to their functions and activities:
  - Evaluation of the effectiveness of QMS criteria
  - Identification of system problems
  - Selection of QMS criteria for improvement
  - Identification of possible solutions
  - Solution selection and implementation
  - Prevention of problem recurrence
  - Implementation and standardisation of new criteria
  - Evaluation of effectiveness of new criteria
  - Further criteria improvements
- All personnel are encouraged to forward suggestions for improvement to the Quality Committee for review and adjudication under the IIS.



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## 7. Documentation


The following documentation is required for implementation of this Procedure:

- Policy and Procedures Manual
- Strategic Plan
- Personnel Training schedule
- Quality Committee meeting agenda
- Management System Review procedure

## 8. Records

The following records are required to be maintained by implementation of this Procedure:

- Policy and Procedures Manual
- Strategic Plan
- Personnel Training schedule
- Quality Committee meeting agenda
- Management System Review procedure
- Corrective and Preventative Action Records

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## STRATEGIC MANAGEMENT POLICY AND PROCEDURE


<b>Document Reference:</b>	<b>CD 02</b>
<b>Revision Status:</b>	<b>8</b>
<b>Date of Issue:</b>	<b>31 March 2011</b>

**Approved for issue:**

<b>Name</b>	<b>Title</b>	<b>Signature</b>	<b>Date</b>
Felicity Steadman	Director	<i>FJ Steadman</i>	31 March 2011

**Supporting documents:**

- Vision and Mission Statements
- Strategic Objectives

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## STRATEGIC MANAGEMENT POLICY

The Strategic Management of CONFLICT DYNAMICS is vested in the Management Board of the organisation and the Professional Management of the organisation is undertaken by the Directors. It is CONFLICT DYNAMICS Policy therefore, that the Strategic Management of the organisation will be a joint effort between both parties, i.e. The Directors and the Management Board, which is made up of the directors and staff


The Management Board is composed of the following:

- The Directors
- Staff

The Management Board of CONFLICT DYNAMICS is responsible for ensuring the following strategic management functions are implemented:

- CONFLICT DYNAMICS is accredited by SABPP.
- CONFLICT DYNAMICS has a clear purpose and direction.
- There is a five year strategic plan implemented.
- There is an annual business plan implemented.
- There is a Quality Management System implemented.
- Products and Services are effectively marketed.
- Policies and objectives are clearly defined.
- Organisational structures are established.
- CONFLICT DYNAMICS responsibilities and authorities are documented.
- Adequate resources are provided for services offered.
- Regular management reviews are conducted.
- There is consultation with external bodies.

CONFLICT DYNAMICS internal Quality Management System audits (done by an external moderator from time to time) will review the effectiveness of implementation of the QMS

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	<b>Document Authorisation:</b>	Felicity Steadman - Director
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## **STRATEGIC MANAGEMENT PROCEDURE**

### **1. Purpose**

The purpose of this procedure is to detail requirements for drafting, implementing and executing strategies related to the functions of the organisation and the management of records and documents relating to strategic management.

### **2. Scope**

The scope of the procedure includes the following activity: Identification of practices linked to the vision and mission statements

### **3. References**

SAQA Regulations no R1127 of 1998  
 Further Education and Training Act, Act 98 of 1998  
 National Education Policy Act, Act 27 of 1998

### **4. Definitions**

**Mission:** Identifying the purpose of the business and concentrate on the now

### **5. Responsibilities**

The responsibility for implementing the requirements of this procedure rests with the Director and/or his/her representative.

### **6. Procedure**

#### **Identification of practices linked to the vision and mission statements**

The practices that support the vision and mission statements are identified and are linked to the following:

- Strategic business objectives that give direction to the organisation during the period of accreditation
- Strategic business objectives that are realistic and designed to enable the organisation to meet both quality improvement and sustainable requirements
- Procedures and methods for the implementation of the plans and policies that will be easily available to staff and other clients of the organisation

### **7. Documentation**


The following documentation is required for implementation of this procedure:

- Vision and mission statements
- Strategic objectives

### **8. Records**

The following records are required to be maintained by implementation of this procedure:

- Vision and mission statements
- Strategic objectives

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## REGISTRATION AND ACCREDITATION POLICY AND PROCEDURE


<b>Document Reference:</b>	<b>CD 03</b>
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Felicity Steadman	Director	<i>FJ Steadman</i>	31 March 2011

### Supporting documents:

- Accreditation Certificate


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## **ACCREDITATION POLICY**

### **Accreditation**

In seeking accreditation CONFLICT DYNAMICS has done the following:

- a. Selected to be accredited by the most applicable ETQA.
- b. Has met and will continue to maintain the applicable Institutional requirements for accreditation.
- c. Has met and will continue to maintain the applicable requirements for accreditation.
- d. Ensured that learning programmes are aligned to the applicable NQF Bands and Levels.
- e. Ensure that learning programmes allow for articulation and learning pathways for learners.

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## ACCREDITATION PROCEDURE

### 1. Purpose

The purpose of this procedure is to detail requirements for the registration and accreditation of CONFLICT DYNAMICS.

### 2. Scope

The scope of the procedure includes the following activities:

- Registration as a training provider with the Department of Education (where applicable)
- Accreditation with the SABPP

### 3. References

Relevant legislation, such as the SAQA Act, Skills development act etc.

### 4. Definitions

**Accreditation:** The certification, usually for a particular period of time, of a person, a body or an institution as having the capacity to fulfil a particular function in the quality assurance set up by SAQA in terms of the SAQA Act, Act 58 of 1995.

**Registration:** The process of being registered.

### 5. Responsibilities

The responsibility for implementing the requirements of this procedure rests with the Director and/or his/her representative.

### 6. Procedure

#### **Registration as a provider with the Department of Education (where applicable)**

Registration as a Further Education and Training institution as defined by the Further Education and Training Act is obtained from the Department of Education according to their criteria and guidelines. CONFLICT DYNAMICS will register with the DoE if and when they offer a full qualification between NQF levels 2 and 4.


#### **Accreditation as provider from SETA**

Accreditation has been obtained from the most relevant ETQA according to their criteria and guidelines. The accreditation will be renewed at intervals decided by the ETQA. CONFLICT DYNAMICS will also allow the ETQA to conduct reviews/audits as required.

### 7. Documentation

The following documentation is required for implementation of this procedure:

- Application to DoE as a FET Institution (where applicable)
- Accreditation certificate
- ETQA reports


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## 8. Records

The following records are required to be maintained by implementation of this procedure:

- Application to DoE as a FET Institution (where applicable)
- Accreditation certificate
- Documentation required by the SETA
- ETQA reports



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## MARKETING POLICY AND PROCEDURE


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**Supporting documents:**

- Marketing brochure / information
- Website


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## MARKETING

CONFLICT DYNAMICS will strive to promote, sustain and continually improve the provision of Education and Training services offered by the organisation by implementation of the following methods:

- a. Identification of the needs of learners related to current and future labour market needs, demographics, business and further skills development opportunities.
- b. Allocation of marketing responsibilities to identified individuals or groups.
- c. Promotion and effective communication of CONFLICT DYNAMICS' Products and Services, including clear, accurate information about RPL, assessment, guidance and learner support.
- d. Continual review of the Products and Services offered for sustained suitability and applicability.
- e. Continual review of resources required to effectively provide such Products and Services.
- f. Maintenance of, and access to, a comprehensive and current database.
- g. Maintenance of close links and/or partnerships with other education and training organisations, and local employment organisations.
- h. Implementation of a Quality Management System to ensure the continued quality of Products and Services offered.

Marketing is done through word-of-mouth and through our website:  
<http://conflictdynamics.co.za/>

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## **MARKETING PROCEDURE**

### **1. Purpose**

The purpose of this procedure is to detail the processes and methods by which the services and products of the organisation are marketed to individuals most likely to have an interest in using the organisation's products and services.

### **2. Scope**

The scope of the procedure includes the following activities:

- Marketing Information
- Selection of target market
- Follow up and monitoring

### **3. References**

SAQA Regulations no R1127 of 1998  
 Further Education and Training Act, Act 98 of 1998  
 National Education Policy Act, Act 27 of 1998

### **4. Definitions**

None

### **5. Responsibilities**

The responsibility for implementing the requirements of this procedure rests with the Director and/or his/her representative.

### **6. Procedure**

#### **Marketing Information**

Individuals use their knowledge of the organisation to put together marketing information. This information is relevant to the training programmes offered. It highlights key elements to enable the learner to make a decision on whether or not to attend the training programme.

#### **Selection of target market**

Marketing is done mainly by word-of-mouth to existing clients as well as through our website. The Director follows all leads.

#### **Follow up and monitoring**

Follow up will be done to ensure that the target market addressed is in fact the right audience for CONFLICT DYNAMICS products and services.

### **7. Documentation**


The following documentation is required for implementation of this procedure:

- Marketing information

### **8. Records**

The following records are required to be maintained by implementation of this procedure:

- Marketing information

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## LEARNING PROGRAMME DEVELOPMENT, DELIVERY AND EVALUATION POLICY AND PROCEDURE


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**Supporting documents:**

- Attendance Register
- Learner evaluation forms
- Unit standards

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## **LEARNING PROGRAMME DEVELOPMENT, DELIVERY AND EVALUATION POLICY**

CONFLICT DYNAMICS is committed to ensuring that Programme Development, delivery and Evaluation ensures, to the greatest extent possible, that Learners achieve the Outcomes of their selected Standards and Qualifications (where appropriate).

In order to implement this Policy, CONFLICT DYNAMICS will ensure that:

- a) NQF principles are considered and incorporated into the development of all programmes provided by the business, i.e. access, relevance, credibility, coherence, integration, flexibility, articulation, progression and portability.
- b) Learning programmes are aligned, where appropriate, to registered unit standards or qualifications.
- c) Learning programmes integrate theoretical and practical learning competencies and the assessment thereof.
- d) Learning programmes are in line with the targeted learners.
- e) Through assessment, prior learning is recognised and credit given for learning which has already been acquired through different ways, e.g. life experience.
- f) The elements of the qualification are related to the purposes and outcomes of the registered standards.
- g) Delivery and evaluation methods consider all relevant requirements necessary for the successful completion of the programme, e.g. language, delivery style environment and support resources.
- h) Programme development, delivery and evaluation reflect current National policies, strategies and initiatives.


### **Design and Development of Outcomes Based Learning Programmes**

Questions that CONFLICT DYNAMICS will take to account when designing and developing a learning programme include:

1. Are the learning and assessment opportunities designed from the specific outcomes and assessment criteria?
2. Are all activities and assessments linked to specific outcomes and assessment criteria?
3. Are learning materials and opportunities simulating, relevant and contemporary?
4. Are learning materials appropriate to the learners' needs, environment and abilities?
5. Does the learning programme include the development of:
  - Skills?
  - Knowledge?
  - Attitude?

A quality programme will assist learners to achieve the specified outcomes in a stimulating and relevant way. It will meet them at the level on which they are and provide structured opportunities to progress to new knowledge and skill levels. Our aim is to develop high quality programmes that embody high standards, we do this by:

- Taking into consideration how people learn and what they need to learn.
- Ensuring that our programmes are relevant and prepare learners for life

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*The main implication for designing programmes linked to qualifications or unit standards in the South African context is that outcomes and assessment criteria are set at a national level in the form of unit standards or qualifications. This is our starting point for any programme design that is to result in a learning programme for which credits are awarded on the NQF.*

*If learners do not need to earn NQF credits for a specific learning programme, then the learning programmes will be outcomes-based.*

### **Designing Outcomes-Based Learning Programmes**

- Identify the core team of developers, subject matter experts are used on different programmes as needed
- Identify programme outcomes
- Identify output competencies of the course, learning outcomes, and learning objectives
- Learning outcomes are placed in a hierarchy into cognitive levels (application, skill, knowledge and behaviour)
- Objectives that are linked together in content are grouped together
- The following is done: putting together a course design learning method, formative and summative exercises that need to be done; the number of facilitators needed; how the course will be evaluated; a list of the learning resources needed e.g. slides, exercises, documents, puzzles, games,
- The learning programme is piloted with a selected group of learners
- The learning programme is revised with the input of the pilot group
- The relevant changes are made and the learning programme is rolled out


### **Delivery**

Training is delivered by competent facilitators to groups of learners at the client's premises.

### **Evaluation**

Evaluation methods consider all relevant requirements necessary for the successful completion of the learning programme, e.g. language, delivery style, environment and support resources. All learners are required to complete an evaluation form after the training event.

The evaluation forms are sent to the Administrative Assistant who then reports to the Director regarding the outcomes of the training. The Director will take any necessary action to rectify any problems.

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## **LEARNING PROGRAMME DEVELOPMENT, DELIVERY AND EVALUATION PROCEDURE**

### **1. Purpose**

The purpose of this procedure is to detail requirements for the design, development, delivery and evaluation of learning programmes that will ensure the objectives of the NQF are met.

### **2. Scope**

The scope of the procedure includes the following activities:

- Learning programme design and development
- Learning programme delivery
- Learning programme evaluation

### **3. References**

SAQA Regulations no R1127 of 1998  
 Further Education and Training Act, Act 98 of 1998  
 National Education Policy Act, Act 27 of 1998

### **4. Definitions**

**Learning programme** - The process through which the learner achieves credits towards standards, qualifications, learnerships and skills programmes.


### **5. Responsibilities**

The responsibility for implementing the requirements of this procedure rests with the Director and/or his/her representative.

### **6. Procedure**

#### **Learning programme design and development**

- a. Complete an in-depth analysis of the characteristics of learners, including their entry-level competencies and the work climate or environment.
- b. Confirm and arrange the competencies to be included in the learning intervention.
- c. Sequence the competences as learner performance objectives.
- d. Link learner performance objectives to the relevant unit standard and specific outcomes of the unit standard/exit level outcomes of the qualification.
- e. Research the content to be included in the learning programme.
- f. Design and develop the intervention learning plan and the instructional modules for the interventions.
- g. Design assessment tools and activities to assess the learner's performance following instructions as per the assessment criteria of the relevant unit standards.
- h. Brief the client.
- i. Pilot the intervention.
- j. Evaluate the intervention. Make revisions as indicated by the formative evaluation results.
- k. Review programme contents annually for relevance as well as against unit standards if they have expired or being re-registered. Modify programme as required.

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### **Learning programme delivery**

Learning programmes are delivered to clients and/or learners as required using the client's venue.

### **Learning programme evaluation**

Learning programmes are evaluated continuously by facilitators, learners and staff. Evaluation information is provided to the Director who will then modify the learning programme(s) if required.

## **7. Documentation**

The following documentation is required for implementation of this procedure:


- Skills matrix (if available)
- Any client documentation that can contribute to the specification of competencies required
- Attendance Register
- Learner evaluation forms

## **8. Records**

The following records are required to be maintained by implementation of this procedure:

- Attendance Register
- Learner evaluation forms
- Draft of learning programme or learning programme
- Record of revisions
- Signing-off documentation or client if programme is developed for a specific client



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## FINANCIAL MANAGEMENT POLICY AND PROCEDURE


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Felicity Steadman	Director	<i>FJ Steadman</i>	31 March 2011

### Supporting documents:

- Annual Budget
- Auditor's Report
- Invoicing, fees and expenses policy for facilitators

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## **FINANCIAL MANAGEMENT POLICY**

CONFLICT DYNAMICS will appoint competent persons to be responsible for the Financial Management of all funds and assets. The organisation will maintain adequate financial resources to sustain the Quality of learning Services throughout successive periods of accreditation as a Provider.

Budgetary and Financial Management procedures will be implemented which will ensure that the CONFLICT DYNAMICS Vision and Mission are achieved.

An asset register will be maintained.

An annual budget of expenditure will be drawn up and approved by the Management Board prior to being implemented.

Detailed statements of expenditure against the budget will be maintained during the financial year and a summary presented to stakeholders at the CONFLICT DYNAMICS Annual General Meeting.

Persons made responsible for financial management of the organisation's funds and assets will be held accountable for funds or assets that are misused or misappropriated.


CONFLICT DYNAMICS will maintain a computerised Learner database which will, inter alia, manage Learners accounts.

CONFLICT DYNAMICS will manage purchasing activities by establishing an approved suppliers list, which will be maintained in order to ensure that only reputable organisations are used when purchasing goods or services.

Suppliers of goods or services will be evaluated and approved prior to any order being placed, and a record will be maintained of the basis by which suppliers are approved.

Purchase orders placed on suppliers will contain a clear description of the goods or services required and will be reviewed and approved by the Director or his/her delegated representative, prior to being issued.

A list showing signing authorities against monetary values will be maintained.

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## **FINANCIAL MANAGEMENT PROCEDURE**

### **1. Purpose**

The purpose of this procedure is to detail requirements for effective financial management.

### **2. Scope**

The scope of the procedure includes the following activities:

- Financial processes

### **3. References**

SAQA Regulations no R1127 of 1998  
 Further Education and Training Act, Act 98 of 1998  
 National Education Policy Act, Act 27 of 1998

### **4. Definitions**

**Accounting System:** A computerised accounting system is implemented and maintained.

**Financial year-end:** The end of the financial year-end is the last day of February.


**Month end:** All financial transactions for the previous month must be entered and processed by the 5<sup>th</sup> working day of the month.

### **5. Responsibilities**

The responsibility for implementing the requirements of this procedure rests with the Director and/or his/her representative.

### **6. Procedure**

- (a) **Planning** – a detailed budget is drawn up based on the marketing projections for the year. The budget is entered onto the relevant system.
- (b) **Conduct:**
  - i. the following are entered onto the accounting system:
    - Budget
    - Expenses
    - Creditors including Consultants
    - Debtors
  - ii. All payments are due within 30 days and will be made twice a month. Debtors are regularly followed up.
  - iii. All Statutory payments are made timeously and include but are not limited to the following: EMP 201: PAYE, SDL and UIF payments monthly; VAT 201; IRP 6 Payment of Provisional Tax; IT 56 Payment of Secondary Tax as and when necessary; RSC Levies; Other payments and reports according to the Companies Act.
  - iv. Monthly financial reports are made available to members to ensure sound financial management.

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## 7. Documentation


The following documentation is required for implementation of this procedure:

- Cash flow projection as part of the Business Plan
- Annual Budget
- Monthly Income Statements
- Monthly Balance Sheet
- Trial Balances
- Invoicing, fees and expenses policy for facilitators

## 8. Records

The following records are required to be maintained by implementation of this procedure:

- Detailed ledgers
- Audited statements from the accountants

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## ADMINISTRATION AND COMMUNICATION POLICY AND PROCEDURE


<b>Document Reference:</b>	<b>CD 08</b>
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Felicity Steadman	Director	<i>FJ Steadman</i>	31 March 2011

**Supporting documents:**

- Learner database
- Staff meeting agendas, minutes and memos to staff
- Reports to Services SETA
- Service Level Agreement

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## **ADMINISTRATION AND COMMUNICATION POLICY**

CONFLICT DYNAMICS will implement procedures for Administration and Communication which will take into consideration the needs of Learners, Staff and Stakeholders.

### **Administration**

Administration procedures will include a Learner Database and provide accurate information required for internal management of administrative functions and external liaison with SAQA and the relevant accrediting body. Information will include updates on key performance indicators for these bodies, at the required intervals, as well as on CONFLICT DYNAMICS performance indicators for its objectives. There will be adequate controls to protect the security of information and to ensure efficient access to information.

### **Communication**

Procedures will be implemented for conveying information accurately from learners, the clients and members to all appropriate persons, and for routine communication between staff.

Procedures will be implemented for establishing and maintaining contacts appropriate to CONFLICT DYNAMIC'S services, e.g. learners, clients, SAQA, ETQAs, individual employers, professional and employer organisations.

CONFLICT DYNAMICS will use computer-based technology to the greatest possible extent to support the administration and communication procedures.


### **Capturing, Maintenance and Uploading of Learner Achievements onto the SABPP Database**

The Administrative co-ordinator will be responsible for uploading learner achievements onto the SETA Database. This will involve obtaining the learner's information from the NLRD Learner Enrolment Form. The learner's information will be captured on the excel spreadsheet provided by SETA to CONFLICT DYNAMICS. Once the learner has successfully been assessed and moderated this information will also be captured on the relevant excel spreadsheet supplied by SETA to CONFLICT DYNAMICS. The data will be captured after each learning programme enrolment and after each batch of assessments and moderations have been completed.

Once the relevant learner, assessment and moderation information has been captured it will be sent to the relevant person at SETA together with the moderation reports. The learner will then receive a certificate of Competent. Please refer to the CONFLICT DYNAMICS Certification Policy and Procedure contained in this QMS.

### **System used for capturing**

An excel spreadsheet supplied by SETA will be used to capture the learner achievement information.

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### Information to be captured onto the database

The following information will be captured onto the database:

#### On the NLRD Requirements Excel spreadsheet – Learner Results Tab

- Learner ID
- Provider ID
- Achieved (Yes / No)
- Assessor Staff Number
- Learner Achievement Type
- Learner Achievement Status
- Start date
- End date
- Assessor ID
- Information Type
- Information Type ID
- Mark

#### On the Learner Achievement template:

##### THE LEARNER TAB:

- ID Type
- National ID
- Equity Code
- Nationality Code
- Home Language Code
- Gender Code
- Citizen Resident Status Code
- Socio-economic Status Code
- Disability Status Code
- Learner Last Name (Surname)
- Learner First Name
- Learner Middle Name
- Learner Title
- Learner Birth Date
- Learner Home Address and Code
- Learner Postal Address and Code
- Learner Phone Number
- Learner Fax Number
- Learner E-mail Address
- Province Code
- Employee SDL Number
- Learner Previous Last Name
- Standard Occupational Category Code
- Highest School Qualification
- Highest Qualification
- Date Record last updated

The Administrative Co-ordinator will complete the Course Enrolment Tab and any other relevant tab that corresponds to the learning achieved, e.g. the Learnership Enrolment Tab, Qualification Enrolment Tab, Skills Programme Enrolment Tab, and Unit Standard Enrolment Tab. This includes information such as:


- Learner ID
- Course Name
- Enrolment Start Date
- Achievement Status
- Achievement Type
- Achievement End Date
- Date Record last updated
- Provider ID

### Access to Records

The Administrative co-ordinator, Assessor, Moderator and Director will have access to these records.

