Integrity Academy

QUALITY MANAGEMENT SYSTEM POLICY

Version 1.1
2016

Contents

a. Quality Policy Statement

We believe that quality is of fundamental importance to achieve conformance to the requirements of our clients, contractors and providers regarding our products, services and activities. We shall enhance our commitment to excellence through continuous improvement and quality assurance.

The management and staff of Integrity Academy are committed to implement, support and maintain an approved quality management system.

Our quality policy is thus directed at achieving the following objectives:

- Appropriate communication processes are established by management to communicate the effectiveness of the quality management system;
- Management will review the quality management system every six months, to ensure its continuing suitability and effectiveness;
- Clearly define and agree upon requirements with our clients, contractors and providers;
- Document, implement and continually improve our work practices and management systems;
- Provide the necessary resources as well as the skills and ability of employees in order to achieve our objectives and targets;
- That our product realization processes will conform to National Standards as directed by the regulatory bodies with verified results of assessment;
- Top management will ensure the effective collection of validated data from the processes, necessary to ensure the factual performance of the organization, including client perception;
- Provide enhancement of competence, via focused training for all personnel responsible for work affecting product quality;
- Ensure that the quality policy is understood and maintained at all levels of the organization.

b. Model
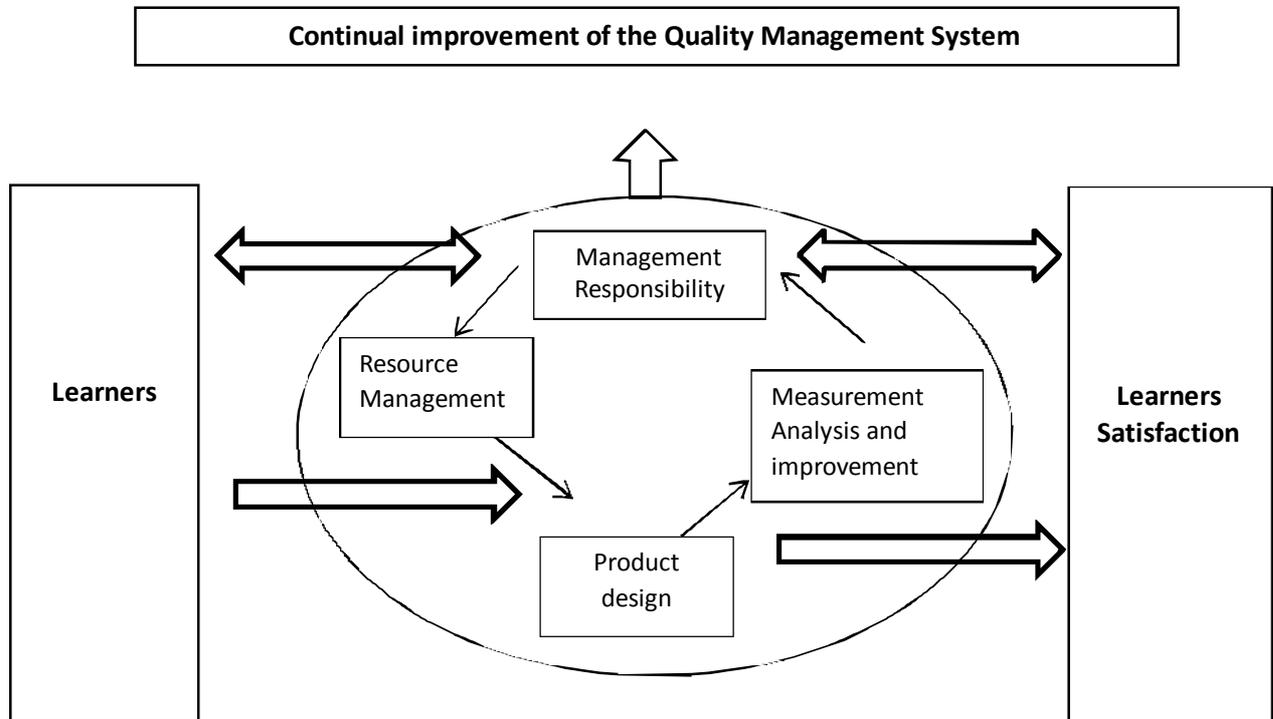
Model of Integrity Academy process-based quality management system