### Back-up Mechanisms

The information stored on the Administrative co-ordinator's computer is backed-up at least once a month either on CD or on a flash disk.

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<b>QUALITY MANAGEMENT POLICY AND PROCEDURE MANUAL</b>		

## **ADMINISTRATION AND COMMUNICATION PROCEDURE**

### **1. Purpose**

The purpose of this procedure is to detail requirements related to administration and communication regarding the provision of education and training as an accredited provider.

### **2. Scope**

The scope of the procedure includes the following activities:

#### **Administration**

- Computerised learner database
- Security of information

#### **Communication**

- Dissemination of information
- Associate meetings
- Communication between staff, learners and management
- Communication with SAQA, SETA and DoE
- Learning material
- Bookings

### **3. References**

SAQA Regulations no R1127 of 1998  
 Further Education and Training Act, Act 98 of 1998  
 National Education Policy Act, Act 27 of 1998

### **4. Definitions**

**Administration:** Includes all the necessary business support systems, both mechanical and computerised, required in order for CONFLICT DYNAMICS to meet its business objectives.

**Communication:** Systems of communication are in place to ensure the effective flow of information between all stakeholders.

### **5. Responsibilities**

The responsibility for implementing the requirements of this procedure rests with the *Director* or his/her delegate. As the service provider, CONFLICT DYNAMICS accepts responsibility for the flow of information relating to its service.

### **6. Procedure**

- Databases are updated with the relevant information as follows:
  - Financial data – all financial information is updated
  - Learner data – all learner data is captured on the relevant spreadsheets as indicated in the policy above



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- Internal business data – all this data including legislative related, e.g. as required by the relevant ETQA and SAQA is captured on the relevant computer systems. All hard copies are filed and stored as follows:
  - Legislative data – as per legislation
  - Business data – e.g. minutes of meetings – 3 years
  - Marketing data – e.g. client information – 3 years
- Learning programme manuals – a hardcopy of manuals are kept in addition to that which is on the computer system(s). These are updated as and when required by the client and/or legislation e.g. as unit standards are registered and re-registered.
- b. The *Administrative co-ordinator* keeps systems up to date.
- c. Reports are generated as and when required, e.g. for the accreditation process and assessment records of learners.

### ***Security of information***


Learner information is secured and no information will be provided without prior approval from the Director or his/her delegate. Access will be given to appointed staff.

### **7. Documentation**

Documentation is kept as per section 6 above. (Financial, Learner, Internal business data)

### **8. Records**

Documentation is kept as per section 6 above. (Financial, Learner, Internal business data)

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## DATABASE OF LEARNER INFORMATION POLICY


<b>Document Reference:</b>	<b>CD 08</b>
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Felicity Steadman	Director	<i>FJSteadman.</i>	31 March 2011

**Supporting documents:**

- Learner Database

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## **POLICY**

The relevant individuals have access to a computer to capture relevant learner information. All computers have the applicable hardware and software that is necessary for CONFLICT DYNAMICS to operate e.g. Microsoft Office, Excel, etc.

Learner information and records are stored on a suitable database. Computer records are regularly updated and back-ups are performed monthly with back-up information being stored in a secure area, preferably offsite, to prevent loss or damage of data.


The relevant individuals have access to learner records and learner information and shall respect the confidentiality of those records and information. No member of staff shall give out confidential information on any learner or client without that learner's or client's prior permission.

### **Recording and Updating**

Learner and client information is recorded and updated on a database. All new information and updating of current information and learner records occur when necessary.

### **Security measures**

Computers are password protected to protect the confidentiality of the information stored. No member of staff is allowed to give out confidential information unless he/she has been given prior permission.

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## RESOURCE MANAGEMENT POLICY AND PROCEDURE

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**Supporting documents:**

- Resource Management Checklist
- Occupational Health and Safety checklist
- Business disability checklist

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### **RESOURCE MANAGEMENT POLICY**

#### **Provision of Resources**

CONFLICT DYNAMICS will identify and provide Human, Physical and Financial resources needed for carrying out all required functions and activities of the organisation.

#### **Human Resources**

CONFLICT DYNAMICS will provide sufficient numbers of suitably qualified personnel, on a full time or part time basis (use of consultants), in order to ensure the quality of the learning experience and achievement of the specified Standards.

From time to time, CONFLICT DYNAMICS makes use of Independent Contractors for facilitation, assessment and moderation. Relevant contracts / Service Level Agreements will be signed as well as Code of Conducts as applicable and as required by the relevant ETQA.

#### **Physical Resources**

CONFLICT DYNAMICS physical resources including, facilities, equipment and learning materials, will be provided in order to support the learning process and be appropriate, suitable and sufficient. These resources may be contracted on an out-sourced basis.

CONFLICT DYNAMICS will provide a safe environment for the needs of learners, staff and visitors. CONFLICT DYNAMICS will make use of hired facilities to present learning programmes as well as internal facilities supplied by an organisation. Buildings hired will be structurally sound and secure and covered by a planned maintenance programme. Premises and facilities will be suitable for the functions for which they are used: large enough, capable of operating throughout the year with suitable temperature, ventilation and light.

#### **Material Resources**

Equipment and material (consumables) will be adequate in type and amounts for the number of learners and the programmes undertaken. All equipment will be maintained, safe and secure.


Material resources will be upgraded on an on-going basis in order for CONFLICT DYNAMICS to keep up to date with the latest learning trends and content.

All learning material will be relevant and appropriate to the relevant programmes.

Learning material will be kept in an easily accessible way in CONFLICT DYNAMICS resource centre.

#### **Financial Resources**

CONFLICT DYNAMICS will provide sufficient financial resources to ensure the organisation can function effectively when providing Education and Training Services. Financial resources will be managed in accordance with the Financial Management Policy.

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## **RESOURCE MANAGEMENT PROCEDURE**

### **1. Purpose**

The purpose of this procedure is to detail requirements and methods relating to human resources and physical resources management.

### **2. Scope**

The scope of the procedure includes the following activities:

- Human resources
- Physical resources
- Venues
- Materials

### **3. References**

SAQA Regulations no R1127 of 1998  
 Further Education and Training Act, Act 98 of 1998  
 National Education Policy Act, Act 27 of 1998

### **4. Definitions**

Refer to the policy for definitions of human, physical, material and financial resources.

### **5. Responsibilities**

The responsibility for implementing the requirements of this procedure rests with the Director and/or his/her representative.

### **6. Procedure**

#### **a. Planning**


- Annual resource planning is conducted and is informed by the business and marketing plans for the year.
- Monthly monitoring of the availability of resources and adjustment of plans accordingly. This is informed by the requirements that have developed within the previous month.

#### **b. Conduct**

- Resource planning is done annually as part of the business planning process.
- Plans are monitored to determine accuracy and to make the necessary adjustments.
- Ad hoc requirements are handled as and when needed.

#### **c. Report**

- Human resources – no regular reports are required.
- Physical resources – these are limited to office space required by CONFLICT DYNAMICS. No regular reports are needed.

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- Material resources – learning material is upgraded on an ongoing basis. Updates are agreed by the *Managing Directors*.
- Financial resources – refer to the Financial Management policy.

## 7. Documentation


The following documentation is required for implementation of this procedure:

- Human Resources – refer to the Resource Management Policy
- Physical Resources – an asset register is kept of all physical assets
- Material Resources – A list of manuals and associated resources is kept
- Financial Resources – refer to the Financial Management Policy
- Occupational Health and Safety Checklist

## 8. Records

The following records are required to be maintained by implementation of this procedure:

- Human Resources – refer to the Resource Management Policy
- Physical Resources – refer to Section 7 above
- Material Resources – hard copies of all learning material is kept in addition to copies on a computer system. A register of all other learning programme related material is kept where relevant.
- Financial Resources – refer to the Financial Management Policy
- Occupational Health and Safety Checklist


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## **RESOURCE MANAGEMENT CHECKLIST**

### **TRAINING CO-ORDINATION**

✓	<b>PRE-TRAINING CHECKLIST</b>
	Select time and date for programme
	Identify and invite target audience
	Finalise the site, date and time and notify participants
	Finalise the lesson plan
	Prepare, finalise training manual
	Ensure that training manuals and any additional notes have been printed
	Arrange for visual aids
	Order supplies and equipment
	Confirm site arrangements
	Arrange for food and beverages
	Follow up with learners on all arrangements
	Check on equipment and supplies and organise materials
	Arrange for transportation and parking
	Prepare list of participants
	Supervise delivery of equipment, supplies and materials
✓	<b>ON DAY OF TRAINING</b>
	Inspect room for correct set-up, temperature and lighting
	Double check equipment and supplies
	Give final meal count
	Take care of any problems with food, beverages, room and equipment
	Check learners names for accuracy on list
	Provide learners with manuals, notes, hand-outs, articles etc.
✓	<b>ON COMPLETION OF TRAINING</b>
	Provide learners with evaluation forms
	Supervise return of equipment, supplies and resource materials
	Arrange for payment of bills
	Send thank you SMS to participants
	Send letter to client summarising feedback




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### **TRAINING VENUE**

✓	<b>TRAINING VENUE CHECKLIST</b>
	<b>Atmosphere</b> Is the room cheerful and does it have an outside window?
	<b>Layout</b> Is the room large enough for your needs? Is there sufficient wall space? Is there space for a refreshment station? What is the shape of the room?
	<b>Furniture</b> Are the chairs comfortable? Is the furniture moveable?
	<b>Convenience</b> How far away are the restrooms, fire exits, smoking are, lunchroom, etc.?
	<b>Lighting</b> Is there sufficient light? Can the room be darkened easily?
	<b>Noise</b> Is the room free of excessive noise and interruptions?
	<b>Heat and Cooling</b> Will the temperature be appropriate and can you control it yourself?
	<b>Telephone</b> Is there one nearby for learners to use in case of an emergency?

### **TRAINING SITE**


✓	<b>CHECKLIST FOR SELECTING A TRAINING SITE</b>
	<b>Proximity</b> How close is the site to the largest number of participants?
	<b>Cost</b> Is there a charge for using the site?
	<b>People with disabilities</b> Is the site accessible to them?
	<b>Beverages and Meals</b> Can they be provided on site, in the room or nearby?
	<b>Parking</b> Is the parking convenient?
	<b>Equipment</b> Does the site have equipment on hand? Is it free or is there a charge?
	<b>Experience</b> If you used the site before, was the experience positive or negative? If negative, can those earlier problems be overcome?

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### **TRAINING EQUIPMENT & STATIONERY**

✓	<b>EQUIPMENT CHECKLIST</b>
	Flipchart stand
	Whiteboard
	Tape recorder
	Video
	Overhead projector
	Extra bulbs for projector
	Camera
	Digital
	Laptop
	Extension cords and adapters
	Screen

✓	<b>STATIONERY CHECKLIST</b>
	Flipchart paper
	Blank A4 Paper
	Magic markers
	Masking tape
	Pencils
	Pens
	Scissors
	Transparency pens
	Whiteboard markers
	Name tents or tags
	Prestik
	Cutter
	Post-it stickers
	Glue

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## STAFF SELECTION, DEVELOPMENT AND APPRAISAL POLICY AND PROCEDURE


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Felicity Steadman	Director	<i>FJ Steadman</i>	31 March 2011

### Supporting documents:

- Letter of employment
- Letter of regret
- Job descriptions
- Contract of Employment
- Leave policy
- Staff appraisal forms
- Workplace Skills Plan / Staff development records

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## **STAFF SELECTION, APPRAISAL AND DEVELOPMENT POLICY**

### **Recruitment and Selection**

We will take the following aspects into account when recruiting and appointing **full-time and contract staff**:

- The quality and success of staffing, and related staff development, are fundamental to the quality and success of the organisation as a whole.
- The structure, level and type of staffing are appropriate for the Education and Training services provided.
- Identifying competencies required of all staff to contribute to the organisation's objectives to do their jobs effectively. This will reflect in job descriptions and in recruitment, selection, and job allocation practices
- All newly recruited staff will go through an induction process.

Staff will be assigned to specific activities and tasks on the basis of being competent in relation to their roles and responsibilities to manage and carry out all aspects of our operations and to meet the demands of contracts and the number of learners enrolled. Specific activities, tasks and roles and responsibilities are included and described in our Quality System Procedures. Competency will be determined on the basis of applicable Education, Training, Skill and/or Experience.

**Contracted Staff** will be required to sign a **Service Level Agreement** stating their roles, responsibilities and remuneration. In addition, depending on what they are recruited for they will need to sign a **Code of Conduct** and any other documentation required by SETA.

Procedures are implemented for Staff Selection, Appraisal and Development, which include requirements for Recruitment, Selection, Appointment, Promotion and Termination of Services. CONFLICT DYNAMICS will ensure the structure, level and type of staffing is appropriate for the services provided.


Competencies required of all staff to contribute to the organisation's objectives and do their jobs effectively will be identified and will be reflected in job descriptions and in recruitment, selection and job allocation practises. Competency will be determined on the basis of applicable Education, Training, Skill and/or experience.

All newly recruited staff will go through an induction process.

Staff will be assigned to specific activities and tasks on the basis of being competent in relation to their roles and responsibilities, i.e. to manage and carry out all aspects of the organisation's operations and to meet the demands of contracts and the number of learners enrolled.

### **Staff Development**

Training and development needs will be regularly reviewed and analysed and funding made available for identified staff training needs. Staff will be encouraged to gain further qualifications.

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We will maintain comprehensive records of Education, Training, Qualifications, Skill and/or Experience for all full time, part time and contracted staff.

Management responsibilities for staffing will be clearly allocated and evidence of systematic review of staffing arrangements will be maintained.

### **Termination of Employment**

The following categories of termination are recognised by CONFLICT DYNAMICS and the personnel file of the exiting employee should be appropriately marked:

**Resignation** - The employment relationship is most typically severed by employee resignation. This is a voluntary action on the part of the employee. (The absence of an employee without notification for three days is categorised as a resignation). Management should give a minimum of sixty (60) days written notice prior to termination. Exempt Staff members should give a minimum of thirty (30) days written notice prior to termination. Non-Exempt Staff members should give a minimum of fourteen (14) days written notice prior to termination.


**Discharge** - This is an action to terminate initiated by the employer. Disciplinary terminations will adhere to CONFLICT DYNAMIC'S Disciplinary Policy.

**Reduction in Force** - This is an action by the employer to terminate an employee or several employees because of temporary or permanent lack of work, lack of funds, or re-organisation.

### **Death**

**Retirement** - This is termination of employment by an employee who is retiring from CONFLICT DYNAMICS. Staff members are expected to notify the *Director* in writing of their intention and their expected date of retirement. Employees retiring whose combined years of full-time service and age equal or exceeds 75 may be eligible for continuation of certain benefits.

**Administrative Separation** - This is an action by the employer to terminate an employee when an approved leave of absence has expired and the employee is unable to return to work or when an employee becomes eligible for Long Term disability.

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## **STAFF SELECTION, DEVELOPMENT AND APPRAISAL PROCEDURE**

### **1. Purpose**

The purpose of this procedure is to detail requirements for staff selection, appraisal and development.

### **2. Scope**

The scope of the procedure includes the following activities:

- Staff selection
- Staff appraisal
- Staff development

### **3. References**

SAQA Regulations no R1127 of 1998  
Further Education and Training Act, Act 98 of 1998  
National Education Policy Act, Act 27 of 1998

### **4. Definitions**

None

### **5. Responsibilities**

The responsibility for implementing the requirements of this procedure rests with the Director and/or his/her representative.

### **6. Procedure**


#### **Recruitment Objective**

The aim of recruitment is to attract full-time or contracted potential employees who have the relevant skills, qualifications and experience to make a positive, innovative contribution towards the operations of the CONFLICT DYNAMICS. This procedure aims to formalise the way we hire, retain, and promote suitable qualified and/or experienced staff with appropriate representation of designated groups, where possible.

#### **Recruitment Procedures - Equal Opportunities**

We are committed to equal opportunities and the recruitment and selection process is an important part of our efforts to achieve this. The process is comprehensive and rigorous to ensure that all applicants receive fair, equitable and objective treatment.

The process aims to ensure that the person who best meets the person specification is appointed without discrimination on the grounds of race, sexual orientation, colour, nationality, ethnic or national origin, disability, gender, age, marital status or religion. The *Director* monitors the selection process for all recruitments in order to ensure that the Equal Opportunities Policy is being followed.

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We also underwrite the following recruitment principles as contemplated by the Employment Equity Act:

- a. A person may be regarded as suitably qualified for a job as a result of any one of, or any combination of:
  - formal qualifications
  - prior learning
  - relevant experience or
  - capacity to acquire, within a reasonable time, the ability to do the job
- b. In making a determination to make an appointment, we will not discriminate unfairly against a person solely on the grounds of his/her lack of relevant experience.
- c. Every effort will be made to follow a fair, transparent process when recruiting new staff.

### **Recruitment Procedures - Making a Choice**

Recruitment involves the element of choice, which applies equally to both CONFLICT DYNAMICS and applicants. Whilst CONFLICT DYNAMICS is seeking to attract applicants of the right calibre and aptitude, applicants are considering whether CONFLICT DYNAMICS and the post for which they are applying will meet their own personal and professional ambitions and aspirations.

The aim is to provide applicants with comprehensive information about the position, the qualifications and experience required, the Company itself and terms of employment so that they can make an informed choice about whether "Employment Informed" is the place they want to work. At an interview applicants will, where appropriate, be given the opportunity to meet their potential working colleagues and given brief exposure to the working environment.

### **Recruitment Procedures - Responsibility**


The recruitment process is managed by management in conjunction with Placement Agencies (where necessary) with the aim to provide applicants and CONFLICT DYNAMICS with a confidential and professional service. The recruitment process itself involves certain broad guidelines for the responsible person, who may not necessarily always be the *Director*:

- maintaining professional standards whether recruits are easy or difficult to find
- ensuring that equality of opportunity is an integral part of recruitment practice
- ensuring recruitment is seen as a key public relations exercise
- abiding by legislative guidelines
- undergoing selection interview training and keep these skills up to date

### **Recruitment Procedures - Recruitment Process**

A vacancy will normally be filled by making use of a labour recruitment agency, in conjunction with whom the following steps will be followed:

1. Placing an advertisement in the local newspaper for a minimum of three consecutive working days.

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2. This advertisement will contain comprehensive job requirements to enable a prospective candidate to make an informed decision whether to apply.
3. A shortlist of three possible candidates will emerge from this, where after they will be invited to attend an interview.
4. These prospective candidates will be required to apply for the position in writing by the stipulated deadline date.
5. They will also be required to submit a comprehensive Curriculum Vita, together with a certified copy of qualification certificates, so that the interviewer can perform reference checks.
6. During the recruitment interview, comprehensive job requirements and outputs will be explained and discussed, giving the applicant enough opportunity to clarify all or any aspect thereof.
7. The prospective candidates will be notified in writing the outcome of the interview within seven working days thereafter.
8. The successful candidate will be appointed and will be required to complete the contract pertaining thereto.

#### **Staff Appraisal Procedures - Purpose**

The purpose of these procedures is to motivate our Staff Members/Associates to improve performance, thus:

1. Fulfilling own need of Job Enrichment
2. Contributing effectively to achieving our Vision/Mission/Objectives
3. Meeting work-related challenges of coping with Change, Market-related Demands and Competitor Activity
4. Enhancing own levels of Motivation
5. Avoiding Performance Stagnation which inevitably leads to redundancy
6. Benchmarking own Performance regularly against fair and equitable standards


#### **Staff Appraisal Procedures – Principles**

1. Fairness, by agreeing on Performance Standards and Job Outputs upon appointment or commencement of duties
2. Inclusivity and Transparency during and after the Appraisal Process
3. Constructiveness by focusing on Job Outputs and not on the Person or Personality. This is probably the toughest principle to follow, as there is almost nothing that anybody can do to resolve personality incompatibility. The only solution to such a situation is normally for one of the parties to pack up and leave voluntarily, sad as it may seem.
4. Honesty by keeping an open agenda when it comes to Performance Levels and not holding any grudges.
5. Consistency by using like measurement for like Job Outputs and to avoid bias of any shape or form.
6. Competency by providing suitable and current training to of our members who are responsible for Staff Appraisals so as to avoid unnecessary strife.
7. Legality by integrating the Appraisal System with our Disciplinary and Grievance Policy and Review Mechanisms as well as current Labour Laws

#### **Staff Appraisal Procedures – Process**

- Agree on Performance Standards and Job Outputs in writing upon appointment, commencement or continuance of duties



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- Document signed by Appraisee and Appraiser/Manager
- Agree on fair probation period, normally not less than 3 months
- Agree on frequency of appraisal exercise, say once a year in a particular month
- Agree on date of first appraisal
- Discuss and explain the Company Vision/Mission/ Objectives, QMS and Policies to place the appraisal system in context
- Allow appraisee time to perform, receive training and coaching, acquire job skills and knowledge, adjust to all aspects of the job, clarify uncertainties and overcome obstacles that may hamper performance
- Provide support and all reasonable resources to allow appraisee to achieve optimal levels of performance.
- Maintain constructive communication to enhance this process
- Conduct appraisal interview on the agreed date. This is done in privacy, without interruptions to keep focus
- Create a relaxed, participative setting, keeping the above principles in mind
- Focus on the positive aspects first, before moving to the negatives, which may cause apprehension and uncertainty
- Give due, sincere and specific recognition for performance levels meeting or exceeding expectations
- Offer support and assistance to facilitate improvement of shortcomings identified
- Agree on an action plan in writing to deal with expected performance improvements. This action plan should provide for regular follow ups to avoid disillusionment and nasty surprises.
- Conclude the interview on a positive note, expressing confidence in the appraisee's ability to improve where necessary
- Monitor performance and intervene without delay where deviations occur
- Maintain constant communication to enhance this process
- Create a climate for motivation for the appraisee to achieve agreed improvements
- Take steps without delay to correct behaviour where necessary. This may entail formal disciplinary action and may even lead to dismissal.
- Review this process with team members
- Lay down and agree on clear parameters for revised performance standards

## Staff Development


All staff is initially trained in the function of their positions, and receives additional product and service training whenever a new product or service is launched. Employees where applicable, attend formal training courses.