1. Establish the objectives and processes necessary to deliver results in accordance with client requirements and organization's policies;

2. Implement the process;

3. Monitor and measure processes and products against policies, objectives and requirements for the product and report the results;

4. Take action to continually improve process performance.

c. Quality Manual

This Quality Manual specifies the entire quality management system.

Section 1: Introduction to Integrity Academy Programmes.

As Integrity Academy will expand over the years in South Africa, so the demand for qualified and competent people will grow. Integrity Academy is responsible for the total learning function within the organisation and the staff has a proud record and history stretching over more than 26 years.

In line with its philosophy of continuous improvement, Integrity Academy launched a multifaceted business renewal programme that is providing the vision and commitment to maintain the company's integrity, stability and prosperity. Through renewal, Integrity Academy is pursuing new opportunities to further develop and empower its employees, while enhancing its achievements in the quality of services and product, safety, cost control and technological innovation.

The Quality Manual documents outlines the policies, procedures and processes that are necessary for the operation and administration of the Learning and Quality Management System as required by SAQA, the Insurance Sector Education and Training Authority (INSETA) and the Council on Higher Education (CHE).

The Quality Management System has therefore been designed, developed and implemented to meet the requirements of SAQA, INSETA and CHE.

The purpose of this Quality Manual is to specify the requirements of the quality management system.

The Quality Manual serves a number of purposes:

It is a reference to policies, procedures and processes.

- It gives confirmation that prescribed procedures exist and it serves as a reference for future decisions;

- It is a reference against which current practice can be audited;

- It will be an aid to ensure uniformity of understanding or performance and continuity when personnel changes occur.

## Section 2: Integrity Academy's Top Management Quality Policy

We believe that Quality is of fundamental importance to achieve conformance to the requirements of our clients, contractors and suppliers regarding our services and activities. We shall enhance our commitment to business excellence through continual improvement.

Consequently, the Management of Integrity Academy is therefore committed to implement, support and maintain a Quality Management System.

In order to implement this policy, we shall:

- Clearly define and agree upon requirements with our clients, contractors and suppliers;

- Always conduct its activities in accordance with Integrity Academy's Vision and Mission;

- Be committed to conform to all relevant legislation, regulations and other applicable requirements;

- Document, implement and continually improve our work practices and management systems;

- Conform to the Quality Management requirements of SAQA, INSETA and CHE;

- Provide and utilize the necessary resources as well as the skills and ability of employees in an efficient manner, in order to achieve our objectives and targets; and
- Ensure that the Quality Policy is communicated, understood and maintained at all levels of the organisation.

Section 3: Description of Services Supplied

Integrity Academy provides learning to our clients in the following areas:

- Wealth Management;
- Investments;
- Financial Planning;
- Corporate Retirement Funds;
- Health Care Benefits;
- Short Term Insurance;
- Provision of Leadership, Management and Process learning;
- Provision of Sales and Marketing learning.

Section 4: Integrity Academy: Quality Manual Policy

The purpose of this Quality Manual of Integrity Academy is to document learning policies, processes, procedures and objectives, which are deemed essential for the establishment and maintenance of an effective Quality Management System, which conforms to the quality requirements of SAQA, INSETA and CHE.

The Quality Manual serves a number of other purposes as well:

- It is a reference to policies, procedures and processes;
- It gives confirmation that prescribed procedures exist and it serves as a reference for future decisions;
- It is a reference against which current practice can be audited;
- It will be an aid to ensure uniformity of understanding and performance and will ensure continuity should personnel changes occur.

4.1   General Requirements

- Integrity Academy identified the processes needed as well as the application, sequence and interaction;
- Methods and criteria will be established to ensure the effective operation and control of the processes;
- The availability of resources and information to support the operation and monitoring of the processes will be ensured;
- The processes will be monitored, measured and analysed;
- Actions to achieve planned results and to continuously improve results will be implemented;
- Processes will be managed in accordance with the requirements of SAQA as well as INSETA.

4.2   Documentation Requirements

4.2.1   General

- The Quality Management system will include all documentation and records as required by SAQA, INSETA and CHE.
- Refer to the Control of Documents policy and the Control of Records policy.

4.2.2   Quality Manual

A quality manual will be established and maintained and will include:

- The scope of the Quality Management system;
- The Quality Policy Statement;
- The Quality objectives;
- The Required Procedures;
- The Quality Management Processes;
- Interaction of the Processes.

4.2.3   Control of Documents

A documented procedure has been established and implemented to ensure control of documents as required by SAQA, INSETA and CHE. Refer to the Control of Documents policy.

4.2.4   Control of Records

A documented procedure has been established and implemented to ensure control of records as required by SAQA, INSETA and CHE. Refer to Control of Records policy.

Section 5: Management Responsibility Process

A Management responsibility process for Integrity Academy has been established and implemented to ensure compliance to SAQA, INSETA and CHE requirements.

This process entails the following:

- Quality Policy and objectives;
- Client focus;
- Internal communication;
- Learner support, access and equal opportunities;
- Management review;
- Planning and Procedures.

Refer to Management Responsibility Process.

Section 6: Resource Management Process

A Resource Management process has been established and implemented to ensure compliance to SAQA, INSETA and CHE requirements:

- Provision of resources;
- Infrastructure;

- Work environment.

Section 7: Service Realization Process

A service realization process has been established and implemented to ensure compliance to SAQA, INSETA and CHE requirements.

This process entails the following:

- Planning of service realisation;
- Client related processes;
- Design and development;
- Service and service provision;
- Control of monitoring and measuring devices.

Section 8: Measurement, Analysis and Improvement Process

A measurement, analysis and improvement process has been established and implemented to ensure compliance to INSETA.

This process entails the following;

- Client satisfaction;
- Internal Audit;
- Monitoring and measurement of processes;
- Monitoring and measurement of service;
- Control of nonconforming service;
- Analysis of data;
- Continual improvement;
- Corrective action;
- Preventative action.

d. Design and Development Control on Learning Material

1. Purpose

The purpose of this procedure is to describe how to:

- Design a New Learning Programme or Course;
- Change an Existing Learning Programme or Course;
- Design a New Learning Manual;
- Change an Updating an Existing Learning Manual.

2. Scope

This procedure is applicable to personnel tasked with the Design and Development of courses and learning programmes.

3. Definitions

- QMR – Quality Management Representative.
- Assessment – shall mean a theoretical test and or practical evaluation.
- Operations Manager – shall mean any person in charge of the operations of the company or his/her deputy.
- Academic Head – shall mean any person in charge of the academic qualifications of the company or his/her deputy.
- Independent Contractor – shall mean any person contracted with Integrity Academy to develop or bring content of material up to date.
- Quality Controller – shall mean a person contracted by Integrity Academy who fulfils the role of quality controlling all learning material and tools developed by the Academic Head or his/her Independent Contractors.

4. Activity

4.1 Design a New Skills Programme or Course

4.1.1 When a client identifies a need for a Skills programme or course and no course or Skills programme exist, a Skills programme or course will need to be designed in-house in order to fulfil the need of the client.

4.1.2 The client contacts the Operations Manager to discuss his/her need.

4.1.3 The Operations Manager assigns the task to the Academic Head who can delegate the task to an Independent Contractor.

4.1.4 The Academic Head shall ensure that the assigned independent contractor is qualified and equipped with adequate resources or he will develop the content himself.

4.1.5   The Academic Head consults with the client in order to clarify his/her needs and expectations and advises the Independent Contractor if applicable

4.1.6   The Academic Head records the client's needs and expectations in writing on the relevant form and advises the Independent Contractor if applicable.