## Termination

CONFLICT DYNAMICS recognises the following forms of termination:

- Resignation Discharge
- Reduction in Force
- Death
- Retirement
- Administrative Separation

The appropriate procedure for each of these areas of termination will be followed. In the case of discharge the organisation's Disciplinary policy and procedure will be followed.

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## 7. Documentation


The following documentation is required for implementation of this procedure:

- Letter of employment
- Letter of regret
- Job descriptions
- Contract of Employment
- Staff appraisal forms
- Workplace Skills Plan / Staff development records

## 8. Records

The following records are required to be maintained by implementation of this procedure:

- Letter of employment
- Letter of regret
- Job descriptions
- Contract of Employment
- Leave records
- Staff appraisal forms
- Workplace Skills Plan / Staff development records

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## LEARNER ENTRY, GUIDANCE AND SUPPORT POLICY AND PROCEDURE


<b>Document Reference:</b>	<b>CD 11</b>
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<b>Name</b>	<b>Title</b>	<b>Signature</b>	<b>Date</b>
Felicity Steadman	Director	<i>FJ Steadman</i>	31 March 2011

**Supporting documents:**

- Entry requirements per course (as part of course profile)
- Learner Evaluation form

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## **LEARNER ENTRY, GUIDANCE AND SUPPORT POLICY**

In order to achieve our vision, we have implemented procedures for Learner Entry, Guidance and Support.

### **Learner Entry**

CONFLICT DYNAMICS will ensure that learners have the opportunity to clarify their requirements and relate them to the products and services offered. Our programmes cater for all level of employees. All our programmes have entry-level requirements linked to the learning assumed to be in place contained in the unit standard(s). However, it is also the learner's responsibility to ensure that he or she has attained the minimum entry requirements before embarking on our programme(s). We will provide RPL for entry to our programmes when requested.

### **Learner's with special needs**

We cater for learners with special needs when developing our entry level requirements and programmes.

### **Guidance and Support**

During training we ensure the needs of individual learners are identified. We monitor their progress, provide feedback and support where necessary as well as pre-exit guidance.


Learners may require support and/or counselling during and after the completion of the learning programme. During the learning programme, two facilitators are available to provide assistance to individual learners. During teamwork, both facilitators help / guide the learners. The learners can request individual coaching after learning programme hours. Different expertise levels in teams promote learning in teams (this is if people with different levels of experience come onto the learning programme). Mixed disciplines in a programme and mixing levels of expertise promote learning during the learning programme.

Upon completion of the training, learners can require assistance telephonically or by sending the facilitator an e-mail. We address each learner individually. If further assistance is required we will organise a mentoring workshop of between 1 – 2 days at a suitable fee for a group of learners. Coaching and mentoring are also offered to the client.

Assessment support is provided in terms of aiding the learner to complete the Portfolio of Evidence. Based on the assessment outcome, learners are certificated and can continue with the next learning programme. If necessary a follow-up re-assessment is arranged in order to ensure that all learner's needs are met and catered for.

### **Learner : Facilitator Ratio**

CONFLICT DYNAMICS will conduct learning programmes for groups of delegates up to a **maximum of 12** per group and a **minimum of eight** to allow for group dynamics and to ensure every learner is participating to their fullest potential.

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## **LEARNER ENTRY, GUIDANCE AND SUPPORT PROCEDURE**

### **1. Purpose**

The purpose of this procedure is to detail requirements for learner entry, guidance and support.

### **2. Scope**

The scope of the procedure includes the following activities:

- Learner entry
- Learner guidance and support

### **3. References**

SAQA Regulations no R1127 of 1998  
 Further Education and Training Act, Act 98 of 1998  
 National Education Policy Act, Act 27 of 1998

### **4. Definitions**

None

### **5. Responsibilities**

The responsibility for implementing the requirements of this procedure rests with the Director and/or his/her representative.

### **6. Procedure**


#### **Learner Entry**

The client is provided with the relevant information about the learning programme. The learning programme will stipulate the entry-level requirements or the learners will complete a pre-assessment. It is the responsibility of the learner's employer to ensure that the learner has met the 'learning assumed to be in place' and can meet the entry-level requirements prior to enrolling them.

It is the client's responsibility to make the provider aware of any learners with special needs (where applicable), so that the provider can put into place the necessary resources and taken this into consideration when facilitating and assessing. In some instances, the facilitator will be able to identify a learner with special needs and he or she will take the relevant steps to ensure the learner is suitably accommodated.

#### **Learner guidance and support**

The facilitator ensures that individual learner needs are identified, personal development plans encouraged, progress reviewed and feedback given. Support is given as needed and pre-exit guidance is given to ensure maximum benefit for the learner.

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## **Documentation**


The following documentation is required for implementation of this procedure:

- Entry requirements per course
- Evaluation forms

## **7. Records**

The following records are required to be maintained by implementation of this procedure:


- Entry requirements per course
- Evaluation forms

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## WORKSITE MANAGEMENT POLICY AND PROCEDURE


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### Supporting documents:

- Work site management agreements if applicable

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## **WORK SITE MANAGEMENT POLICY**

Work Site components may form part of CONFLICT DYNAMIC'S assessment process. In this situation CONFLICT DYNAMICS will implement a procedure which includes the following:


- a. Written Contracts with the worksite which details requirements.
- b. Observation at the worksite of the individual being assessed.
- c. The establishment and maintenance of effective communications with the worksite.
- d. Management of worksite assessment.
- e. Maintenance of assessment and moderation records.

CONFLICT DYNAMICS will give guarantees that the rights of learners are respected and safeguarded at all times when completing worksite assessment components.

### **Training at external or the client's venue**

When training is conducted at external venues (or public venues) or on the client's premises, the person responsible for providing the venue will be required to complete the OHS Checklist. This checklist is used to verify that the training was conducted offsite at the venue and to ensure that the site is compliant in terms of health and safety requirements to protect the learner.



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## **WORKSITE MANAGEMENT PROCEDURE**

### **1. Purpose**

The purpose of this procedure is to detail requirements for the venue for the purposes of education and training.

### **2. Scope**

The scope of the procedure includes the following activity:

- Worksite management

### **3. References**

SAQA Regulations no R1127 of 1998  
Further Education and Training Act, Act 98 of 1998  
National Education Policy Act, Act 27 of 1998

### **4. Definitions**

None

### **5. Responsibilities**

The responsibility for implementing the requirements of this procedure rests with the Director and/or his/her representative.

### **6. Procedure**

CONFLICT DYNAMICS would provide the worksite with information necessary to conduct the assessment and/or moderation. The learner would be advised of a worksite observation well in advance of the assessment where applicable. CONFLICT DYNAMICS would make the specific arrangements with the worksite. Upon completion of the worksite observation the CONFLICT DYNAMICS will get feedback from the client.

### **7. Documentation**


The following documentation is required for implementation of this procedure:

- Worksite management agreements (if applicable)
- Completed OHS checklists

### **8. Records**

The following records are required to be maintained by implementation of this procedure:


- Worksite management agreements (if applicable)
- Completed OHS checklists

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## ASSESSMENT POLICY AND PROCEDURE


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### Supporting documents:

- Agreements with external assessors and moderators (where applicable)
  - Assessor Contract
  - Moderator Contract
- Appeals and Disputes Policy
- Assessment Report
- Moderation Report
- Statement of Attainment
- Record of Certificates issued

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## **ASSESSMENT POLICY**

### **1. Purpose of the Policy**

This policy aims to establish an integrated and consistent approach to assessment practices to promote the quality of learning and covers the process of gathering evidence and making judgments about the learners' performance in relation to standards and qualifications.

Assessment is the process of collecting evidence of learners' work to measure and make judgments about the achievement or non-achievement of specified National Qualifications Framework (NQF) standards and/or qualifications. The purpose of assessment is to monitor and evaluate performance of learners. Assessment generally involves the following steps:

- Generating and collecting evidence of achievement,
- Evaluating this evidence against the outcomes,
- Recording the findings of this evaluation and using this information to assist the learner's development, and
- Reporting the assessment outcome to the learner
- Improve the process of learning.

### **2. Legal Basis and Supporting Documents**

This policy and procedure is based the following legal framework:


- SAQA Act no 58 of 1995
- ETQA Regulations R 1127
- SAQA: The NQF and Quality Assurance guide (S B A Isaacs: May 2000)
- SAQA: Guidelines for Integrated Assessment
- SAQA: Guidelines for the Assessment of NQF registered Unit Standards and Qualifications (SAQA, 2001)
- Criteria and guidelines for ETQA's (SAQA publication date: October 2001)

### **3. Assessment Policy Statement**

CONFLICT DYNAMICS are committed to a process of assessment for all learners who attend our programmes. The purpose of an assessment is to award the learner credit(s) towards a qualification or credit(s) against a registered SAQA unit standard.

Assessment, where applicable, will take place either on-site i.e. during the learner's normal workday through direct observation or off-site. Off-site assessment will involve the assessment of a learner's portfolio of evidence, or assignment or project or similar evidence produced by the learner for assessment purposes.

Assessors we use need to have the relevant assessor qualification / unit standard, be registered with the ETDP SETA and be registered as a constituent assessor with the relevant SETA ETQA. Assessments are conducted against registered, current unit standards and qualifications that lead to the attainment of credits and within the relevant teach-out period as specified by SAQA. Our assessment practices leading to the attainment of credits on SETA registered unit standards and/or qualifications comply with the SETA's ETQA requirements.

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## Supporting Documentation

The following documents support the implementation of this policy/procedure:

- Accreditation documents
- Assessor registration forms
- Certification policy
- Moderator Guidelines
- Alignment Matrix
- Assessment Guide
- Learner Portfolio of Evidence

## 4. Role and Responsibilities of Assessors


- Inform the learner about the qualification's or unit standard's requirements and thus become familiar with the qualification and/or unit standard(s)
- Familiarise him/herself with the assessment guide(s), tools / instruments and assessment process to be followed
- Support and guide the learner in the collection of evidence
- Help the learner plan for the assessment
- Inform the learner about the timing of the assessment
- Conduct the assessment
- Evaluate and judge the evidence provided
- Authenticate the evidence
- Make an assessment decision, i.e. '*competent*' or '*not yet competent*'
- Provide the learner with feedback
- Review the assessment process and by default the assessment guide, tools / instruments
- Provide input to the internal moderator regarding changes if necessary
- Complete relevant documentation and recording requirements
- Forward the results to the relevant individual in the organisation
- Be prepared to be moderated by an internal moderator when applicable
- Be prepared to be interviewed by an external moderator if necessary

## 5. Professional development of assessors

Assessors are required to keep abreast of assessment by reading suitable material either off the South African Qualifications Authority (SAQA) website or if the material is provided by the organisation's internal moderator. Where appropriate, and within budget, assessors will be sent on relevant workshops, conferences or seminars or similar when these are available.

## 6. Types of Assessment

Assessment is the structured process for gathering evidence and making judgment about an individual's performance in relation to registered national standards and qualifications. The judgment of an individual's performance against the outcomes of the standards serves the purpose of ascertaining whether the individual is competent or not to be awarded such standards and or qualifications.

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Competence is defined as the combination of practical, foundational and reflexive competence as defined or outlined in the registered unit standard and/or qualification. The assessment process in the context of registered standards and/or qualifications is based on criterion-referenced assessment.

To make the judgment on learner's competence the following forms of assessments form a critical component of our process:


- (a) **Formative assessment** – assessments that take place during the learning process. Formative assessments allows us to:
  - Diagnose the learner's strengths and weaknesses
  - Assist in the planning of future learning based on the outcome of the diagnosis
  - Provides feedback to the learner and the assessor on progress
  - Assists in making decisions on whether the learners are ready for the summative assessment
  - Is developmental in nature and does not serve the purpose of awarding credits or certificates.
- (b) **Summative Assessment** – assessments that take place usually at the end of the programme/ unit standard/ skills Programme/qualification etc, and serve the purpose of making judgment about the learner's competence for awarding credits. Summative assessment takes place when the assessor and learner agree the learner is ready for assessment. Where applicable assessment is integrated across specific outcomes of the unit standard.
- (c) **Recognition of Prior Learning** – a process of recognising knowledge and skills already attained by the learner for the purpose of granting access into the qualification/skills programme, (Or awarding credit against a registered unit standard/s or qualification) awarding credit/s during the learning process and or exit against a qualification/skills programme (awarding qualification/skills programme).
- (d) **Final Integrated Assessment** – this is only applicable at qualification level if we decide to offer full qualifications. "Integrated Assessment at qualification level is the assessment that focuses on the exit level outcomes of the qualification to ensure that learners can integrate concepts, ideas and actions across unit standards to achieve competence that matches the purpose of the qualification".

We follow the SAQA prescribed Principles of Good Assessment.

## 7. Principles of Good Assessment

Assessment is an integral part of the learning process and making judgments on learner's competence; therefore, the quality of assessment is critical in providing credible certification of competent learners. CONFLICT DYNAMICS acknowledges that the assessment results have a huge impact on personal, social and economic progression and mobility in the society.

The assessment principles and practices outlined are underpinned by the objectives of the National Qualifications Framework (NQF).

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The objectives of the NQF are to:

- Create an integrated national framework for learning achievements;
- Facilitate access to, and mobility and progression within, education, training and career paths;
- Enhance the quality of education and training;
- Accelerate the redress of past unfair discrimination in education, training and employment opportunities; and thereby
- Contribute to the full personal development of each learner and the social and economic development of the nation at large.

CONFLICT DYNAMICS follows the following principles that underpin these objectives are:

<b>Integration:</b>	To form part of a system of human resources development which provides for the establishment of a unifying approach to education and training.
<b>Relevance:</b>	To be and remain responsive to national development needs.
<b>Credibility:</b>	To have national and international value and acceptance.
<b>Coherence:</b>	To work within a consistent framework of principles and certification.
<b>Flexibility:</b>	To allow for multiple pathways to the same learning ends.
<b>Standards-based:</b>	To be expressed in terms of a nationally agreed framework and internationally accepted outcomes.
<b>Legitimacy:</b>	To provide for the participation of all national stakeholders in the planning and co-ordination of standards and qualifications.
<b>Access:</b>	To provide ease of entry to appropriate levels of education and training for all prospective learners in a manner that facilitates progression.
<b>Articulation:</b>	To provide for learners, on successful completion of accredited pre-requisites, movement between components of the delivery system.
<b>Progression:</b>	To ensure that the framework of qualifications permits individuals to move through the levels of national qualifications via different appropriate combinations of the components of the delivery system.
<b>Portability:</b>	To enable learners to transfer the credits of qualifications from one learning institution and/or employer to another.
<b>RPL:</b>	To, through assessment, give credit to learning which has already been acquired in different ways.
<b>Guidance for learners:</b>	To provide for the counselling of learners by specially trained individuals who meet nationally recognized standards for educators and trainers.

Our assessment practices and systems are measured against the following principles:

- **Fairness**
- **Validity**
- **Reliability**
- **Practicability**

**FAIRNESS** – an assessment should not disadvantage the learners in any way or form. An unfair assessment includes:

- Inequality of opportunities, resources and appropriate teaching and learning approaches in terms of acquisition of knowledge, understanding and skill.

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- Bias in respect of ethnicity, gender, age, social class and race in so far as that the assessment approaches, methods, instruments and materials do not take into account these difference. Assessors should be careful and respond objectively to the following common classic bias conditions often encountered during the assessment process: stereotyping, halo affect, Hawthorn effect etc.
- Lack of clarity in terms of what is being assessed.
- Comparison of learner's work with other learners, particularly in terms of diversity of learning styles, home language, values, gender, race and life experience.

### A fair assessment comprises of:

- **Transparency** – the learners are informed of the process, the evidence required and how the evidence will be judged against the set criteria.
- **A right to appeal** – we have a fair appeal's procedure, which is communicated to the learners during the learner preparation and briefing phase and the grounds on which the learners may appeal are clearly stated. Learners sign an acknowledgement of being informed of their rights to appeal.
- **Re-assessment opportunities** – the learners do have an opportunity to be re-assessed on areas which they were found not yet competent on.
- We provide the necessary support, mentoring and coaching prior to re-assessment taking place.
- Elimination of the unfair conditions mentioned above.

**VALIDITY** – the assessment must measure what it intends to measure, whether its knowledge, understanding, subject content, skills, information, behaviour etc. A valid assessment means that the procedures, methods, instruments and materials relate to the unit standard outcomes, assessment criteria and the range statements being assessed. The amount of evidence required from the learner must also be based or dictated by the above-mentioned criteria in order to make a valid judgment.

In order to achieve validity in the assessment, the Assessors must:

- State clearly what the outcome/s being assessed is/are,
- Use appropriate sources of evidence
- Use appropriate assessment methodology
- Select appropriate instruments of assessment that will measure the intended performance.

The assessment tools used are based on the specific outcomes, assessment criteria and range statements, essential embedded knowledge and critical cross field outcomes of the unit standard(s) as a base, to determine the kind and amount of evidence required from the learner.

**RELIABILITY** – in the assessment context is about consistency. Consistency refers to the same judgment being made in the same or similar contexts each time a particular assessment for specified stated intentions is administered.

To ensure consistency and reliability in the assessment process, the result must not be influenced nor be perceived to be influenced by:



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- Biasness of assessor in terms of learner's gender, ethnic origin, sexual orientation, religion, like/dislike, appearance etc.
- Different Assessors interpreting unit standards or qualifications inconsistently
- Different assessors applying different standards
- Assessor stress and fatigue
- Insufficient evidence gathered by the Assessor
- Assessor assumptions about the learner, based on previous good or bad performance.

To avoid inconsistencies in judgment, each time an assessment is conducted, the same or similar conditions prevail and the procedures, methods, instruments and practices are the same or similar. To ensure this, the Assessors should:

- Give clear, consistent and unambiguous instructions. This should be reflected in the assessment plan and the learner must sign to acknowledge that they understand what they will be assessed on and have been briefed on forms of evidence required and how that evidence will be judged.
- Be part of the assessment design and development process, meet to discuss various aspects of the assessment process and practice to ensure standardization of the process and eliminate different interpretations and applications on the same standards and qualifications within the same establishment.
- Be subject matter experts in their field


**PRACTICABILITY** – the assessment process must be cost effective and should take into consideration available financial resources, facilities, equipment and time. This component should form an integral part of the planning phase of the assessment process and alternatives must be explored without compromising the quality of assessment.

## 8. Assessment Methodologies and Tools

(a) To ensure a fair, valid, reliable and practicable assessment process, a variety of assessment methods and tools or instruments are used to collect quality evidence required to make the assessment judgment. It should be noted that the design of the tools and instruments has a direct impact on the forms of assessment methods to be used and the evidence to be collected, therefore an incorrect tool or instrument will result in an incorrect methodology being applied and will also impact on the type and form of evidence collected from the learner, which might make the entire assessment invalid. To avoid this, we:

- Ensure that the designer of the assessment tools has experience in designing outcomes-based assessment tools.
- Involve assessors and facilitators who will use the material in the development phase of the materials
- Ensure that the unit standard / qualification is fully 'unpacked' determine what forms of evidence the learner would be required to produce; what methods to apply; how the evidence will be judged and that there are no different interpretations of the SO's, AC's, CCFO and range statements amongst the Assessors and Internal Moderators.



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- (b) Have the instruments moderated internally by a registered constituent moderator before they are used to conduct assessment.
- (c) Ensure that the tools refer directly to the curriculum, assessment strategy, assessment guides for both the learners and the Assessors. These documents are used as a base on which the instruments are designed to ensure a link between the assessment practice and the overall curriculum.
- (d) There is a proper review mechanism in place for the assessment instruments and the accrediting body will be notified of such amendments.
- (e) Feedback from Assessors and learners on the tools is taken into consideration and incorporated in the review process.
- (f) Assessment instruments will provide space for learner and assessor signatures and dates for **authenticity** purposes.
- (g) This documentation will be made available to external verifiers conducting the site visits and to the accrediting body so that they can be endorsed prior to use by the Provider.

**CONFLICT DYNAMICS uses the following methodologies for assessment:**

In our programmes, our assessment methods comprise of observation, questioning and end product sampling. Learners complete a summative hard copy Portfolio of Evidence that is submitted for assessment and internal moderation.

We use a variety of the following assessment tools in our programmes. These are outlined below. None of these assessment tools can be used alone. We require at least three different methods of assessment to be used in order to declare a learner competent or not.

- **Assignments** –are mainly used for integrated assessment i.e. where many concepts are assessed in one activity. **Oral test or questioning**
- **Case studies**
- **Knowledge questionnaires, written tests or exams**
- **Role-plays** – note that while learners are role-playing, the Assessor collects evidence via observation and/or questioning.
- **Simulation** – This will only be done when it is impossible to gather naturally occurring evidence in the real workplace. These include dangerous situations e.g., where learners have to be assessed performing first aid, extinguishing fire, evacuation procedures, dealing with suspicious individuals etc. When simulation is used in the assessment context, observation checklists and questioning that relates to the simulated activity should be completed and signed to prove authenticity by both the learner and assessor and this is filed as evidence, particularly if this is used to make a competence judgment.
- **Observation checklist** – an observation checklist is used where a learner is observed performing a particular task. These checklists contain the specific outcomes, and assessment criteria against which performance will be judged; a section for comments and a section for an assessment decision to be made.

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## 9. Language in the Assessment Process

We consider language needs when designing our assessment instruments. Our policy is to use **English** to design the assessment tools and related documents. However, where necessary we will take the necessary action to **address language needs of learners** during delivery and assessment. This will be **at the cost of the client or learner**.

We are aware of the following legislation:

- Chapter 1, section 6 of the Constitution stipulates that: "the official languages of South Africa are Sepedi, Sesotho, siSwati, Tsivenda, Xitsonga, Afrikaans, English, isiNdebele, isiXhosa and isiZulu. Measures must be taken to elevate the status and advance the use of historically diminished status of indigenous languages. All languages must enjoy parity of esteem and must be treated equitably".
- Chapter 2 of the Bill of Rights, Section 29, also stipulates that, "everyone has the right to receive education in the official language or languages of their choice in public education institutions, taking into account equity, practicability and the need for redress".

It would be unfair to make an incorrect assessment judgment against the learner based on language as this is in total contradiction with the South African law. However, special arrangements will be made to ensure that the requirements of the qualification/unit standard regarding the language are not compromised.


## 10. Methods of Evidence collection

Evidence can be collected from learners in a variety of ways depending on the requirements of the unit standard(s) and as indicated in the assessment guide:

- **Direct evidence** can be obtained by observing the learner in his/her natural working environment
- **Indirect evidence** can be obtained about the learner from his/her colleague, from a reference letter, a testimonial, current job description, and so on.
- **Historical evidence** can be obtained from the learner and can be in the form of certificates, previous employee recommendations, letters of reference, and so on.

## 11. Mechanisms for appeals and grievances

All learners have the right to appeal and/or to raise a grievance. In the event of an appeal we will follow our Appeals Policy and Procedure. Assessors also have the right to raise a grievance against a learner. In this case, we follow our grievance policy and procedure.

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## **12. Fees and cost structure**

All initial assessments conducted by the organisation are at no cost to the learner / client. The learner has **two attempts** to prove competency. Any additional attempts (more than two) will be for the cost of the learner or client.

## **13. Confidentiality**

Assessors and any other person involved with the assessment of learners in the organisation shall by virtue of their employment have access to confidential information. The Assessor shall not divulge any matter of information acquired and related to the learner to any unauthorised person, company or institution and shall not use such knowledge or information outside the assessment and scope of his or her employment with the organisation.

Assessors and any other person involved with the assessment process will be required to strictly maintain the confidentiality of all matters, or information pertaining to any learners who may have been associated with the assessment process.

To achieve the highest ethical standards of the assessment process has an implied commitment and responsibility at all levels to ensure that the requirements of the Assessment process are complied with throughout the organisation.


## **14. Internal moderation of assessments**

Moderation of at least **25%** of all assessments done will be done by the internal moderator. This is done to validate the assessment decisions made.

However, if the need arises, more moderation will occur. Moderation will increase when an assessor is new to the assessment process, when an assessment of a learner with special and/or particular needs has occurred and if assessment of recognition of prior learning has occurred. If the ETQA decides that more moderation needs to be done then this policy will be suitably adjusted.

## **15. Evaluation and Quality Control**

The learners and assessors complete an **assessment review form** which is taken into account at our quality review meetings. Any suggestions or alternations will be considered at these meeting and the relevant changes or improvements effected.

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## ASSESSMENT PROCEDURE

### 1. Purpose

The purpose of this procedure is to detail requirements for assessment and certification.

### 2. Scope

The scope of the procedure includes the following activities:

- Assessment
- Certification

### 3. References

SAQA Regulations no R1127 of 1998  
 Further Education and Training Act, Act 98 of 1998  
 National Education Policy Act, Act 27 of 1998

### 4. Definitions

**Assessment:** A process of determining the competence of a learner relative to the unit standards set.

**Assessor:** A registered competent individual able to determine the competence of a learner relative to the unit standards.

### 5. Responsibilities

The responsibility for implementing the requirements of this procedure rests with the *Assessors*.


### 6. Procedure

#### (a) Planning

- The assessor plans for the assessment process, i.e. taking into consideration whether the programme was completed face-to-face only or in a blended manner, i.e. face-to-face and e learning.
- Relevant documentation is prepared.
- Formative e-learning reports for relevant learners are obtained.
- Learners are prepared for the assessment process.

#### (b) Conduct

- Assessment is carried out during the learning programme (formative assessment).
- A summative assessment is completed using a Portfolio of Evidence that includes workplace-based application. Learners will receive an **assessment feedback report** within 60 days of completing the assessment. Where possible integrated assessment is completed to ensure learners are able to apply the theory and skills they have learnt through the workplace application.

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- Assessors are suitably qualified to assess learning.
- A range of assessment tools are used.
- Learners have the right to appeal their assessment and where required a new assessor will be appointed to do the re-assessment.

#### **(c) Certification**

- Competent learners will receive a Certificate of Competence.
- Not Yet Competent learners are given an additional two attempts to become competent.
- When requested, learners will be given a Certificate of Attendance.

#### **(d) Review of assessment**

- The assessment process is reviewed after each assessment is completed.
- Assessors and learners complete an assessment review form.
- Relevant changes or modifications are completed.

### **7. Documentation**


The following documentation is required for implementation of this procedure:

- Agreements with external assessors (where applicable)
- A feedback report
- A re-assessment report if needed
- Assessment forms

### **8. Records**

The following records are required to be maintained by implementation of this procedure:

- Learner details as per ETQA and SAQA requirements
- Assessments and other assessment related document to be kept for a minimum of three years

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## MODERATION POLICY AND PROCEDURE


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**Approved for issue:**

<b>Name</b>	<b>Title</b>	<b>Signature</b>	<b>Date</b>
Felicity Steadman	Director	<i>FJ Steadman</i>	31 March 2011

**Supporting documents:**

- Moderation Plan
- Moderator's Report for moderation of POE's and other summative assessments (excl. observations)
- Principles of Assessment
- Non-conformance report
- Moderation Review

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## **MODERATION POLICY**

### **Purpose of Moderation**

The South African Qualifications Authority (SAQA) requires all organisations providing internal training and Training Providers who assess for the National Qualifications Framework to operate a moderation system.

The term moderation includes any activity that ensures consistency of Assessor judgements and reduces variations of interpretation of a unit standard and/or unit standards that form part of a qualification. Moderation provides opportunities for Assessors to build confidence in their assessment skills. It provides a chance to check that what they are doing is in line with all other Assessors and gives opportunities to gather new ideas, different approaches, and to work through issues about standards and assessment processes.

CONFLICT DYNAMICS has an internal moderation system in place. This is a structured system and ensures that all assessments undertaken are in accordance with:

- the quality requirements of their organisation
- the requirements of the applicable accrediting body
- the requirements of SAQA


The Moderation System forms a part of CONFLICT DYNAMIC'S Quality Management System that is used to monitor and evaluate assessments carried out by registered Assessors.

At CONFLICT DYNAMICS Internal Moderators are required to support, guide and motivate assessors, to ensure that the assessment processes within the organisation is fair, valid and consistent.

### **Function of the Internal Moderator**

The function of the internal moderator will be to:

- Verify assessments are fair, valid, reliable, consistent and practical.
- Evaluate assessment design, assessment process, assessment of outcomes, including documenting proof of individual learner's competency status.
- Evaluate the performance of registered assessors.
- Identify and provide evidence for the de-registration of registered constituent assessors.
- Identify areas of improvements within the assessment system.
- Identify the need to re-design assessments, assessment tools/instruments if required.
- Identify the need to re-design moderation, moderation systems, tools if required.
- Provide an appeals procedure for dissatisfied learners.
- Provide feedback to the accrediting body on Unit Standards and Qualifications.
- Provide support and guidance to assessors.

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## The Moderation Process

Internal moderation activities are conducted according to SETA requirements by Constituent Registered Moderators. Internal moderation will be conducted after every assessment process and the relevant moderation reports will be submitted with the upload of learner achievements to the SETA.

Internal moderation covers:

- **Pre-Assessment Moderation of:**
  - Assessment Tools/Instruments
  - Assessment Design and Methodology (Assessment System)
  - Assessment Records
- The Moderator will also complete the Moderation Plan at this stage and other relevant pre-assessment moderation documents as specified in the Moderator Guide
- **Post-Assessment Moderation of:**
  - Assessment Records
  - Assessment Decisions
  - Reporting and Feedback Mechanisms

Moderation of the **Assessment System** includes:


- Accreditation status
- Implementation of the QMS
- Learning material and relevance to the unit standard and qualification
- The assessment tools/instruments used for formative and summative assessments
- Assessor constituent status
- Design of the assessment activities and the process to be followed
- Assessment guides

Moderation of **Assessment Guides and the Learner PoE (Assessment Tools)**

When moderating the summative assessment tool, which is the learner's Portfolio of Evidence, the internal moderator moderates the following:

- **The Assessment Guide**
  - Design of assessment activities and the process that will be followed
  - The assessment plan
  - The assessment (formative, summative, applied, reflexive, integrated) is fit for purpose, i.e. it is focussed on the requirements laid down by the standard
  - Consistency, reliability, validity, appropriateness and practicability of the assessment (all assessment principles)
  - Assessment tools (formative, summative, integrated, applied competence, workplace-based assessment, reflexive competence)
- **Portfolio of Evidence (PoE)** indicating the following:
  - The work being assessed is the learner's own work – authenticity
  - The evidence assessed reflects the current levels of the learner's competence
  - Sufficiency, currency, reliability and validity of evidence



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- Applied competence assessment / workplace experiential learning / workplace evidence
- Progress, Assessor and Moderator reports

The relevant Moderation reports and documents, are completed, submitted to the SETA and made available for external moderation.

### **Moderation of the Assessment Process**

Moderation of the assessment process includes:

- Ensuring the assessment process is fair, unbiased and doesn't prevent barriers to the learners
- Ensuring assessment is conducted in line with policies
- The ability and competency of the assessor
- The learner's readiness for assessment
- Assessments conducted by various assessors to check reliability and consistency of the assessment practices (including a combination of competent and not yet competent results)
- Feedback provided to the assessors

The moderation process will be reviewed a minimum of once a year.

### **Tools used for Moderation**


Moderation checklists are used to conduct internal moderation. Templates are contained in the Moderator's Guide.

### **Sample Percentage of Moderation**

It is not feasible to moderate all portfolios of evidence. CONFLICT DYNAMICS has adopted a system which will moderate **25% of assessments**.

### **Roles & Responsibilities of the Internal Moderator**

- Carry out the moderation of assessments in accordance with ETQA requirements.
- Consider assessment instruments and planned assessment procedures submitted for pre-assessment moderation and post-assessment moderation.
- Consider submitted assessment evidence and supporting documentation to determine the validity of assessment decisions.
- When meeting with assessors, share examples of their expertise and learn more about assessment and moderation. This process may not always be comfortable but can build strong teams and raise the level of Assessor expertise.
- Take responsibility for the quality of their meetings.
- Establish and maintain mutual trust and goodwill among assessors.
- Having the opportunity to meet and work together towards increasingly comparable interpretations of the unit standards.
- Critiquing each other's work honestly.

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- Improving their assessment and moderation skills by working together and connecting outside of any meetings when necessary.
- Enhance the credibility of the moderation system everyone shares.
- Works with assessors to ensure the quality and consistency of assessment
- Monitors how the organisation's assessors carry out assessment(s).
- Ensure that their own verification practice meets the requirements.
- Make sure that assessment and moderation records and other documents are 'fit for purpose' and meet the ETQA requirements.
- Keeping internal moderation records.
- Ensuring that requests for certificates are based on assessments of consistent quality.
- Verifying and checking assessment decisions for Validity, Authenticity, Currency and Sufficiency
- Sampling assessments
- Ensuring learners have access to fair assessment without any discrimination
- Internal moderators should be familiar with appeals and disputes procedures within the organisation

### **Evidence and documentation required from Assessors**

Each Assessor will be required to submit the following samples of assessment undertaken during the period against the selected unit standards:

- all evidence and documentation for one example of an assessment for which competency was granted at the first assessment.
- all evidence and documentation for one example of an assessment for which competency was granted at the first re-assessment.
- all evidence and documentation for at least one example of an assessment which resulted in a *not yet competent* decision being made.

Any Assessor comments appended to, or written on, the evidence should be retained and submitted for consideration in the moderation process. This information can often clarify the basis for the Assessor's decision.

### **External Moderation**

External moderation is a requirement to exit learners. The relevant ETQA conducts external moderation. CONFLICT DYNAMICS will make relevant evidence available for external moderation to take place, so that learners can be successfully exited.

### **External Site Visits**

CONFLICT DYNAMICS will ensure all relevant evidence is available for the external site visits to take place which are conducted by the relevant SETA's ETQA.

### **Records and Reporting**

Records of the moderation will be kept until the completion of that moderation round and will be available for auditing by the SETA for that period.

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Following each moderation activity undertaken, a written Moderation Report will be provided to the ETQA.

Following an external audit, it is assumed that a written Report will be submitted to the ETQA division of the accrediting body. The Report will be used to evaluate the effectiveness of the moderation system and to identify changes required to enhance that effectiveness.

### Quality Assurance of Learner Achievements (QALA)

#### 1. Purpose and Scope

CONFLICT DYNAMICS will follow the Services SETA QALA process to ensure the quality assurance of learner achievements. The process below outlines the SABPP processes that lead to certification of those learners who have been deemed Competent against NQF registered Qualifications and/or Unit Standards.

#### 2. Process

Education and Training Provider achieves Provisional Accreditation Status for the Learning Programme and SABPP issues the Provider with the MIS disc and the Corporate Identity disc.



The Education and Training Provider conducts training, assessments and Internal Moderation. Reports Learner Achievements to SABPP through the MIS disc or the SABPP Excel Spreadsheet, and submit Moderation reports to SABPP



SABPP logs the achievements and acknowledges receipt thereof. SABPP Requests additional info if required and provides feedback to the Provider on the internal moderation




SABPP conducts Monitoring, External Moderation and FSA (for qualifications pegged at NQF level 4 and above)



SABPP conducts Verification



SABPP Certificates those learners who have been deemed 'Competent'

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## **MODERATION PROCEDURE**

### **1. Purpose**

This document sets out the procedure for internal moderation of assessments.

### **2. Scope**

The scope of the procedure includes the following activities:

- Moderation of assessments
- How assessments of learning programmes are monitored, moderated and documented

### **3. References**

SAQA Regulations no R1127 of 1998  
 Further Education and Training Act, Act 98 of 1998  
 National Education Policy Act, Act 27 of 1998

### **4. Definitions**

**Internal Moderation** - process to provide learners with fair and reliable assessments through effective support and guidance including the evaluation of assessments and feedback

**Internal Moderators** - monitor the assessment of learning programmes carried out by Assessors

**Assessors** - carry out assessments on learning programmes


### **5. Responsibilities**

The responsibility for implementing the requirements of this procedure rests with the Director and/or his/her representative and the internal moderator.

### **6. Procedure**

#### **(a) Pre-Assessment Moderation**

- Moderator to conduct Pre-Assessment Moderation on:
  - Assessment Tools/Instruments
  - Assessment Design and Methodology (Assessment System)
  - Assessment Records
- Moderator to complete the Moderation Plan which details:
  - Unit standard(s) to be moderated
  - List of learners to be moderated (mixture of those who are competent and those who are not yet competent)
  - Scope of Moderation
  - Details of the Assessor and Moderator
  - Details of the Provider

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### **(b) Moderation**

- Moderator to conduct direct and/or indirect moderation on:
  - The Assessment System
  - The Assessment Guide and Learner Portfolio of Evidence
  - The Assessment Process
  - The Assessment Records
- Moderator to complete various documentation / reports as specified in the Moderator Guide and submit to SABPP

### **(c) Post-Assessment Moderation**

- Moderator to conduct post-assessment moderation on:
  - Assessment Records
  - Assessment Decisions
  - Reporting and Feedback Mechanisms
- Moderator to provide feedback to the Assessor / Assessment Agency and where relevant provide the SABPP with feedback of the unit standard(s).
- In the event of non-conformances, the moderator will complete the Non-Conformance Report.
- The moderator will review the moderation system and discuss the outcomes with The *Director*.
- The moderation system will be reviewed at least twice a year.

### **(d) External Moderation**

- External moderation visits will be arranged by the SABPP. The relevant fee structure of the SABPP will be followed to enable them to do external moderation.

## **7. Documentation**


The following documentation is required for implementation of this procedure:

- Moderator Guide containing all relevant moderation forms

## **8. Records**

The following records are required to be maintained by implementation of this procedure:

- Learner details as per ETQA and SAQA requirements
- Moderations and other moderation related document to be kept for a minimum of three years
- External Moderation reports from the SETA ETQA
- Non-conformance report

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## APPEALS POLICY AND PROCEDURE


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<b>Name</b>	<b>Title</b>	<b>Signature</b>	<b>Date</b>
Felicity Steadman	Director	<i>FJ Steadman</i>	31 March 2011

### Supporting documents:

- Appeals form
- Records of appeals and disputes

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## APPEALS POLICY

At CONFLICT DYNAMICS we aim to deal openly, fairly and effectively with learner appeals, and to offer an appropriate solution to any learner who is adversely affected by any error on our part.


There needs to be valid grounds for an appeal. Appeals can be brought against:

- Unfair assessments
- Invalid assessments
- The assessor's judgement if considered biased
- Inadequate expertise and experience of the assessor if it influenced the assessment
- Unethical practices

We can only consider an appeal from a learner or group of learners directly affected by the assessment concerned. Appeals which are made anonymously, or by anyone other than the learner(s) directly concerned will not be considered.

CONFLICT DYNAMICS will not penalise a learner in any way for making an appeal. Nothing will appear on your records to indicate that you have made an appeal in the past.

If the appeals process cannot be resolved internally, the learner can appeal to the SABPP.

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## **APPEALS PROCEDURE**

### **1. Purpose**

The purpose of this procedure is to detail requirements for the appeals and disputes procedure.

### **2. Scope**

The scope of the procedure includes the following activities:

- Appeals and disputes

### **3. References**

SAQA Regulations no R1127 of 1998  
 Further Education and Training Act, Act 98 of 1998  
 National Education Policy Act, Act 27 of 1998

### **4. Definitions**

None

### **5. Responsibilities**

The responsibility for implementing the requirements of this procedure rests with the Director and/or his/her representative.


### **6. Procedure**

As a learner, you have the right of appeal against your assessor's decision.

#### **Step 1**

1. Where a learner disagrees with the assessment given s/he must explain the reasons for this to the assessor concerned as soon as possible. In most circumstances this will be immediately after receiving the assessment decision.
2. The assessor should consider the candidate's explanation and provide a response through:
  - A clear explanation or a repeat explanation of the assessment decision following a re-evaluation of the evidence
  - Completion of section 1 of the Appeal Form
  - Amendment of the candidate's assessment record, if appropriate
3. This should take place within 5 working days.
4. If the candidate agrees with the outcome at this stage then the appeal will not proceed further.
5. If the candidate is not happy with the outcome then the Appeal will proceed to Step Two.



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## Step 2

1. The assessor forwards, to the Internal Moderator for the relevant Unit within 5 working days of Step one:
  - The original assessment record and candidate evidence, where appropriate
  - The Appeal Form with section 1 completed
2. The Internal Moderator re-considers the assessment decision, normally involving an evaluation of:
  - The candidate's evidence and associated records
  - The assessor's rationale for the decision
  - The opinion of another assessor
  - The opinion of the candidate
3. The Internal Moderator should complete Section 2 of the Appeal Form and provide the candidate with the re-considered decision within 14 working days of receiving the Appeal.
4. Where the candidate remains unhappy with the reconsidered assessment decision, the Appeal must proceed to the Investigatory Panel (Step Three).

## Step 3

1. If no resolution has been reached, the Step 2 Internal Moderator forwards the details to the *Director*. These should include the:
  - Appeal Form
  - Assessment records
  - Any written comments from the Internal Moderator (e.g. background details)
2. The *Director* will then, within 10 working days, convene a panel comprising:
  - The *Director*
  - The Stage Two Internal Moderator
  - Another Internal Moderator from the same programme area
3. The panel will evaluate the situation and complete Section 3 of the Appeal Form and the candidate will be informed of its decision within 5 working days.
4. The decision of the *Director* is final.

## 7. Documentation


The following documentation is required for implementation of this procedure:

- Appeals form
- Records of any appeals and disputes

## 8. Records


The following records are required to be maintained by implementation of this procedure:

- Appeals form
- Records of any appeals and disputes

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## Appeal Form

Name of learner	
Name of Assessor	
Date	
Brief details of Unit Standard and Specific Outcomes	
<b>Step One</b>	
Learner's reasons for disagreeing with assessment decision	
The Assessor's rationale for the decision	
Learner's signature	
Date	
<b>Step Two</b>	
Internal Moderator's re-considered decision and rationale	
Internal Moderator's signature	
Date	
<b>Step 3</b>	
Decision and rationale of the Investigatory Panel and final decision of the Director	
Signature of the Director	
Learner's signature	<b>The above decisions have been explained to me and I accept the assessment decision.</b>
Date	

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## COMPLAINTS POLICY AND PROCEDURE


<b>Document Reference:</b>	<b>CD 16</b>
<b>Revision Status:</b>	<b>8</b>
<b>Date of Issue:</b>	<b>31 March 2011</b>

**Approved for issue:**

<b>Name</b>	<b>Title</b>	<b>Signature</b>	<b>Date</b>
Felicity Steadman	Director	<i>FJ Steadman</i>	31 March 2011

**Supporting documents:**

- Complaints form
- Records of complaints
- Compliments

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## **COMPLAINTS POLICY**


At CONFLICT DYNAMICS, we aim to deal openly, fairly and effectively with any comment or complaint about our services, and to offer an appropriate solution to anyone who is adversely affected by a service which fails to meet our standards.