4.1.7   The Academic Head gathers information making use of existing Skills programme material, clients, manufacturers and any other available sources.

4.1.8   The Academic Head or his/her Independent Contractor developing the Skills programme or course into a draft format, considering the following criteria:

- **Relevancy:** Consultation shall take place with the client as well as all the stakeholders to ensure that the content of the course or program complies with the client's needs and expectations.

- **Application:** The course or Learning programme content and layout shall be a reflection of the target population for which the course or Learning programme is being designed.

- **Course Map:** A course map shall be designed to indicate a logical sequence of the Learning material.

- **Learning Outcome:** In addition to the global learning outcome, the individual learning objective of each module shall be indicated. These objectives clearly indicate which knowledge and skills will be learnt per module.

- **Pre-assessment (Pre-test):** Where applicable a pre-assessment shall be developed for each course, covering the whole course content to such an extent that the learner who passes the pre-assessment to be declared theoretically competent.

- **Criterion Tests:** Where applicable a criterion test shall be developed for each module. The learner must pass this criterion test before he can proceed with the next module.

- **Final Assessment (Final test):** A final assessment shall be developed for each Learning programme. The learner will be declared theoretical competent after passing the final assessment. The final- and pre-assessment shall be the same.

- **Learning Aids:** If applicable, learning aids such as video's, models, slides etc., and shall be developed accordingly.

- **Course Pre-requisites:** Course pre-requisites shall be indicated in each Learning manual.

- **Modules:** All Learning manuals shall be divided into modules or units in order to enable the learner to interpret and analyse the material in a logical sequence.

- **Manual Format:** All new manuals shall be compiled and printed in the agreed format.

- **Online Format:** All material and all versions thereof must be kept on the Integrity Academy server at all times.

4.1.9   The Academic Head submits the draft format of the Skills programme or course to the Quality Controller for his/her assessment.

4.1.10   The Academic Head shall make changes to the Skills programme or course until he and the Quality Controller approves the Learning programme.

4.1.11   The Academic Head shall submit the approved Skills programme to the relevant ETQA for final approval if required and submits the final product to the Operations Manager for printing purposes and saves the master copy on the Integrity Academy server.

4.1.12   All new Skills courses are subject to a trial run to validate and verify the course content and applicability. It is the responsibility of the client to provide a trial panel to attend the course for evaluation.

4.1.13   The Academic Head shall record the outcome of the verification or validation of the panel on the relevant form.

4.1.14   The above mentioned form shall be forwarded to the Operations Manager for filing in the Design and Development file for record purposes.

4.1.15   In the event of deviations detected during the trial run point 4.1.10 onwards will be followed.

4.1.16   When a manual is required for the Learning programme the procedure as in 4.3 designing a New Manual will be followed.

4.1.17   All new learning programmes and courses shall be recorded onto the relevant form by the Academic Head on the Integrity Academy server.

4.2   Change an Existing Learning Programme

4.2.1   A need can arise to change an existing Learning programme due to changes in legislation, change in standard operating procedures, improved technology, change in codes of practice or changes required by the client.

4.2.2   The Operations Manager assigns the task to the Academic Head if such a change is communicated by the client. Alternatively the Academic Head will take full responsibility to change learning material as such need arises.

4.2.3   The Academic Head gathers all the necessary information or delegates the task to the relevant Independent Contractor.

4.2.4   The Academic Head submits the draft format of the changes or course to the Quality Controller for his/her assessment.

4.2.5   The Academic Head shall make changes to the Learning programme or course until he and the Quality Controller approves the Learning programme.

4.2.6   The Academic Head finally approves the changes to the course and submits the final product to the Operations Manager for printing purposes and saves the master copy on the Integrity Academy server.

4.2.7   Any changes to a Learning programme affecting the manual are conducted as in 5.4 changing and updating Manual.

4.2.8   All changes shall be recorded onto the relevant form by the Academic Head on the Integrity Academy server.

4.3   Designing a New Learning Manual

4.3.1   The Operations Manager assigns the task to the Academic Head if such a change is communicated by the client. Alternatively the Academic Head will take full responsibility to design a new learning manual as such need arises.