We constantly seek to improve all our services. We meet regularly to monitor the complaints and comments we receive, and the effectiveness of the procedures in addressing them.

The procedure can be used to complain about any service CONFLICT DYNAMICS provides.

The procedure may be used by learners, prospective learners and others. There are separate procedures for dealing with learning or disciplinary offences; for informing CONFLICT DYNAMICS of mitigating circumstances in relation to assessments; for appealing against the outcome of an assessment; and for making disclosures in the public interest.

The complaints procedure cannot be used for any of these purposes, although an appeal may follow a successful complaint. Complaints about the behaviour of learners are dealt with through the disciplinary procedures.

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## **COMPLAINTS PROCEDURE**

### **1. Purpose**

The purpose of this procedure is to detail requirements for the complaints procedure.

### **2. Scope**

The scope of the procedure includes the following activity:

- Complaints

### **3. References**

SAQA Regulations no R1127 of 1998  
 Further Education and Training Act, Act 98 of 1998  
 National Education Policy Act, Act 27 of 1998

### **4. Definitions**

None

### **5. Responsibilities**

The responsibility for implementing the requirements of this procedure rests with the Director and/or his/her representative.

### **6. Procedure**


#### **Making an informal complaint**

Personal and specific redress on a particular issue is classed as a complaint. The first stage in the complaints procedure is informal. Wherever possible, the learners should try to resolve the complaint at the point it arose, with the members of staff concerned. At any meeting with staff as you pursue your complaint, you can bring along a friend or someone else to help you put your case.

#### **Making a formal complaint: the first stage**

Complaints that cannot be solved informally need to be solved formally. The learner is required to provide in detail in writing as soon as possible after the event the issue about which he or she is concerned about, however, this should be done within six weeks. If this is delayed for longer, the organisation cannot investigate the complaint properly. The following information is required when writing about a complaint:

- name
- contact address (and preferably telephone and/or cellphone number and e-mail address)
- name of learning programme
- the date on which the problem arose
- whether anyone else was affected, or saw what happened
- the response you would like from the organisation

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Anonymous complaints cannot be dealt with as the organisation would not be able to provide a personal response. However if a sensitive issue needs to be raised the learner is required to approach the Director for assistance. The organisation will ensure that the learner's identity is not disclosed or implied while the complaint is being investigated without first informing the learner. A record of the complaint will be kept on the learner's file for a period of three years, but will not be held against the learner in anyway.

Complaints should be addressed to the administrative person in the organisation. A response will be given to the learner within five days to let him or her know that the complaint is being investigated. The organisation will ensure that the person investigating has no direct involvement in the issue being complained about.

If at any time during this first stage, or later, the learner would like to try to resolve his or her complaint informally, he or she can do this by contacting the person investigating the complaint.

The organisation will aim to conclude their investigations and respond to the learner within twenty working days of receiving the complaint. If the organisation is not able to do so, they will let the learner know how much longer it will take. The organisation's response will set out how they have investigated the complaint, the evidence used, the conclusion reached, and, if appropriate, the steps the organisation intends taking to put matters right. The organisation may not be able to give the precise redress asked for, but the learner will have an opportunity of saying whether or not he or she is satisfied with what has been proposed.

### **Formal complaint: second stage**

If you are not satisfied with the organisation's response and want to pursue matters further, the learner should write to the Director within ten working days, setting out why he or she is dissatisfied. The Director will consult with the member of staff who undertook the earlier investigation and other staff as appropriate, and respond to the learner in writing within fifteen working days.


### **Formal complaint: final stage**

If, on receiving the response from the Director, the learner believes that:

- not all the evidence has been considered in reaching a judgement;
- the decision received is unfair or unlawful; or
- despite the complaint being upheld, they have still been disadvantaged;

The learners can appeal in writing to the SETA ETQA for his or her case to be reconsidered on any of these grounds.

If the SETA ETQA does not agree with the basis of the appeal, the SETA should write to the learner explaining why.

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## 7. Documentation

The following documentation is required for implementation of this procedure:

- Complaints form
- Records of any complaints


## 8. Records

The following records are required to be maintained by implementation of this procedure:

- Complaints form
- Records of any complaints

## Complaints Form

<b>Date</b>	
<b>Name and Surname</b>	
<b>Contact Address</b>	
<b>Telephone Number</b>	
<b>Cellphone Number</b>	
<b>E-mail address</b>	
<b>Name of learning programme</b>	
<b>Date when the problem or incident occurred</b>	
<b>Details of the problem or incident about which you wish to complaint</b>	
<b>Was anyone else affected, or witness the incident? If so, who? Please give as much detail as possible.</b>	
<b>What would you like the company to do?</b>	
<b>Signature</b>	

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## **DISCIPLINARY POLICY AND PROCEDURE FOR STAFF**

<b>Document Reference:</b>	<b>CD 17</b>
<b>Revision Status:</b>	<b>8</b>
<b>Date of Issue:</b>	<b>31 March 2011</b>


**Approved for issue:**

<b>Name</b>	<b>Title</b>	<b>Signature</b>	<b>Date</b>
Felicity Steadman	Director	<i>FJ Steadman</i>	31 March 2011

### **Supporting documents:**

- Form 1. Written Warning
- Form 2. Final Written Warning
- Form 3. Notification of Disciplinary Hearing
- Form 4. Findings of Disciplinary Hearing
- Appendix A: Maximum Penalty For Common Offences List



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## **DISCIPLINARY POLICY FOR STAFF**

### **1. INTRODUCTION**

It is essential that all employees maintain discipline in order for Company to achieve its objectives and to promote sound employment relationships.

*It is the culture of the Company to encourage self-discipline amongst employees, based on guiding and coaching rather than imposed discipline, which is associated with rigid control and punishment.*

It is however, accepted that not all employees may exercise self-discipline in the workplace. Accordingly, Management has adopted this disciplinary procedure whose intention is to ensure fair and equitable standards of discipline throughout the Company by correcting transgressions of the organisation's rules. The aim of discipline is to correct employees to improve their behaviour and not to punish them.

### **2. THE BASIS FOR DISCIPLINE**

The code of conduct, operational standards including standing job instructions, conditions of employment and any other applicable rule, *will form the basis on which CONFLICT DYNAMICS will apply discipline.*


### **3. OBJECTIVES**

*The objectives of the disciplinary procedure are to:*

- Make employees aware of the consequences of transgressing the Company's code of conduct
- Initiate corrective action where work performance is unsatisfactory or the behaviour/conduct of an employee is unacceptable
- Ensure consistent, equitable, and fair treatment of all employees and to avoid arbitrary actions against employees
- Provide an opportunity for the offending employee to state his/her case and to enlist any support needed
- Ensure that all circumstances relating to a transgression have been fully and objectively investigated/considered before any action can be contemplated

### **4. PRINCIPLES UNDERLYING DISCIPLINE**

- The purpose of discipline is to provide a means for employees *to know and understand what standards are required of them.*
- The function of discipline is to ensure that employees contribute effectively and efficiently to the goals of the Company.
- An employee's performance and behaviour should be corrected in the normal course of *manager-employee* relationship and only when attempts to achieve this have failed, or where the seriousness of the transgression warrants it, can formal disciplinary action be considered. The approach to discipline should be corrective rather than punitive, hence any disciplinary action should be the *minimum to prevent future recurrence of the transgression committed.*
- It is the intention of the Company to *seek to correct employee's behaviour through a system of graduated disciplinary measures* like counselling and

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warnings rather than dismissing in the first instance. Dismissal should *be reserved only for cases of serious misconduct or repeated transgressions*.

- *Discipline should be applied consistently by Management.*
- Although self-discipline is normally encouraged amongst employees, it is the responsibility of Management to implement and maintain discipline and the final authority regarding discipline rests with Management.
- *Communication of conditions of employment, rules of conduct and performance standards is essential before applying disciplinary action.* Management accepts the responsibility that any changes to conditions of employment or Company standards will be communicated to all employees before implementation.
- Disciplinary action should only be taken in cases where *sufficient evidence* has been established that a transgression has been committed.
- The existing disciplinary record of an employee must only be taken into consideration after he/she has been found guilty of a transgression. The disciplinary action should be *related* to the transgression.
- An employee is entitled to a *fair* and *unbiased* investigation and disciplinary hearing.

**The Company Disciplinary Code and Procedure** provides for the following disciplinary process with appropriate disciplinary action. The actions can be issued independently without having to invoke the preceding disciplinary action.

These are as follows:

- Informal Verbal Reprimand or Warning
- Formal Written Warning
- Final Written Warning
- Dismissal with notice
- Summary Dismissal (without notice)

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## CONFLICT DYNAMICS

### **FORM 1: Written Warning**

**NAME OF DIRECTOR:** \_\_\_\_\_

**NAME OF EMPLOYEE:** \_\_\_\_\_

**NATURE OF OFFENCE:** \_\_\_\_\_

**DATE:** \_\_\_\_\_

This \_\_\_\_\_ serves as a \_\_\_\_\_ first/second/third \_\_\_\_\_ warning for \_\_\_\_\_

This warning will remain valid for \_\_\_\_\_ months.

**COMMENTS BY DIRECTOR:**

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**COMMENTS BY EMPLOYEE:**

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The contents of this warning had been explained to me in a manner which I have understood.

.....

**SIGNED: EMPLOYEE OR WITNESS**

.....

**SIGNED: DIRECTOR**

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## CONFLICT DYNAMICS

### **FORM 2: Final Written Warning**

**NAME OF DIRECTOR:** \_\_\_\_\_

**NAME OF EMPLOYEE:** \_\_\_\_\_

**NATURE OF OFFENCE:** \_\_\_\_\_

**DATE:** \_\_\_\_\_

This        serves        as        a        FINAL        written        warning        for

This warning will remain valid for 12 months.

**COMMENTS BY DIRECTOR:**

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**COMMENTS BY EMPLOYEE:**

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The contents and implications of this warning had been explained to me in a manner which I have understood.

.....

**SIGNED: EMPLOYEE OR WITNESS**

.....

**SIGNED: MANAGER**

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## CONFLICT DYNAMICS

### **FORM 3: Notification of Disciplinary Hearing**

**NAME OF EMPLOYEE:**

\_\_\_\_\_

**CHARGE(S):**

\_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

**Date on which this notification is served:** .....

This serves to inform you that a disciplinary hearing will be taking place on

\_\_\_\_\_ (date) at  
 \_\_\_\_\_ (time)

in \_\_\_\_\_ (venue).

**Please note that you have the following rights during the hearing:**

- You are entitled to a representative of your choice from within the workplace, which could be another learner or, if you belong to a representative trade union, a trade union representative.
- You have the right to question or cross-examine any witnesses for the facilitator and the right to bring your own witnesses and/or other evidence.
- Should you require an interpreter, please inform the training manager at least 24h before the hearing.


The contents of this notification of a disciplinary hearing had been explained to me in a manner which I have understood.

.....

**SIGNED: EMPLOYEE OR WITNESS**

.....

**SIGNED: DIRECTOR**

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## DISCIPLINARY POLICY AND PROCEDURE FOR LEARNERS


<b>Document Reference:</b>	<b>CD 18</b>
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<b>Date of Issue:</b>	<b>31 March 2011</b>

**Approved for issue:**

<b>Name</b>	<b>Title</b>	<b>Signature</b>	<b>Date</b>
Felicity Steadman	Director	<i>FJ Steadman</i>	31 March 2011

**Supporting documents:**

- Appeals policy and procedure form

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## **DISCIPLINARY POLICY FOR LEARNERS**

### **INTRODUCTION**

It is essential that all learners maintain discipline during training programmes in order for effective training to take place.

*It is the culture of the Company to encourage self-discipline amongst learners, based on guiding and coaching rather than imposed discipline, which is associated with rigid control and punishment.*

It is however, accepted that not all learners may exercise self-discipline in the workplace. Accordingly, Management has adopted this disciplinary procedure whose intention is to ensure fair and equitable standards of discipline during training programmes by correcting transgressions of the organisation's rules. The aim of discipline is to correct learners to improve their behaviour and not to punish them.


### **Applicable sanctions**

Due to the short duration of our training programmes, it is therefore necessary to provide the following sanctions for unacceptable conduct by learners.

- First Verbal warning
- Second verbal warning and
- Dismissal from the training programme

### **Appeal**

Any dismissed learner may appeal by referring the matter to the relevant employer who would then raise the problem with CONFLICT DYNAMICS.

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## REPORTING POLICY AND PROCEDURE

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<b>Name</b>	<b>Title</b>	<b>Signature</b>	<b>Date</b>
Felicity Steadman	Director	<i>FJ Steadman</i>	31 March 2011

**Supporting documents:**

- Learner Database



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## REPORTING POLICY

CONFLICT DYNAMICS will implement a system for maintaining and updating detailed information on all learners passing through the organisation. The system will serve the needs of learners and will also be compatible with reporting requirements of the relevant ETQA and therefore ultimately contribute to the maintenance of the SAQA National Learners' Records Database.

The system will include the following information as a minimum:

- a. Name of the Learner
- b. Unique Learner number or reference
- c. Contact details
- d. Demographics, i.e. age, gender, location, etc.
- e. Education and training background and experience, e.g. prior credits or qualifications
- f. Special learning needs (if any), e.g. disabilities or learning difficulties
- g. Additional learning needs (if any), e.g. further experience or new technology
- h. Motivation for entering a learning programme or programmes
- i. Programme or programmes for which the learner is registered
- j. Resource factors, e.g. place and date of learning, equipment and materials used
- k. Comprehensive assessment records
- l. Standard and qualifications achieved

We will ensure that learner information is kept strictly confidential, except for reporting to authorised bodies such as the ETQA or SAQA, or where the learners may wish information to be divulged to outside parties such as potential employers or sponsors.

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## **REPORTING PROCEDURE**

### **1. Purpose**

The purpose of this procedure is to detail requirements for reporting to the SETA.

### **2. Scope**

The scope of the procedure includes the following activity:

- Reporting to SETA

### **3. References**

SAQA Regulations no R1127 of 1998  
 Further Education and Training Act, Act 98 of 1998  
 National Education Policy Act, Act 27 of 1998

### **4. Definitions**

None

### **5. Responsibilities**

The responsibility for implementing the requirements of this procedure rests with the *Director* or his/her delegate.

### **6. Procedure**

#### **Reporting to SETA**

- (a) Obtain the relevant learner details from the client or the learner.
- (b) Update learner database with the relevant data.
- (c) Generate reports as and when required.
- (d) Ensure that all information is kept confidential at all times.

### **7. Documentation**


The following documentation is required for implementation of this procedure:

- Data capture forms.
- Reports sent to SETA.

### **8. Records**

The following records are required to be maintained by implementation of this procedure:

- Learner Database records.
- Reports sent to SETA.

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## DOCUMENT AND RECORD MANAGEMENT POLICY AND PROCEDURE


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Felicity Steadman	Director	<i>FJ Steadman</i>	31 March 2011

### Supporting documents:

- Management System Records
- Learner records
- Staff records
- SAQA
- General correspondence
- Faxes
- Registered letters

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## **DOCUMENT AND RECORD MANAGEMENT POLICY**

CONFLICT DYNAMICS will manage all the documents and records that relate to the requirements of the Quality Management System including, but not limited to the following:

- a. Learner records
- b. Staff records
- c. Management system records
- d. Department of education records
- e. ETQA records
- f. SAQA records
- g. Registered letters
- h. General correspondence that is stored electronically

Document and Record Management activities will ensure the following:

- Appropriate documents are reviewed and approved by authorised personnel prior to issue and use.
- Pertinent issues of appropriate documents are available at all locations where they are required.
- Obsolete documents are promptly removed from all points of issue and use.
- Changes made to documents are identified in the document or attachment and all changes are approved by authorised personnel prior to being implemented.
- Records will be maintained to demonstrate the efficient running of the organisation and the effective operation of the Quality Management System.
- All records will be legible and readily retrievable, and be kept so as to prevent loss or deterioration.
- Retention times for archiving records will be established and no records will be destroyed without prior approval of authorised personnel.
- Control of records will include identification, collection, indexing, access, storage, maintenance and disposition.

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<b>QUALITY MANAGEMENT POLICY AND PROCEDURE MANUAL</b>		

## **DOCUMENT AND RECORD MANAGEMENT PROCEDURE**

### **1. Purpose**

The purpose of this procedure is to describe the methods used by CONFLICT DYNAMICS to manage all documents and records that relate to the implementation of the CONFLICT DYNAMICS Quality Management System.

### **2. Scope**

The scope of the procedure includes the receipt, identification, review, approval, filing, distribution and maintenance of the following documents and records:

- Management system documents and records
- Learner documents and records
- Staff documents and records
- SAQA, ETQA and DoE documents and records
- General correspondence
- Faxes
- Registered letters

### **3. References**

SAQA Regulation No R1127 of 1998  
 Further Education and Training Act (Act 98 of 1998)  
 National Education Policy Act (Act 27 of 1996)

### **4. Definitions**

**Document** - information and its supporting medium, e.g. paper, magnetic or electronic

**Record** - document stating results achieved or providing evidence of activities performed


### **5. Responsibilities**

The responsibility for implementing the requirements of this procedure rests with the *Director* or his/her delegate.

### **6. Procedure**

#### **(a) Management System Documents and Records**

- Management system documentation, i.e. Quality policies and System Procedures, will be uniquely identified by a number and revision status and reviewed and approved by the *Director* prior to issue and use.
- Revisions to these documents will be reviewed and approved in the same manner as the first issues and the nature of all the changes made will be identified in the document revision record sheet in each document. A register will control the issues of these documents.

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- All documentation relating to the operation of the Management System, e.g. Management Reviews, records, will be filed separately in files reserved only for this purpose and maintained by the *Director*.

#### **(b)Learner documents and records**

- Learner documents and records will be received and checked by the *Director* to ensure all relevant documents have been correctly completed and receipts have been issued for submission where relevant.
- Learner documents and records will be filed by the *Director* and files maintained.

#### **(c)SAQA and ETQA documents and records**

- SAQA, ETQA and DoE documents and records will be filed in separate, uniquely identified files and be maintained by the *Director*.

#### **(d)General Correspondence**


- All correspondence, i.e. letters, circulars, memos will be received by the *Director*.
- All letters will be opened and sorted.
- Letters of complaint will be 'date stamped' and filed in the 'Complaints file'.
- Faxes will be received in the office

### **7. Documentation**

Refer to Section 6 above for the documentation required for the implementation of this procedure.

### **8. Records**

No reports as such are required. Refer to Section 6 above.

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## HEALTH AND SAFETY MANAGEMENT POLICY AND PROCEDURE

<b>Document Reference:</b>	<b>CD 21</b>
<b>Revision Status:</b>	<b>8</b>
<b>Date of Issue:</b>	<b>31 March 2011</b>

**Approved for issue:**

<b>Name</b>	<b>Title</b>	<b>Signature</b>	<b>Date</b>
Felicity Steadman	Director	<i>FJ Steadman</i>	31 March 2011

### Supporting documents:

- Fire and Theft Policy
- Public Liability Insurance Policy
- Registration List
- Occupational Health and Safety Act
- Occupational Health and Safety Checklist

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## **QUALITY MANAGEMENT POLICY AND PROCEDURE MANUAL**

### **HEALTH AND SAFETY MANAGEMENT POLICY**

CONFLICT DYNAMICS is committed to providing a safe, healthy and environmentally responsible workplace and learning environment for its employees and learners. CONFLICT DYNAMICS believes that no task or activity is so important that it can't be done in a safe manner and in compliance with all applicable safety codes and standards.

CONFLICT DYNAMICS therefore, resolves to pursue any reasonable course of action to ensure achievement of these standards, including the enforcement of all applicable health, safety and environmental protection regulations, prompt actions to correct unsafe conditions, and continued safety education for all concerned.

It is therefore the policy of CONFLICT DYNAMICS to:

- Protect the safety of employees, learners and visitors against accidents and occupational hazards and where necessary having the applicable insurance cover
- Protect the general safety of all employees and learners by installing the necessary security systems and/or employing security staff (where applicable)
- Comply with all relevant regulations and standards relating to occupational health and safety
- Give priority to safe working conditions and job safety practices in the planning, budgeting, direction and implementation of CONFLICT DYNAMICS activities
- Every employee is accountable for maintaining the standards that are required to meet this policy. Standards will apply to maintaining facilities and equipment and ensuring that employees understand what is expected of them in accident prevention.

Each employee will ensure that the pertinent regulations and safe work procedures are followed by all employees or learners, that adequate training is provided to the employee or learner and that safe work procedures are implemented on the worksite.


All employees and learners are responsible for knowing and observing pertinent regulations in the work area and for following safe work procedures. Each employee and learner is expected to report unsafe conditions and unsafe behaviour to his/her facilitator/assessor.

Your cooperation in observing the proper health, safety and environmental protection regulations is vital to the success of this objective. It is the responsibility of all employees and learners to follow safe work procedures, to observe health and safety regulations and to constantly work towards improving health and safety standards at CONFLICT DYNAMICS.

In particular, it is the duty of all individuals to:

- use safe working procedures at all times
- use protective equipment on all necessary occasions
- report accidents and potentially dangerous incidents to the organisation, manager, facilitator or assessor and co-operate fully in investigations which are carried out to prevent recurrence




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- report unsafe or unhealthy working conditions to the organisation, manager, facilitator or assessor
- when working outside the organisation, to pay attention to local safety precautions and ensure that those who may be affected by hazards arising from their work are kept informed

Where training takes place off-site, i.e. at a client or conference venue, CONFLICT DYNAMICS will ask the relevant person/organisation to complete an Occupational Health and Safety Checklist to ensure that the learners and facilitator and/or assessor are safe at all times. As a minimum this checklist will ensure that there is access to a fire extinguisher in the training venue, that a First Aid box is available on site and that there is a safety officer on site in the case of an emergency.