4.3.2   The Academic Head gathers all the necessary information or delegates the task to the relevant Independent Contractor.

4.3.3   The Academic Head consults with the client to determine his/her needs and expectations.

4.3.4   The Academic Head records the client's needs and expectations onto the relevant form.

4.3.5   The Academic Head gathers information from existing manuals, manufacturer's manuals, client specifications, legal requirements etc.

4.3.6   The Academic Head compiles the manual into a draft layout.

4.3.7   The Academic Head submits the draft format of the changes or course to the Quality Controller for his/her assessment.

4.3.8 The Academic Head shall make changes to the Learning programme or course until he and the Quality Controller approves the Learning programme.

4.3.9 The Academic Head finally approves the changes to the manual and provides the changed manual to the client for approval.

4.3.9 On approval of the draft manual by the client and other stakeholders the Academic Head submits the final product to the Operations Manager for printing purposes and saves the master copy on the Integrity Academy server.

4.3.10 All new material shall be recorded onto the relevant form by the Academic Head on the Integrity Academy server.

4.4 Changing an Existing Learning Manual

4.4.1 A need may arise to change an existing Learning manual due to changes in legislation, change in standard operating procedures, change in codes of practice or changes required by the client.

4.4.2 The Operations Manager assigns the task to the Academic Head if such a change is communicated by the client. Alternatively the Academic Head will take full responsibility to change a new learning manual as such need arises.

4.4.3 The Academic Head gathers all the necessary information or delegates the task to the relevant Independent Contractor.

4.4.4 The Academic Head makes the changes on his/her copy of the manual.

4.4.5 The Academic Head submits the draft format of the changes or course to the Quality Controller for his/her assessment.

4.4.6 The Academic Head finally approves the changes to the manual and provides the changed manual to the client for approval.

4.4.7 The Academic Head is responsible to allocate the revised number. The date shall determine the latest edition:

- When the entire manual is changed, the complete manual shall receive the revised number and date of change.

- When only certain pages of the manual are changed only the affected page will be renumbered with the revised number and date. If the changes flow over to the next page the complete module within which the changes occur shall assume the revised number and date.

4.4.8 The Academic Head ensures that changed manuals are correctly numbered with the revised number and date.

4.4.9 The Academic Head maintains a record of all amendments of each manual in his/her department.

4.4.10 The Academic Head issue revised manuals in the same manner as if issuing a new manual.

4.4.11 The Academic Head ensures that only the latest version of the manual is available on the Integrity Academy Server.

4.4.12 The Academic Head ensures that all changes to manuals are communicated to the other Departments.

4.4.13 All changes shall be recorded onto the relevant form by the Academic Head on the Integrity Academy server.

4.5   Review of Learning Manuals and Courses

4.5.1   All Learning manuals and courses shall be reviewed twice per year during March (after the National Budget) and October to ensure updated material for the new academic year.

4.5.2   It is the responsibility of the Academic Head to ensure that the reviews take place.

4.5.3   All reviews shall be recorded onto the relevant form by the Academic Head on the Integrity Academy server.

e. Control of Documents

1. Purpose

The purpose of this procedure is to ensure that all documents relating to the Quality Management System are controlled. This procedure describes the approval of documents for adequacy prior to use which include:

- Reviewing, updating and re-approval of documents. Identification of amendments and current revision status of documents;

- Availability of relevant versions of documents at point of use;

- Legibility and readily identification of documents of external origin;

- Prevention of the use of obsolete documents and to apply suitable identification to such documents if they are to be retained.

2. Scope

This procedure shall apply to all documents relating to the Quality Management System in use in Integrity Academy Learning Department.