CONFLICT DYNAMICS cannot be held responsible for any injuries or damage to properties incurred at the venue by the learners attending the learning Programme.

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## **HEALTH AND SAFETY PROCEDURE**

### **1. Purpose**

The purpose of this procedure is to detail requirements for health and safety measures.

### **2. Scope**

The scope of the procedure includes the following activity:

- Health and Safety procedures

### **3. References**

SAQA Regulations no R1127 of 1998  
Further Education and Training Act, Act 98 of 1998  
National Education Policy Act, Act 27 of 1998

### **4. Definitions**

None

### **5. Responsibilities**

The responsibility for implementing the requirements of this procedure rests with the *Director* or his/her delegate.


### **6. Procedure**

- Ensure all presentation venues are booked timeously and that they conform to the relevant statutory regulations.
- Contracted venues must complete the Occupational Health and Safety Checklist prior to training taking place to ensure necessary safety measures are in place
- Contracted venues to ensure learners obey any relevant safety measures pertaining to the training venue/client's workplace
- Ensure that emergency procedures are in place for all venues used, including offices occupied and that everyone is familiar with the procedures.
- Necessary security systems covering entry to and safety of premises are in place.
- Ensure that adequate insurance cover is taken out to cover all relevant eventualities.

### **7. Documentation**

The following documentation is required for implementation of this procedure:


- Contracts with venues used (where relevant)
- Emergency evacuation procedures
- Office layout
- Insurance contract
- Security company contract
- Occupational Health and Safety Checklist

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## 8. Records

The following records are required to be maintained by implementation of this procedure:

- Safety inspections
- Insurance contract
- Security company contract

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## MANAGEMENT SYSTEM REVIEW POLICY AND PROCEDURE


<b>Document Reference:</b>	<b>CD 22</b>
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Felicity Steadman	Director	<i>FJ Steadman</i>	31 March 2011

### Supporting documents:

- Quality Management System Review Agenda
- QMS Internal Review checklist
- QMS Internal Review report

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## MANAGEMENT SYSTEM REVIEW POLICY

All Business and Operational aspects will be reviewed at least **once a year** during a Review Meeting, with maximum participation of everyone involved with the services provided by CONFLICT DYNAMICS. This exercise may result in agreeing and putting an Action Plan together, stating specifically how the plan will be implemented and monitored. This is to ensure the continued efficient and effective operation of the Quality Management System, and to promote continual improvement. A self-evaluation checklist will be completed when reviewing the Quality Management System Policies and Procedures.

### Reviews include these elements:

1. All Policy documents will be reviewed to entrench their effectiveness and practicability.
2. All relevant Business and Operational aspects encompassed by these documents will be reviewed at least once a year during a Review Meeting, with maximum participation of everyone involved with the services provided by our Company
3. This exercise will result in agreeing and putting an Action Plan together, stating specifically how the plan will be implemented and monitored
4. In the interim, formal feedback will be provided by our Facilitators and Assessors after each Training Session concerning the effective implementation of our applicable Policies, as well as Formative Assessments. We will develop, implement and update suitable feedback forms and mechanisms to facilitate this process
5. It will also be extended to our Learners so we can identify and rectify particular weaknesses. This mechanism will also enhance our efforts to achieve the principle of Continuous Improvement


### External Reviews

CONFLICT DYNAMICS is aware that they will be subjected to external quality reviews conducted by a SETA and appointed external verifiers. CONFLICT DYNAMICS understands that they will be informed by the SETA when a review will be conducted and will be provided with guidelines of the type of information that needs to be provided for external review purposes.

CONFLICT DYNAMICS will inform all relevant staff members who need to be present at the external review prior to the review date.

CONFLICT DYNAMICS understands that the following, but is not limited to, may be reviewed:


- Learning programme content and delivery
- Learner assessment
- Moderation of learner assessments
- Learning programme resources
- Staff qualifications and / or professional development activities
- Review of documentation e.g. staff and learner records
- Observations, e.g. classroom facilitation
- Interviews with staff, learners, management and so on
- On site visits at an agreed time and duration to review documents, conduct observations and conduct interviews with staff and learners

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The following information, but is not limited to, should be available for the external reviewers:

- Learner assessments, tests, projects, examination papers, model answers
- Facilitator course material such as course outlines, handouts, study guides
- Programme and course structure and content
- Physical facilities – if training is conducted is onsite
- Information on administrative support
- Financial support information
- Facilitator, assessor, moderators CV's and relevant certificates
- Learner tracking information
- Learner records

Any other information in connection with facilitation, assessment and moderation.

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## MANAGEMENT SYSTEM REVIEW PROCEDURE

### 1. Purpose

The purpose of this procedure is to detail requirements for conducting management reviews of the quality management system in order to ensure the system remains suitable, adequate and effective in meeting the objectives.

### 2. Scope

The scope of the procedure includes the following activities:

- Planning
- Conducting
- Reviewing

### 3. References

SAQA Regulations no R1127 of 1998  
Further Education and Training Act, Act 98 of 1998  
National Education Policy Act, Act 27 of 1998

### 4. Definitions

**Management system** - system for establishing and implementing policies and objectives

**Review** - activity to verify suitability, adequacy and effectiveness of subject matter

### 5. Responsibilities

The responsibility for implementing the requirements of this procedure rests with the *Director* or his/her delegate.

### 6. Procedure

#### Planning


The Quality Committee conducts internal reviews at least once annually.

#### Conduct

The Quality Committee will complete a self-evaluation checklist when reviewing the various policies and procedures and other quality areas within the organisation. Once this has been completed an action plan will be put together to address any issues raised indicating who will implement the changes / revisions and who will monitor the changes / revisions.

#### External Reviews

The Quality/Training Committee need to ensure the organisation is ready for external reviews to be conducted by SABPP by ensuring the following information is available for the external reviewers:

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- Learner assessments, tests, projects, examination papers, model answers
- Facilitator course materials such as course outlines, handouts, study guides
- Programme and course structure and content
- Physical facilities – if training is conducted is onsite
- Information on administrative support
- Financial support information
- Facilitator, assessor, moderators CV's and relevant certificates
- Learner tracking information
- Learner records
- Any other information in connection with facilitation, assessment and moderation

The Administration Officer ensures that all actions are completed and closed out in the allocated order to ensure the management system remains suitable, adequate and effective in meeting the management policy.

## **7. Documentation**

The following documentation is required for implementation of this procedure:


- Quality Management System Review Agenda
- Quality Management Review Report (Internal Review checklist)
- QMS Review Action Plan

## **8. Records**

The following records are required to be maintained by implementation of this procedure:

- Quality Management System Review Agenda
- Quality Management Review Report (Internal Review checklist)
- QMS Review Action Plan



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## CERTIFICATION POLICY AND PROCEDURE

<b>Document Reference:</b>	<b>CD 23</b>
<b>Revision Status:</b>	<b>8</b>
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**Approved for issue:**


<b>Name</b>	<b>Title</b>	<b>Signature</b>	<b>Date</b>
Felicity Steadman	Director	<i>FJ Steadman</i>	31 March 2011

### Supporting documents:

- Certificate database
- Statement of Attainment
- Sample Certificate

### Certification Objectives

- To ensure that all certificates issued to learners by CONFLICT DYNAMICS comply with the requirements of client companies, the Services Seta and the South African Qualifications Authority.
- To ensure the authenticity of each certificate by creating the necessary support functions and systems at CONFLICT DYNAMICS i.e. Record of all certificates issued.
- Ensure the proper security requirements surrounding certificates thus preventing fraudulent issuing of certificates.

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## **CERTIFICATION**

### **1. Purpose**

The purpose of this policy is to state CONFLICT DYNAMICS position when:

- Certificates are issued to learners who have proved competence against a unit standard(s).
- Statements of attainment are issued to learners who have proved competence against a skills programme.
- The use of CONFLICT DYNAMICS logo appearing on certificates and statements of attainment.

It is to ensure that:

- Certificates and/or statement of attainments are issued for the purpose and recognition of having achieved and met the required criteria
- Certificates and/or statement of attainments issued by CONFLICT DYNAMICS are managed and controlled as per SETA requirements and the internal processes, procedures and requirements of CONFLICT DYNAMICS
- CONFLICT DYNAMICS logo forms part of the trademark for the use on certificates and statement of attainments issued as per this policy; and
- The use of the logo on certificates and statement of attainments are:
  - a. Issued for the purpose of recognition to uphold credibility, standards, quality and integrity.
  - b. Issued to learners.
  - c. Issued by CONFLICT DYNAMICS for unit standards and/or outcomes obtained.


### **2. Scope of the policy**

The scope of this policy includes all certificates and/or statement of attainment against registered unit standards that CONFLICT DYNAMICS offers. The policy covers all certificates and/or statement of attainments issued by CONFLICT DYNAMICS for:

- Learners who prove competence in skills programmes and/or short courses
- Providers or other organisations requesting duplicate certificates on behalf of learners

### **3. Issuing certificates and/or Statement of Attainments**

- Once all criteria (i.e. the learner has demonstrated competence) have been met CONFLICT DYNAMICS will issue a certificate. All certificates must be generated electronically.
- CONFLICT DYNAMICS will comply with the ETQA requirements for the issuing of certificates.
- Duplicates will only be issued when sufficient information is available, i.e. when an application is put in writing to the *Director* and is accompanied by an affidavit. CONFLICT DYNAMICS will verify if this information is true and correct prior to re-issue. Duplicate certificates must have "Duplicate" displayed on the certificate or statement of attainment and the original number must be displayed. Only a maximum of 2 duplicates per certificate shall be issued to a learner.

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- CONFLICT DYNAMICS will ensure that the learner's personal details and credits obtained are captured correctly on CONFLICT DYNAMICS database.
- The *Director* and/or delegated person shall sign all certificates for unit standard(s) obtained.
- The *Director* and/or delegated person shall sign the statement of attainments.

#### **4. The printing of learners names on certificates**

- The printing is completed in-house by a delegated person. The learner's details are captured onto a certificate database. Correct data capture into the database must be reviewed by the trainers where applicable for accuracy.
- Should any errors occur in the printing of certificates, incorrect or defaced certificates are returned and recorded as such and records updated.

#### **5. The management, storage and safekeeping of blank certificates**

- Blank certificates are kept in lockable facilities. Access is restricted to relevant administrative staff, namely the *Director* and his delegated person.
- The delivery of blank certificates must be received by the delegated person and moved to the lockable facilities.
- Should certificates be needed for sample purposes the word 'Sample' must be written boldly over the front of the certificate.

#### **6. The storage and safekeeping of certificates about to be issued**

All certificates to be issued are kept in lockable facilities. Access is restricted to administrative staff only.

#### **7. The use of signatures to validate certificates**


Certificates are signed by the *Director* of CONFLICT DYNAMICS to ensure certification is valid.

#### **8. The use of serial numbers, ID numbers and registers**

- Each certificate is assigned a unique certification ID with is printed on the certificate and recorded in the certificate database for purposes of authentication. The ID is recorded in the database and hard copies of the database are regularly backed up and kept off site.
- Persons wishing to verify a certificate must contact the delegated person at CONFLICT DYNAMICS to confirm in writing all the details on the certificate with reference to the certification ID.
- CONFLICT DYNAMICS will not offer any details regarding awards attained in order to verify certificates. Details must be provided by the person wishing to verify the certificate and these will be confirmed by CONFLICT DYNAMICS in writing.

#### **9. The use of CONFLICT DYNAMICS logo**

Certificates issued by CONFLICT DYNAMICS contain watermarks of the institutions' logo to prevent fraudulent copying of these certificates.

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## 10. The replacement of certificates


- Learners are required to request in writing a replacement certificate. They need to indicate why they need to replace the certificate, or provide a police-issued affidavit that the certificate has been lost and will be returned to CONFLICT DYNAMICS if lost.
- The details of the replacement certificate, include the defaced certificate, where applicable, are recorded and retained to maintain complete records of certificates received and issued by CONFLICT DYNAMICS.

## 11. The distribution of certificates

- Certificates are awarded to learners upon successful completion of the summative assessments. Records are maintained of which certificates were issued.
- If certificates are not personally collected, legal authority must be received by CONFLICT DYNAMICS in writing from the learner to allow another person to collect the certificate.
- Certificates can only be posted via registered mail or couriered by a reputable courier company.

## 12. Security when issuing Certificates and/or Statements of Attainment

- CONFLICT DYNAMICS is responsible for the design and layout of certificates and statement of attainment adhering to all statutory requirements.
- CONFLICT DYNAMICS is responsible for security elements, including the use of CONFLICT DYNAMICS logo and a numbering system for each certificate.
- CONFLICT DYNAMICS is responsible to ensure that all certificates are stored in a safe place and access to such storage facilities will be limited to the *Director* or his delegated person.
- Providers or other institutions requesting original or duplicate certificates or statement of attainments must liaise directly with CONFLICT DYNAMICS and are required to adhere to the following process:
  - Providers or other institutions requesting certificates on behalf of learners for credits obtained shall submit their evidence to the *Director* requesting such a certification.
  - Learners requesting the issuing of duplicate certificates must submit a request in writing, including an affidavit and the reasons for the request and submit to the *Director* for processing.
  - The *Director* will verify from the database for authenticity and validity of the request prior to the issuing of a duplicate certificate and will include the following (but not limited to):
    - CONFLICT DYNAMICS logo
    - The registered assessor who did the assessment
    - The internal moderator who verified the results
- It is the responsibility of the Administration Personnel to ensure that the learner's personal details and credits are captured correctly CONFLICT DYNAMICS certificate database prior to the request for a certificate or statement of attainment.

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### **13. Documentation**


The following is required for the implementation of this Procedure:

- Certificate database
- Statement of Attainment
- Sample Certificate

### **14. Records**

The following records are required to be maintained by implementation of this Policy and Procedure:

- Certificate database
- Statement of Attainment
- Sample Certificate

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## STATEMENT OF ATTAINMENT

### LEARNER'S DETAILS

<b>Name:</b>	
<b>National ID Number:</b>	
<b>Certificate Number:</b>	

### PROVIDER DETAILS

<b>Name:</b>	
<b>Accreditation Number:</b>	
<b>Phone Number:</b>	
<b>Physical address</b>	
<b>Postal address</b>	


<b>Facilitator:</b>	
<b>Assessor:</b>	
<b>Assessor Registration #:</b>	

### PROGRAMME DETAILS

<b>Programme Name:</b>	
------------------------	--


<b>Unit Standard Number:</b>	
<b>Unit Standard Title:</b>	
<b>NQF Level:</b>	
<b>Credit Value:</b>	

<b>Achievement Status:</b>	<b>COMPETENT</b>	<b>NOT YET COMPETENT</b>
<b>Achievement Date:</b>		

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## Sample Certificate

<b>Certificate Number: 0001</b>
<p><b>Certificate of Competence</b></p> <p><b>Awarded to:</b></p> <p><b>Michael Landsdown</b></p> <p>ID #: 5908230018099</p> <p><b>For</b></p> <p><b>Time Management</b></p> <p>Unit Standard(s): 18294  NQF Level 4  6 credits</p>
<div style="display: flex; justify-content: space-between; margin-top: 100px;"> <div style="width: 40%; text-align: center;"> <hr style="border: 0; border-top: 1px solid black; margin-bottom: 5px;"/> <p><b>Date</b></p> </div> <div style="width: 40%; text-align: center;"> <hr style="border: 0; border-top: 1px solid black; margin-bottom: 5px;"/> <p><b>Signature</b></p> </div> </div>

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## SPECIAL NEEDS POLICY AND PROCEDURE

<b>Document Reference:</b>	<b>CD 24</b>
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**Approved for issue:**

<b>Name</b>	<b>Title</b>	<b>Signature</b>	<b>Date</b>
Felicity Steadman	Director	<i>FJ Steadman</i>	31 March 2011

### Supporting documents:

- Occupational Health and Safety Checklist
- Disability Business Checklist
- Code of good practice – Disability in the workplace



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## **SPECIAL NEEDS POLICY**

We believe that it is the inherent right of every employee to have access to develop his or her skills in the work place. The NQF (National Qualifications Framework) allows for all individual needs of learners in the training and development system.

We will provide access to training, development and assessment by making allowance for special needs such as, but not limited to, physical disabilities, illiteracy, time available, shift arrangements, HIV/AIDS status and language.

CONFLICT DYNAMICS is committed to undertake reasonable efforts to provide an environment which is fully accessible to people with disabilities and where access is consistent with the individual's right to dignity and self-esteem.

CONFLICT DYNAMICS will make reasonable efforts in adaptations to its learning programmes, physical surroundings and services so as to allow full access and participation for learners with special needs. The underlying principle of these measures is to provide learners with special needs with equitable opportunities to meet learning standards and comply with regulations that are applicable to all learners.

Every learner attending a learning programme has the right to inform CONFLICT DYNAMICS as to her or his special need(s). A learner with special needs is a person who may be considered to be disabled either physically or mentally or who has a medical special need.

A learner with special needs has the right to attempt all learning programmes and activities provided that he/she meets normal programme requirements, and that such participation does not present a danger to himself or herself or others. He or she also has the right to appeal exclusion from a learning programme or activity on the grounds of disability.

CONFLICT DYNAMICS will make reasonable efforts to adapt learning programmes and activities to allow for access and full participation by eligible learners who have special needs.


CONFLICT DYNAMICS in conjunction with the client undertakes to make reasonable adaptations to its facilities in order to accommodate learners who have special needs.

CONFLICT DYNAMICS will endeavour to make reasonable efforts to make its services and offices accessible to learners who have special needs.

All employees of the organisation must respect the rights and needs of those learners who have disabilities.

## **Confidentiality**

A concern that many people have when using our services is privacy. For us to be of assistance to learners, we may need to know about private matters. We ensure that all disclosures will remain confidential. Everyone working in and for the organisation is bound by confidentiality and nothing that identifies you will be discussed outside the office unless so authorised by you.

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The only exceptions to this commitment are certain legal requirements as outlined below:

We are required to disclose certain information in the event that another person is at risk from learners actions. We are obliged to take the necessary steps to ensure the safety and security of others when we are of the opinion that you may pose a danger to yourself or others. We are also obliged to make certain disclosures when it is apparent that you are unable to take adequate physical care of yourself.

### **Identification**

Voluntary identification is proposed in order to ensure that learners with special needs maintain independent control of their education and circumstances.


When a learner asks for accommodations or other measures to address a disability, he/she shall present their own letter or a letter from an appropriate individual, such as a qualified medical practitioner or registered psychologist depending upon the nature of the learner's condition. The organisation may require additional assessments or documentation which may include psychological or physiological testing. The letter will explain the disability and the special need(s) to be met. The learner is encouraged to provide all information that is readily available to him/her. The organisation may require confirmation through additional testing. This information will be handled with the strictest standards of confidentiality, and will be used only to implement or to facilitate the accommodation of the learner.

### **Adaptations to Courses, Programmes and Activities**

All adaptations to courses, programmes and activities will be done in consultation with the staff and facilitators before implementation. In the event of a dispute as a result of accommodations between staff and learners then the case will be arbitrated by the Director. All accommodations for learners with special needs will be made on an individual basis.

The following are examples of adaptations which may be made to meet the course and programme requirements of learners with special needs. This list is by no means exhaustive and, for further suggestions and assistance, one may contact CONFLICT DYNAMICS.

- Adaptations in the Classroom: These are changes the facilitator may initiate to make his/her courses more accessible.
- Adapting teaching techniques to meet the particular needs of the learner (e.g. the use of overhead transparencies / presentation slides for hearing impaired students)
- Preparation of course material ahead of time (e.g. giving course notes and a list of textbooks to a visually impaired learner within a reasonable amount of time before classes begin so that the learner may have them taped).
- Establishing evaluation procedures for learners with special needs so that they are not disadvantaged (e.g. extending summative assessment time, offering oral summative assessment).
- At the preparatory meeting any special needs will be determined between the learner and the organisation so that the special need can be accommodated.

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- The construction and physical arrangement of learning areas and/or the provision of technical aids used in the facilitation process. Where accessibility is hindered by physical circumstances, an alternative location will be provided.

### **Accessibility to Buildings and Grounds**


Reasonable adaptations that may be needed to make the organisation or training venue physically accessible to learners with special needs might include but is not limited to the following:

- The provision of suitable equipment and devices to provide accessibility for those who have special needs.
- The continued maintenance of all areas and facilities to ensure accessibility (e.g., keeping passageways, corridors etc., free of hindrances and by replacing defective lighting equipment and devices).
- The establishment and communication of safety procedures for all locations and buildings for those with special needs.
- Reasonable adaptations to buildings and grounds to ensure full accessibility for those with mobility impairments.
- Reasonable adaptations to lighting and signage to assist people with visual impairment.

If an external training venue is required for learners with special needs the client shall complete our Disability Business Checklist and Occupational Health and Safety Checklist in order to assess the venue for appropriateness to ensure it meets the needs of the learners.

### **Commitment to learners**

CONFLICT DYNAMICS affirms that learners are of paramount importance to our life, function, and well-being. In so declaring, we will demonstrate a commitment to learners by encouraging their academic and personal development, and by addressing their needs on an individual and collective basis. We will also be committed to developing a culture which expresses to learners that they are highly valued.

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## **SPECIAL NEEDS PROCEDURE**

### **1. Purpose**

The purpose of this procedure is to detail requirements for dealing with learners who may have special needs.

### **2. Scope**

The scope of the procedure includes the following activities:

- Special needs

### **3. References**

Employment Equity Act No 55, Of 1998  
Code of Good Practice on Key Aspects of Disability in the Workplace

### **4. Definitions**

Only people who satisfy all the criteria in the definition:

- (i) long-term or recurring;
- (ii) having a physical or mental impairment;
- (iii) which substantially limits,

are considered as persons with disabilities.