3. Definitions

- Procedure shall mean a summarized document specifying the way to carry out an activity or a process.
- Document shall mean a Quality Manual or procedure which provides guidelines on how the Quality Management System works.
- Work Instruction shall mean a document stating how, when, where and by whom work is done.
- Work Instruction Manual (Operating Manual) shall mean a collection of work instructions contained in one specific manual.
- Revision shall mean any change to the Quality Manual or Procedures.
- Quality Manual shall mean the manuals which document the Quality Management System implemented at the Integrity Academy Learning Department.
- Master Copy shall mean the original document which has the relevant original signatures on it, kept by the QMR in the Quality Manual.
- Initiator shall mean the person delegated to write or revise a procedure.
- Uncontrolled copy shall mean any copy and draft copy of a document without the word Controlled Document printed in red ink on each page.

- Obsolete Document shall mean any document no longer in use and marked with the words "Obsolete" in black on each page.
- Effective Date shall mean the latest version and implementation date of the document.
- Controlled Document shall mean any copy of a document with the words Controlled Document printed in red ink on each page.
- User shall mean any person performing work that can affect the quality of the service.
- External document shall mean any document of external origin that can be controlled.

4. Activity

4.1 Format

4.1.1 The format of the procedures shall be the in accordance to the attached template.

4.1.2 Each procedure shall have a cover page indicating the following:

- Header block containing: Document number, revision number, effective date, copy number and page number. Document title;
- Integrity Academy logo and department name – "Integrity Academy: Learning Department";
- Document title;
- Initiator – Signature and name;
- Authorized by: Signature and title;
- "Controlled Document" typed in red;
- The cover page shall always be page no. 1

4.1.3 Page no.2 shall always be the table of contents, which shall include at least the following:

- Cover page;
- Purpose;
- Scope;
- Definitions;
- References;
- Activities;
- Amendments;
- List of forms.

4.2 Numbering

4.2.1 Pages shall be numbered in sequence. The cover page shall always be page number one.

4.2.2 Revision number shall be printed in the header table on each page.

4.2.3 The copy number of procedures shall be printed in the header block on each page.

4.2.4 The effective date shall be the date printed in the footer table on each page.

4.2.5 Copy number 0 shall always be the master copy in possession of the QMR.

4.2.6 Each controlled document shall have its own unique identification number.

4.3 Approval for Adequacy Prior to Use

4.3.1   Any person may identify the need for a document to meet a specific requirement of the Quality Management System. This person shall now become the initiator of the document.

4.3.2   The initiator shall discuss his/her need with the Operations Manager who shall allocate a unique number to the document.

4.3.3   The initiator shall develop the document in accordance with the requirements of this procedure.

4.3.4   The new draft document shall be printed as Revision 0 by the Operations Manager and returned to the initiator for proof reading and compliance to this procedure.

4.3.5   The initiator shall submit the draft copy to the Operations Manager for approval and his/her signature.

4.3.6   The master copy shall be approved by the initiator and the Operations Manager.

4.3.8   The Operations Manager shall prepare an updated distribution list and distribute the new document against signature on the distribution list.

4.3.9   Should the new document replace a document, the Operations Manager shall collect the old documents and destroy them.

4.4   Review, Updating and Re-approval of Documents

4.4.1   When a user decides that a document needs to be revised or updated, he shall obtain a controlled hard copy of the document from the Operations Manager. The user now becomes the initiator.

4.4.2   The initiator shall now make the necessary amendments in writing on the document and log the amendments made on the prescribed document on Integrity Academy server.

4.4.3   The initiator shall discuss the amendments to all relevant personnel.

4.4.4   The initiator shall hand-over the changed document to the Operations Manager who shall print the document with the new revision number and hand it back to the initiator.

4.4.5   The initiator shall submit the document to the Operations Manager for his/her approval and signature.

4.4.6   Both the initiator and Operational Manager shall approve the document in blue ink.

4.4.7   Procedure to follow: See 5.3.8 and 5.3.9.

4.4.8   Withdrawn documents shall be documented on the "Obsolete Document Control Sheet" by the Operations Manager.

4.4.9   The Operations Manager shall retain at least two previous revised documents in the Obsolete File kept by the Operations Manager.