### **5. Responsibilities**

The responsibility for implementing the requirements of this procedure rests with the *Director* or his/her delegate.


### **6. Procedure**

It is the responsibility of the client to let CONFLICT DYNAMICS know about any learners with special needs. It is important that CONFLICT DYNAMICS knows about the type of special needs so that a contingency plan can be put into place.

The client will also be required to complete the Disability Business Checklist to ensure that the training environment can accommodate learners with special needs.

CONFLICT DYNAMICS with assistance from the client will organise necessary human and physical resources so that learners with special needs are not disadvantaged in anyway during the training.

CONFLICT DYNAMICS will be required to disclose certain information to the learner's Manager in the event that another person is at risk from learner's actions. CONFLICT DYNAMICS is obliged to take the necessary steps to ensure the safety and security of others when CONFLICT DYNAMICS is of the opinion that a learner may pose a danger to themselves or others.

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CONFLICT DYNAMICS will reasonably accommodate learners with special needs.

CONFLICT DYNAMICS will assist, but is not limited to, learners with the following special needs:

Language problems – through pre-assessment CONFLICT DYNAMICS will be able to ensure the learner has the correct language level to attend the programme. If this is not the case, they will advise the learner to do a literacy course before attending the programme.

Deaf person – the learning material will be made available for him/her to read. He or she will also be required to sit in the front and the facilitator will need to speak slowly and clearly so that the learner can lip read.

Blind person – the learner will be placed in an area where they are able to hear well.

All learners are progressed and tracked to determine if there are any difficulties. In this way problem areas can be identified and the facilitator informed. The facilitators will also provide feedback to the Director at CONFLICT DYNAMICS regarding the participation of individuals and if any problems occurred. This information is placed into a monthly progress report which is sent to the learner's Manager.

## **7. Documentation**


The following documentation is required for implementation of this procedure:

- Occupational Health and Safety Checklist
- Code of good practice – Disability in the workplace

## **8. Records**

The following records are required to be maintained by implementation of this procedure:

- Occupational Health and Safety Checklist

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## RPL POLICY AND PROCEDURE


<b>Document Reference:</b>	<b>CD 25</b>
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Felicity Steadman	Director	<i>FJ Steadman</i>	31 March 2011

**Supporting documents:**

- RPL Application Form
- RPL related Forms

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## **RPL POLICY AND PROCEDURE**

### **Introduction**

In terms of the Regulations under the South African Qualifications Authority Act, 1995 Act No. 58 of 1995, Government Gazette No 6140, No. R542, the definition for the recognition of prior learning is as follows:

"Recognition of Prior Learning" means the comparison of the previous learning and experience of a learner howsoever obtained against the learning outcomes required for a specified qualification, and the acceptance for purposes of qualification of that which meets the requirements."

### **Purposes**

RPL is the process of identifying what a person knows and can do. It is a way of recognising learning that takes place in both formal and informal environments and allows people freer access to formal education and career opportunities. RPL is not a short cut towards a qualification, however, it is a way of awarding credit for knowledge gained in, for example, the workplace. This allows people to gain credit for what they know so that they can immediately move into a more advanced level of formal study (if they want to). RPL is not a way of being awarded a qualification without attending a formal institution – and although a person can be awarded credit for certain unit standards they can never be awarded a qualification purely through RPL.


### **The outcomes of a successful RPL assessment process are:**

- To assess a learner's negotiated evidence of learning
- Which reflects measurable outcomes
- Against a set of negotiated criteria
- Finding the learner either competent or not yet competent
- And make relevant recommendations

### **Principles of RPL assessment**

- Compliance with the objectives of the NQF
- Grounded in sound education and training theory
- Refers to registered Unit Standards
- International comparability
- Aligned to the notion of integrative assessment
- Compliance with South African Qualifications Authority guidelines and criteria for assessment
- Public availability and scrutiny of credit transfer provisions
- Allows access by all individuals regardless of gender, race or disability
- A consistent approach to the granting of credit
- The recognition of prior learning process provides opportunities for the recognition of prior learning but will not hold out false promises

In addition to the above, the RPL process must reflect the critical cross field outcomes contained in the Unit Standards. In terms of these, all learners (and RPL learners) must show evidence of the following:

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### Using different ways of learning

- Using different ways to solve problems and making decisions using critical analysis
- Ability to work with a team, group or within an organisation
- Ability to collect, organise, examine and understand information
- Ability to communicate using language and mathematical skills
- Ability to make wise decisions and safe choices for healthy living
- Ability to use science and technology and to show a responsibility towards the environment and health

### Benefits to the applicant

- A fair and transparent process
- Prior knowledge of the standards and criteria which will be used in the assessment and accreditation processes – so they are not going to be “tricked” in the assessment
- Prior knowledge of the learning outcomes to be met (through the Unit Standards)
- Exposure to competent, trained educators and assessors skilled in working with diverse groups who want them to succeed and who explore innovative methods to assist them to do so
- An approach that balances subject knowledge and critical cross field outcomes with skills, competencies and practical knowledge
- Assessment methods that are flexible, appropriate to the subject and tailored to the needs of the learner (taking into account disabilities, etc.)

### The Model

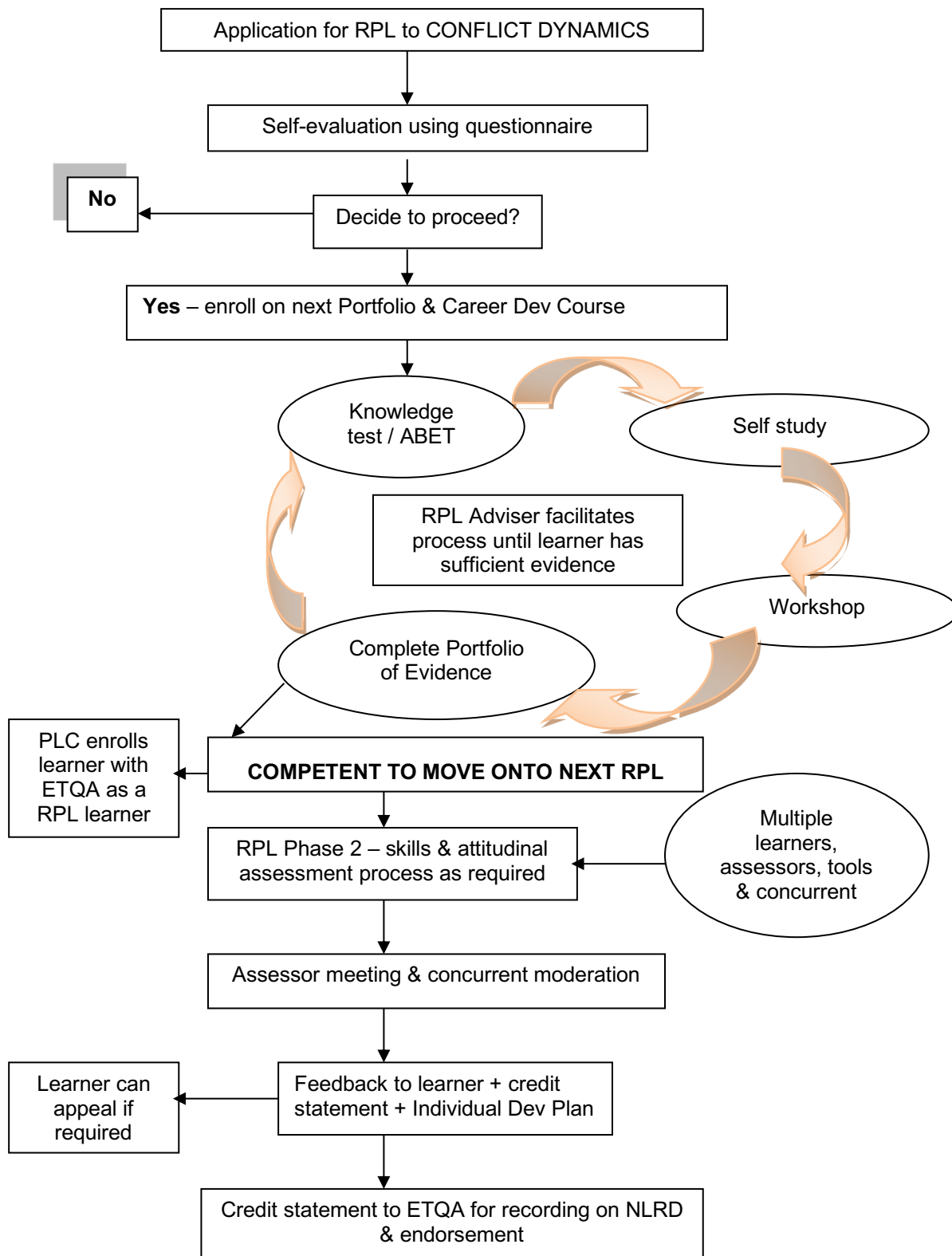
RPL has the potential to be both motivating and uplifting, but it can also be destructive if not managed correctly. In order to ensure the integrity of the RPL process, we have developed a model for RPL that incorporates the following role players:

- RPL adviser – runs the Portfolio and Career Development course and supports the learner until their portfolio is assessed as competent
- RPL assessor – assesses the portfolio of evidence and manages the assessments
- Moderator – moderates the assessors and manages the process



## QUALITY MANAGEMENT POLICY AND PROCEDURE MANUAL

In the CONFLICT DYNAMICS RPL model, the RPL process is as follows:



## QUALITY MANAGEMENT POLICY AND PROCEDURE MANUAL

Learner applies for RPL and completes a self-assessment questionnaire, meets with RPL Adviser and works through the objectives of RPL.



Learner attends Portfolio and Career Development Workshop – focus is on holistic development.

Learner also:

- Completes knowledge test
- Gets guidance on portfolio
- Prepared for next steps
- Works with Adviser until portfolio is ready



Learner leaves and works on Portfolio of Evidence alone – calling RPL Advisor to check on issues and coming back to the RPL Advisor once the Portfolio is complete. RPL Advisor reviews Portfolio and makes recommendations OR refers them to an assessor.



Once portfolio is ready, assessor assesses and 10% is moderated  
Successful learners move onto full day of assessment where tools are designed to suit unit standards, the NQF level and various learning styles  
Multiple assessors are involved –assessing different learners with different tools  
The assessors will:

- Reach agreement on learner's competence
- Moderator will moderate
- One-on one interviews are held with each learner
- If necessary, assessors will facilitate the compilation of IDP



CONFLICT DYNAMICS will:

- Submit results for verification to ETQA and NLRD registration
- Manage any verification
- Certify learners
- Manage the appeals process



If learner is fully successful:


- ETQA will award credits and letter of credit to be issued to learner
- Feedback to NSB on unit standard/assessment criteria



If learner is partially successful:

- Learner can appeal the decision via CONFLICT DYNAMICS
- Assessor can advise learner on ways to collect supplementary evidence to support claim for RPL
- Assessor can assist learner with career and study advise to put them in contact with suitable providers so that they can become fully RPL'd
- Learner is counselled



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If learner is unsuccessful:

- Learner can appeal the decision via CONFLICT DYNAMICS
- CONFLICT DYNAMICS can advise learner on ways to collect supplementary evidence to support claim for RPL
- CONFLICT DYNAMICS can assist learner with career and study advise to put them in contact with suitable providers so that they can become fully RPL'd
- Learner is counselled



#### **Appeals:**

- Learner lodges appeal with RPL Advisor. Grounds for appeal must be clear and logical with sufficient supporting evidence (see form annex 3)
- RPL Advisor discusses appeal with Assessor
- New panel may be convened – learner must pay again and money will be refunded if a different decision is reached (note all assessments are recorded digitally for review)
- Alternatively, the same panel can be used by mutual agreement
- The process may be repeated more than once


### **Step 1: Learner guidance**

This involves the dissemination of information and adequate information to learners to enable them to make an informed decision as to whether or not to undergo the process. It includes distributing brochures, marketing the service, meeting individual and corporate clients and collaboration between training providers and industry.

### **Step 2: Preparation**

The learner must clarify their expectations in seeking recognition and accreditation of prior learning and measure their skills, knowledge and competencies against unit standards or learning outcomes of unit standard(s) or even the course outline of a full qualification. CONFLICT DYNAMICS and RPL Advisors will play an important role in assisting the learner to identify appropriate unit standard(s) / qualifications and the associated assessment criteria required. The learner must source their own evidence and construct their own Portfolio of Evidence. Note the approach to assisting the learner should be one of brainstorming with the Advisor leading and asking the questions and recording the data that the learner presents.

The responsibility rests on the learner to ensure that they collect sufficient and valid evidence to prove that they know and can do what they claim. The standards or learning outcomes as reflected in the relevant unit standards/qualification must serve as their guide. The evidence must be arranged and presented for submission. Most often this is requested in the form of a portfolio. However, evidence is not necessarily in paper or electronic format – it may take the form of a demonstration of skills and competencies instead of a portfolio.

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### **Step 3: Assessment Judgement**

The RPL Advisor will refer the learner to a provider who is an accredited provider for that Unit standard (accredited by the Services SETA ETQA – meaning that they are likely to be Subject Matter Experts) and a provider who has accredited assessors (accredited by the Services SETA ETQA). Upon receiving the evidence (portfolio, assignment, answer script, etc.) the panel of assessors and Subject Matter Experts needs to decide whether it provides sufficient, valid, authentic proof that the standards or learning outcomes have been met. Should it not be sufficient, the RPL assessor must decide on which further route to take: requesting further documentation, using a complementary assessment method (e.g. an interview in conjunction with the portfolio).

The assessment is then scheduled and completed by the assessment panel using one or more different methods of assessment. The learner should be fully informed of what to expect; assessment criteria and standards against which s/he will be measured must be freely and publicly available. The learner should be given the opportunity to evaluate the process and if necessary, appeal against the process.

The panel makes a recommendation regarding whether or not the credit/s will be awarded. Should the credit not be awarded, it is the responsibility of the assessor, in conjunction with the academic staff, to decide on a training intervention; top-up training or method of “fast-tracking” the learner to enable him/her to present again assessment.

### **Step 4: Verification/Moderation**

The relevant decision-makers at the different levels in the provider organisation must verify the findings and recommendations of the assessor/s and actually grant the credit. This should be done by the provider (internal) and the Services SETA ETQA (external). There is a possibility that the Career Centre could act as the external assessor/moderator in the early stages of this process (as long as qualified staff are employed in the Centre).


### **Step 5: Informing the learner**

The assessor/s must provide written feedback to the learner. If the learner should need or request it, they can be put in touch with a mentor, tutor or advisor who can provide further post-assessment guidance. The Career Centre can provide this service if qualified staff are employed.

### **Step 6: Certification and record-keeping**

Well-documented assessment procedures and well-kept records are imperative to ensure valid processes. The Career Centre must keep the RPL application forms filed in numerical order and all applications must be logged onto the Services SETA MIS. All outcomes of RPL assessment must be recorded – so that there is a record of all credits.

The providers/assessors must keep records of the RPL assessments that they conduct as well – so that they can monitor their statistics and success rates.

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## RPL PROCEDURES

Learning that has occurred should be awarded credit. The length of time and years of experience are not calculated and assessed. Only the learning, specific skills, competencies and knowledge acquired are assessed and awarded credit.

Credit should be awarded only for relevant levels of learning as determined by the relevant sector and its quality assurance processes.

The determination of competence levels and of credit awards must be made by appropriate subject matter and academic experts when decisions are made regarding RPL assessment and certification.

The CONFLICT DYNAMICS Model uses multiple assessment tools to accommodate different learning styles, multiple assessors, multiple learners and concurrent moderation.

Accredited learning should be carefully documented and incorporated in the database of learners to avoid giving credit twice for the same learning.


The RPL Adviser and Assessor cannot be the same person.

Concurrent moderation takes place – so the moderator moderates:

- All activity based assessments
- 10% of the knowledge assessments per assessor
- 10% of the portfolios per assessor
- All not-yet competent decisions

## Assessment principles for RPL

- **Appropriateness:** The method of assessment must be appropriate to the performance being assessed
- **Fairness:** The method of assessment must not present any barriers to achievements which are not related to the evidence
- **Manageability:** The methods used must make for easily arranged and cost effective assessments that do not interfere with the workplace
- **Integration into work and learning:** Evidence collected must be integrated into the world of work as far as possible
- **Validity:** The assessment must focus on the requirements laid down in the Unit Standard – the assessment must be fit for purpose
- **Direct:** The activities in the assessment must mirror the conditions of actual performance as closely as possible
- **Authenticity:** The assessor must be satisfied that the work done and being assessed can directly be attributed to the person being assessed
- **Sufficient:** The evidence collected must establish that all criteria have been met and that performance to the required Unit Standard can be repeated consistently
- **Open:** Learners must contribute to the planning and accumulation of evidence and they must have a total understanding of the process and the criteria that will be applied


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- **Consistent:** The assessment must be such that the same assessor would make the same judgement again under similar circumstances. The judgement made must be similar to the judgement that would be made by other assessors
- **Reliability:** Over time the assessed person will be able to repeat the assessment and achieve a similar result.

### Methods for collecting evidence

All assessment methodologies have strengths and weaknesses and none should be used in isolation. The selection of an appropriate assessment methodology is an important part of the preparation for assessment. The selection will be guided by the nature of the competence to be assessed and must clearly be appropriate to the skills and knowledge being assessed. Negotiations with the potential learner about their preferences are an essential part of the assessment process. Some assessment methodologies in commonly used by CONFLICT DYNAMICS are:

<b>Developing a Portfolio of Evidence:</b>	A logically organised record of a learner's evidence of prior learning, submitted to the assessing panel for a variety of reasons aimed at the attainment of learning targets. It serves as proof of the learner's expertise and the value it has in the academic world. It should include evidence of knowledge, skills and understanding gained from a wide variety of sources.
<b>Challenge examinations:</b>	Not a course final, but is usually prepared especially for the learner by the assessor. It is not based on a specific textbook or exposure to a particular instructor at a particular time, rather it covers a wide body of accepted knowledge or concepts in the challenged unit standard(s) or qualification as reflected in the learning outcomes.
<b>Demonstration:</b>	Learners show their expertise in carrying out some activity that proves mastery of a skill, knowledge and understanding. The learner performs the skill in the presence of an assessor who uses the relevant set of criteria against which the learner can be measured.
<b>Assignments:</b>	Given to the learner after discussion with the assessor and relevant facilitators of education and training. Both parties would determine what proof was required and the best way for the learner to demonstrate the required level of knowledge.
<b>Interviews:</b>	Between the assessor and learner can be used to supplement any of the above methodologies.
<b>Workplace assessment:</b>	Performance in the course of normal work offers the most natural form of evidence of competence.
<b>Debate:</b>	An assessor (or the whole panel) could engage the learner in a debate to assess the range of their knowledge on a particular subject.
<b>Video evidence or audio tape evidence:</b>	These could be collected on-the-job, or in a contrived situation specifically set up to prove competence.
<b>Oral presentations / examinations:</b>	The assessors could decide to question the learner or ask the learner to deliver a presentation as part of their assessment.

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<b>Case studies:</b>	This could be completed by the learner prior to their meeting with the assessors or during the assessment it could be read and discussed.
<b>Literature reviews:</b>	These would be annotated by the learner to show what they have read and the range of subject material that they had covered.
<b>Logbook:</b>	A record of all activities during a set period.

### **Guidelines for assessors/RPL Advisors assessing a Portfolio of Evidence**

An assessor assesses a portfolio in order to have an informed opinion about:

- Whether the evidence documentation is sufficient in proving a learners' claims
- Whether the learners claims of prior learning measure up the requirements specified in the Unit Standards
- The authenticity of the documented evidence
- Whether the documented evidence can be verified/has been verified by contactable references
- Whether the critical cross-field outcomes stipulated by SAQA are reflected in the structure and content of the portfolio
- Whether the structure of the portfolio reflects a level of literacy and organisational ability which will enable the learners to cope with the demands of education/training at that level
- Whether the prior learning claimed by the learner meets the criteria of relevance, validity, quality, transferability, authenticity and currency


### **Assessors should ensure that the following criteria are reflected in the portfolio:**

- Proof of the learner's competence in the skills that he/she claims
- The learner's ability to solve problems in the skills field which he/she has specified
- The learner's reflective ability, i.e. to think about what he/she is doing and to explain why he/she is doing it

### **Standards for quality assurance in assessing learning for credit:**

- Credit should be awarded only for learning and not for experience
- Tertiary credit should only be awarded for tertiary-level of learning
- The determination of competence levels and of credit awards must be made by appropriate subject matter and academic experts
- Credit should be appropriate to the academic context in which it is accepted
- Credit awards and their transcript entries should be monitored to avoid awarding credit twice for the same learning
- Policies and procedures applied to assessment, including provision for appeal, should be fully disclosed to the learner
- Fees charged for assessment should be based on the services performed in the process and not determined by the amount of credit awarded
- All personnel involved in the assessment of learning should receive adequate training for the functions that they perform, and there should be provision for their continuing professional development
- Assessment programmes should be regularly monitored, reviewed, evaluated and revised as needed to reflect changes



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*Note: In order for the assessor to decide on overall competence, it is suggested that cut-off scores are set by the panel (e.g. a learner must be rated as competent on every specific outcome in order to achieve an overall outcome of competent).*

### **Review of the assessment process:**

Assessors must review each assessment that they conduct – if a panel is used this should be a panel discussion at the end of the assessment process. The following must be reviewed:

- Check the unit standard – is it still valid and does it measure what it should measure
- Check all assessment tools used – were they valid, reliable and useful
- Were the objectives of the assessment session achieved?
- Did the learner receive a feedback report and sufficient feedback to assist them in their career?
- Was the appeal process explained to the learner and used fully? If not – why?
- If the learner was deemed not yet competent or partly competent – how were they assisted to reach competence?
- Were the conditions that the assessment took place under sufficient and conducive to a good result – what could be done to improve it?
- Was the internal verifiers report checked and assessed? Did the ETQA have any comments?
- If any errors or omissions were found in the Unit Standards – was the relevant SGB contacted for suggestions (and was praise given for good Unit Standards)



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### Appendix 1: Form to use when referring a learner to a provider for RPL-ing


<b>Date of referral</b>	
<b>Learner's name</b>	
<b>Learner's id number</b>	
<b>Learner's RPL reference number</b>	
<b>Assessor's name</b>	
<b>Assessor's company name</b>	
<b>Assessor's address</b>	
<b>Assessor's contact numbers</b>	
<b>Date by which learner must see assessor</b>	
<b>Potential barriers that the Assessor should be aware of (disability, religion, etc.)</b>	

**Please would you assess for the following unit standards:**


**Outcome (to be completed by the assessor)**

Competent	Not Yet Competent
Recommendations:          	

<b>Signed by assessor:</b>	<b>Assessor number:</b>
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## **Appendix 2: Portfolio of Evidence Checklist for Learners**

### **Portfolio of Evidence: Information for Learners**

A Portfolio of Evidence is simply a structured, organised and systematic collection of documents provided by you, the learner, to reflect your prior learning and achievement in a particular discipline. It will be presented in a file, with file dividers and an index page. A copy of the unit standards that you are hoping to be RPL'd for must appear at the front of the file.

### **The Portfolio of Evidence will include the following:**

**Cover page** – your name, company, unit standards that are being assessed, RPL/learner reference number and RPL Adviser's or facilitators' name  
Contents page with page numbers

**Section 1:** Space for your referral form (this will be inserted by the RPL Adviser before they refer you to the Assessor for RPL'ing or assessment. This section will also contain a signed statement by you that the contents of your portfolio are your own work.

**Section 2:** An introduction – explaining why you think you should be considered for RPL or assessment (no more than 20 pages). This should be reflective – what you have done/experienced, what you learnt from this experience and how it links to the unit standard/s outcomes. This is an important part of a portfolio of evidence as it shows how you have integrated your experience and learning.

**Section 3:** Your CV – explain your jobs if it is not clear from your job title and a recent job description if you have one along with a company organisational chart. Your CV must include your personal details, work experience, career goals, education, activities and interests and references and contact details. A letter from your manager confirming your current position/job function should also be included

**Section 4:** Copies of all certificates of qualifications/courses that you have completed – with course outlines where possible (if you cannot get a course outline from the Institution that you studied through, then a copy of the contents page of a textbook or student's notes will also be helpful)

**Section 5:** Evidence that you have collected to prove your competence, this could include:

- Letters from your managers – original or certified copies
- Copies of Performance Appraisals – validated by your manager
- Photographs of your work – with certified proof from a manager or similar that it was your work
- Videos or audio tapes of you demonstrating your skills or being interviewed by a manager or some other Subject Matter Expert (ensure that it is clear that it is you that is being taped – we must be able to see your face and we must be able to see the date)
- An article or essay that you have written on the subject (in your own handwriting or validated as your own work)
- A project that you have completed (copies of it, photographs or some other proof)

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- A case study on the subject
- A group project – with evidence of your contribution (a certified letter from the other group members for instance)
- A book review – where you indicate the range of material that you have read
- A witness report (e.g. from a manager or peer who has seen you do what you claim to be able to do)

**Section 6:** Summary of your evidence and a conclusion from you, cross referencing your evidence to the Unit Standards and each specific outcome as far as possible – it is best to do this on a table with the Unit Standards and Range Statements along the top and the evidence down the side of the table – see example of headings below).

Unit Standard	Evidence description (documents that verify my learning)	Evidence location/s in this portfolio (page number)
<b>Specific Outcome # 1</b>		
<b>Assessment Criteria # 1</b>		
<b>Assessment Criteria # 2</b>		
<b>Assessment Criteria # 3</b>		
<b>Specific Outcome # 2</b>		
<b>Etc.</b>		

All evidence must be cross referenced using either a numerical or alphabetical system – to show the assessors how the various pieces of evidence support each other and add to the weight of their final decision). Conclude with what you have learnt from your experiences and why it should entitle you to be RPL'd.


**Notes:**

- All evidence must be able to be proven to be your own original work. Documents should be original or validated copies and must include contact telephone numbers so that the assessors can verify your claims.
- Try to present your evidence in a chronological order – currency of evidence is important
- Mark your documents clearly (page numbers and a footer with your name and the date and sign each page of evidence)
- Keep a full copy of your Portfolio of Evidence
- If you have used any sources or references – include these as a bibliography

In addition to the Portfolio you may be called into the assessment panel for an interview, demonstration or debate, etc. so you must be very familiar with your portfolio (and your subject) and able to answer questions on it.

Good luck.

Please contact your RPL Advisor should you require any assistance.


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### Appendix 3: Appeal form for RPL

#### RPL Appeal Form

First name:	Surname:
ID number:	Contact home telephone number:
RPL reference number:	Contact work telephone number:
Date of RPL assessment:	Contact cell phone number:
Provider for RPL assessment (and assessor's name if possible)	Address:
Name of referring RPL Advisor	<b>Portfolio of Evidence checked by RPL Advisor:</b>  Yes <input type="checkbox"/> No <input type="checkbox"/>
<b>Outcome of RPL assessment:</b>  <input type="checkbox"/> Insufficient evidence for RPL <input type="checkbox"/> Partial RPL <input type="checkbox"/> Conditional RPL	Comments:
Why are you appealing your RPL outcome (be as specific as possible)?	
Signature of Learner:	Signature of RPL Advisor:
Date of Appeal:	


For office use only	
Date of discussion with Assessor/Provider:	
Outcome:	
Follow up date with Learner:	
Outcome:	

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## LANGUAGE OF TEACHING, LEARNING AND ASSESSMENT POLICY

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<b>Name</b>	<b>Title</b>	<b>Signature</b>	<b>Date</b>
Felicity Steadman	Director		31 March 2011

### Supporting documents:


- None

## POLICY

The language of teaching, learning and assessment shall be English. Assessments will be conducted in English. Where language poses a potential barrier to fair assessment, it is the responsibility of the learner to arrange for a competent interpreter to be present during the assessment process.

All assessment guides and assessment activities, support, records shall be in English, but not limited to English.

Training Facilitators and Assessors shall be sensitive to the Bill of Rights and ensure that assessments do not infringe on these rights.

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## COLLABORATION AND PARTNERSHIPS POLICY

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### Approved for issue:


Name	Title	Signature	Date
Felicity Steadman	Director	<i>FJ Steadman</i>	31 March 2011

### Supporting documents:

- Contracts with partnership organisations if applicable

### POLICY

We operate independently from other organisations. If in the case of a collaboration and/or partnership or consortium with another organisation, the necessary agreement documentation shall be provided and securely stored.

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## EMPLOYMENT EQUITY POLICY


<b>Document Reference:</b>	<b>CD 28</b>
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Felicity Steadman	Director	<i>FJ Steadman</i>	31 March 2011

**Supporting documents:**

- Employment Equity Report if applicable

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## EMPLOYMENT EQUITY POLICY

Recruitment and promotion decisions invariably involve a balance between managerial prerogative, policy and fairness.

When relevant the organisation will implement employment policies and practice designed to achieve the advancement and adequate protection of persons previously disadvantaged by unfair discrimination. This includes Black, Asiatic, Coloured racial groups, all women and persons who suffer disability.

The organisation will act in a rational manner by selecting persons from disadvantaged groups wherever possible. These applicants however must meet the inherent requirements of the job as set down in the job specification / description / profile. Consideration is given to the degree that the skills of such person can be brought up to a required standard through training within a reasonable time and thus the organisation recognises potential as well.

This policy must go hand in hand with other measures such as training, coaching and mentoring and fast track implementation. This does not prevent nor discourage differential in issues such as remuneration, which arises from superior performance. The creation of openings for employment equity appointments and promotions does not in any way displace competency as main criteria.

CONFLICT DYNAMICS Employment Equity Plan is driven by the *Director* and supported by all managers. This is filtered down to relevant employees for their commitment to the implementation of the policy.

### Prohibition of unfair discrimination

In keeping with current legislation it is our policy to promote equal opportunity and fair treatment in employment for everyone. All forms of unfair discrimination are to be eliminated and specifically:

That no person may unfairly discriminate, directly or indirectly against any employee in any employment policy or practice on one or more grounds, including:


- race
- pregnancy
- ethnic or social origin
- age
- conscience
- culture
- gender
- marital status
- colour
- disability
- beliefs
- language
- sex
- family responsibility
- sexual orientation
- religion
- political opinion
- birth

It is recognised that discrimination can be direct, indirect or as a result of inaction, victimisation or harassment.

Employment policy or practice includes the following, but is not limited to:


- recruitment procedures, advertising and selection criteria
- appointments and the appointment process
- job classification and grading
- remuneration, employment benefits and terms and conditions of employment



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- job assignments
- the working environment and facilities; training and development
- performance evaluation systems
- promotion, transfer, demotion
- disciplinary measures other than dismissal; dismissal

It is further recognised that in terms of labour legislation an 'employee' includes an applicant for employment. It is noted that it is not unfair discrimination: to take any positive measures consistent with the purposes of the Employment Equity Act; to distinguish, exclude or prefer any person on the basis of the inherent requirements of the job.

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## HIV/AIDS POLICY AND PROCEDURE


<b>Document Reference:</b>	<b>CD 29</b>
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### **Supporting documents:**

- Definitions - Appendix A
- Information and Support Centres – Appendix B

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## **HIV/AIDS POLICY**

### **Employment**

In accordance with legislation on employment, CONFLICT DYNAMICS does not discriminate on the basis of HIV infection or association with another person with HIV infection. A contractor or part-time worker with HIV infection is welcome to continue working as long as he or she is able to perform the essential functions of the position.

### **Privacy**

Delegates, part-time workers or contractors are not required to disclose their HIV status. HIV testing is not required for any purpose.

Employees have a duty to treat as highly confidential any knowledge of speculation concerning the HIV status of other delegates, part-time workers or contractors. Violation of medical privacy is cause for disciplinary action.


No information regarding a person's HIV status will be divulged to any individual or organisation without a court order or the informed, written, signed and dated consent of the person with the HIV infection. The written consent must specify the name of the recipient of the information and the purpose for the disclosure.

All health records, notes and other documents that reference a person's HIV status will be kept confidential. Access to these confidential records is limited to those named in written permission from the person and to emergency medical personnel. Information regarding HIV status will not be added to a person's record without their written consent.

### **Infection Control**

All individuals are required to consistently follow universal precautionary infection control guidelines in all settings and at all times. Equipment and supplies needed to apply the universal precautionary guidelines must be maintained and kept reasonably accessible in all hired facilities. In addition every lecture room is to be equipped with latex gloves. This is the responsibility of the client where the training is to be conducted.

If a situation occurs at CONFLICT DYNAMICS in which a person might have been exposed to an infectious agent, such as an instance of blood-to-blood contact, a designated person shall counsel that person to seek appropriate medical evaluation. This action is to be taken in all instances of the above mentioned risks.

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## **HIV/AIDS PROCEDURE**

### **1. Purpose**

The purpose of this procedure is to detail requirements for the management of HIV/AIDS in order to ensure that CONFLICT DYNAMICS meets the set business objectives in a viable and sustainable manner, and that all stakeholders are afforded the appropriate confidentiality and dignity.

### **2. Scope**

The scope of the procedure includes the management of HIV/AIDS as specified in the HIV/AIDS Policy.

### **3. References**

SAQA Regulation No R1127 of 1998  
 Basic Conditions of Employment Act No 75 of 1997  
 Skills Development Act (Act of 1998)  
 Skills Development Levies Act (Act 1999)  
 Employment Equity Act No 55, Of 1998  
 Labour Relations Act

### **4. Definitions**

None

### **5. Responsibilities**

The responsibility for implementing the requirements of this procedure rests with the *Director* his/her delegate.


### **6. Procedure**

#### **(a) Employment**

- Employment practices relating to HIV/AIDS are implemented in accordance to legislation
- Treat all disclosures in the strictest confidence
- Do not divulge information regarding the HIV status of anyone to any party. Obtain the written, signed and dated consent of the HIV person if details need to be disclosed.
- Keep all records and documents that reference a person's HIV status confidentially

#### **(b) Infection Control**

- Employ universal precautionary infection control guidelines in all settings at all times
- All venues must be equipped with latex gloves
- In the instance of a blood-to-blood contact a designated person shall counsel that person to seek appropriate medical evaluation

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## 7. Documentation


The following documentation is required for implementation of this procedure:

- HIV/ AIDS Policy

## 8. Records

The following records are required to be maintained by implementation of this procedure:

- Confidential records of all disclosures
- Medical examinations
- Training provided (where relevant)

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## FIRE AND THEFT POLICY

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Felicity Steadman	Director	<i>FJ Steadman</i>	31 March 2011

**Supporting documents:**

- See policy document

### **POLICY**

CONFLICT DYNAMICS is covered in case of fire or theft.

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## PUBLIC LIABILITY INSURANCE

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**Supporting documents:**

- See policy document

### **POLICY**

If any liability is incurred by CONFLICT DYNAMICS by a third party then the insurance is covered and company is not personally responsible.

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**GRIEVANCE POLICY AND PROCEDURE FOR STAFF**

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**Supporting documents:**

- Form 1. Lodgement of Grievance
- Form 2. Notice of Grievance Hearing
- Form 3. Finding of Grievance Hearing



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## **GRIEVANCE POLICY AND PROCEDURE FOR STAFF**

### **1. INTRODUCTION**

It is in the interests of the relationship between the Company and employees to establish and maintain a procedure, which ***will provide an opportunity for all employees to express their concerns to management.***

Management in turn will attempt to resolve these concerns to the mutual benefit of all parties in the workplace. Finding solutions to grievances is important because, if not resolved expeditiously, minor grievances may develop into serious disputes.

### **2. WHAT IS A GRIEVANCE?**


It is any dissatisfaction or feeling of injustice which is brought to the attention of management by an employee(s) ***with regard to the work environment.***

### **3. PURPOSE AND INTENT**

- The purpose of this Grievance Procedure is to ensure that grievances are urgently resolved as close as possible to the point of origin.
- The responsibility for the resolution of grievances subject to the steps set out below shall be vested in line management.
- The employer and the employee lodging the grievance may agree to waive the stages stated in the Grievance Procedure so that the grievance may be resolved of as soon as possible.
- Employees and their representatives will not be prejudiced in their conditions of employment as a consequence of lodging or handling a grievance.
- An employee and his representatives shall not incur a loss of wages in spent at any meetings arranged to resolve a grievance in terms of this Grievance Procedure.
- A grievance by an employee must be lodged within three (3) days of the cause of the grievance.

### **4. PRINCIPLES UNDERLYING THE GRIEVANCE PROCEDURE**

- There shall be no victimisation of, or prejudicial action against any employee for using the procedure.
- The grievance procedure is not meant to address dissatisfaction arising out of disciplinary action as the appeal procedure handles such concerns.
- The confidentiality of the proceedings should be maintained at all times.
- The fundamental aspect of the employment relationship is to enable the employee and the manager to develop and maintain a relationship of trust and openness. Accordingly, an aggrieved employee is required to report any concerns to the immediate superior and use the progressive channels of seniority only when the grievance is not resolved.
- Grievances should be resolved as soon as possible and interpersonal skills should be applied when handling them.
- Time limits are specified for each stage of the procedure.

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## 5. RESPONSIBILITY FOR RESOLVING GRIEVANCES

- Management is responsible for ensuring that there is harmony in the workplace and all grievances receive prompt attention
- It is the responsibility of the employee to present the grievance clearly to Management so that proper investigations are conducted
- All grievances must be received and investigated by the lowest possible level of Management

## 6. THE RIGHTS OF AN EMPLOYEE REGARDING A GRIEVANCE

An employee who uses a grievance procedure is entitled to the following rights:

1. Not to be victimised for using the procedure
2. To expect a fair and unbiased investigation to his/her complaint
3. To be represented by a fellow employee/Shop steward on the same site
4. To be listened to
5. To be given feedback regarding the grievance

## 7. HOW DOES A GRIEVANCE PROCEDURE WORK

The grievance procedures provide for stages or steps to be followed by employees in the event of a grievance. These provide for both formal and informal processes.

### ***The Informal Procedure***

- An aggrieved employee approaches his/her superior and requests an appointment stating the issue or concern to be discussed
- The superior concerned must endeavour to hold the meeting promptly
- At this meeting, the employee raises the concern, and provides all the relevant information regarding the grievance, including suggestions on how the issue could be resolved
- The employee(s) may be represented by a fellow employee or shop steward

### ***The Formal Procedure***

#### ***Stage One***


If the grievance is not resolved during the informal stage, the employee may complete a grievance form which is made available at the office of the supervisor or the Human Resources Department and submit to the Department/Section Manager.

#### ***Stage Two***

On receipt of the grievance form, Management will convene a formal grievance hearing.

The grievance is attended by:


- The Manager who chairs it
- The employee(s) and the representative (fellow employee or shop steward)
- The immediate superior (where necessary)

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- A representative from the Human Resources Department
- Any relevant party

### ***Stage Three***

If the grievance cannot be resolved during this stage, the aggrieved employee will sign on the grievance form that he/she intends declaring a dispute with the Company and seek assistance from the Bargaining Council or CCMA.

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## CONFLICT DYNAMICS

### **FORM 1: LODGEMENT OF GRIEVANCE**

#### **Employee / Learner Details**

Employee / Learner Name & Surname:	
Company:	
Manager Name & Surname:	
Contact Telephone Number:	

#### **Grievance Details**

Grievance lodged against:

\_\_\_\_\_

[Name & Surname of individual]

Date: \_\_\_\_\_

Time: \_\_\_\_\_


Place: \_\_\_\_\_

#### **Nature of Grievance:**


#### **Additional Information:**


Date: \_\_\_\_\_

Signature: \_\_\_\_\_

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## CONFLICT DYNAMICS

### **FORM 2: NOTIFICATION OF GRIEVANCE HEARING**

#### **Employee / Learner Details**

Employee / Learner Name & Surname:	
Company:	
Manager Name & Surname:	
Contact Telephone Number:	

#### **Grievance Hearing Details**

Grievance lodged against:

\_\_\_\_\_

[Name & Surname of individual]

Date: \_\_\_\_\_

Time: \_\_\_\_\_

Place: \_\_\_\_\_

#### **Required Attendees:**



#### **Please provide the following Information:**


#### **From:**

Name: \_\_\_\_\_

Date: \_\_\_\_\_

Signature: \_\_\_\_\_

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## CONFLICT DYNAMICS

### **FORM 3: FINDINGS OF GRIEVANCE HEARING**

#### **Employee / Learner Details**

Employee / Learner Name & Surname:	
Company:	
Manager Name & Surname:	
Contact Telephone Number:	

#### **Grievance Hearing Findings:**

In the grievance lodged against:

\_\_\_\_\_,  
 [Name & Surname of individual]  
 of which the Grievance Hearing was held on:

Date: \_\_\_\_\_

Time: \_\_\_\_\_

Place: \_\_\_\_\_


the findings were as follows:


#### **From:**

Name: \_\_\_\_\_

Date: \_\_\_\_\_

Signature: \_\_\_\_\_

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## GRIEVANCE POLICY AND PROCEDURE FOR LEARNERS


<b>Document Reference:</b>	<b>CD 34</b>
<b>Revision Status:</b>	<b>8</b>
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**Approved for issue:**

<b>Name</b>	<b>Title</b>	<b>Signature</b>	<b>Date</b>
Felicity Steadman	Director	<i>FJ Steadman</i>	31 March 2011

**Supporting documents:**

- Grievance form

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## **GRIEVANCE POLICY AND PROCEDURE FOR LEARNERS**

It is in the interests of the relationship between CONFLICT DYNAMICS and learners to establish and maintain a procedure, which ***will provide an opportunity for all learners to express their concerns to management.***

Management in turn will attempt to resolve these concerns to the mutual benefit of all parties in the workplace. Finding solutions to grievances is important because, if not resolved expeditiously, minor grievances may develop into serious disputes.

### **PROCEDURE**

#### ***The Informal Procedure***

- An aggrieved learner approaches the facilitator and requests an appointment stating the issue or concern to be discussed
- The facilitator concerned must endeavour to hold the meeting promptly
- At this meeting, the employee raises the concern, and provides all the relevant information regarding the grievance, including suggestions on how the issue could be resolved
- The employee(s) may be represented by a fellow learner

#### ***The Formal Procedure***


##### ***Stage One***

If the grievance is not resolved during the informal stage, the learner may make a written submission and forward it to the facilitator.

##### ***Stage Two***

On receipt of the grievance form, Management will convene a formal grievance hearing. If the matter is not resolved, the learner may refer the matter to his/her employer who will discuss it with the Company.



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## MANAGING A MAJOR INCIDENT OR DISRUPTION


<b>Document Reference:</b>	<b>CD 35</b>
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<b>Date of Issue:</b>	<b>6 July 2012</b>

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Felicity Steadman	Director	<i>FJ Steadman</i>	6 July 2012

**Supporting documents:**

- Hard drive back up record sheet

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## **MANAGING A MAJOR INCIDENT OR DISRUPTION**

It is in the interests of the protecting CONFLICT DYNAMICS and learners to establish and maintain a procedure, which ***will ensure that intellectual property and records are stored on an independent hard drive.***

### **PROCEDURE**

- 1. The training manager will ensure that all intellectual property and other records are backed up on the recently purchased independent drive on a monthly basis*
- 2. The hard drive backup record sheet will be completed each time this general back up is conducted*
- 3. The hard drive will be stored securely away from the main office.*