4.4.10 Obsolete documents shall be identified by applying the black "Obsolete" stamp to each page of the document.

4.5   Identification of Current Status and Revision of Documents

4.5.1   Any document in use with the words "Controlled Document" printed in red on each page shall be the current document.

4.5.2   The latest version of a document distributed according to the distribution list can also be seen as the current version of the document.

4.5.3   Should a document be revised and or changed the revision number will be higher than no. 1.

4.5.4   Number 0 shall always be the original document filed by the Operations Manager or Academic Head depending on the type of document.

4.5.5   Revision no. 1 shall be the original working document.

4.5.6   Any document with a revision number higher than one has been revised and changed.

4.5.7   The amendment sheet on the document shall indicate changes made to the document at each revision.

4.6   Availability of Relevant Versions of Applicable Documents at Point of Use

4.6.1   The Operations Manager shall advise each member of the personnel at Integrity Academy of the file available on the Integrity Academy server which contains all current relevant documents.

4.6.2   Should there be any amendments or changes to any documents, it shall be the responsibility of the Operations Manager to advise each member of the personnel of the changes according to the distribution list.

4.6.3   Withdrawn documents shall be documented on an obsolete control sheet by the Operations Manager.

4.6.4   The Operations Manager shall retain at least two previous revised documents in the Obsolete File.

4.6.5   The Operations Manager shall collect all obsolete documents from points of use and destroy them.

4.7   Legibility and Readily Identification of Documents

4.7.1   All documents relating to the Quality Management System shall be identified by means of a unique number as described in 5.2.8.

4.7.2   It is the responsibility of every user to ensure that documents in use are legible.

4.7.3   Should a document be damaged or become unreadable for some reason the user must report it to the Operations Manager who will replace the document.

4.8   Identification and Control of Distribution of Documents of External Origin

4.8.1   Documents of external origin relating to the Quality Management System shall be identified through the application of a red "External" stamp on each page by the Operations Manager.

4.8.2   External documents shall be under the control of the Operations Manager. (Only documents related to the Quality Management System).

4.8.3   The QMR shall ensure that such documents shall be distributed to relevant persons only.

4.9   Identification and Prevention of the Use of Obsolete Documents

4.9.1   Obsolete documents that are to be retained for record purposes shall be identified by the application of the black "Obsolete" stamp on each page of the document.

4.9.2   When a document is amended or changed the Operations Manager shall collect the obsolete documents upon distribution of the new document according to the distribution list.

4.9.3   Obsolete documents shall be documented on the Obsolete Document Control Sheet kept by the Operations Manager.

4.9.4   The Operations Manager shall file at least two previous copies of the obsolete document in the Obsolete File kept by the Operations Manager.

4.9.5   All obsolete documents shall be destroyed by the Operations Manager except the copy to be filed in the Obsolete File.

4.10   Review and Approval of Documents

4.10.1 When a user decides that a document needs to be revised, he/she shall formulate the proposed changes by obtaining a controlled hard copy of the documentation and make hand-written changes to it. The user becomes the initiator of the new proposed document.

4.10.2 The initiator shall discuss changes with relevant personnel and obtain consensus and approval from his/her departmental manager.

4.10.3 The initiator shall hand-over the changed document to the Operations Manager for electronic updating of the document.

4.10.4 The revised document shall bear the new revision number and effective date.

4.10.5 Once the initiator is satisfied with the changed (final) copy of the document, he shall sign as "Initiator" and have it approved by the Operations Manager.

4.10.6 The initiator shall hand-over the signed document to the Operations Manager for filing, issuing and distribution according to the distribution list.

4.10.7 Replaced documents shall be collected by the Operations Manager at the time of delivery of the newly revised document.

4.10.8 Withdrawn documents shall be destroyed by the Operations Manager. The replaced document original master will be filed in an Obsolete File.

4.10.9 The Operations Manager shall retain at least two previous revised documents in the Obsolete File.

4.11   Control of Documents

4.11.1 The Operations Manager shall maintain a master file of all Quality Management System related documents.

4.11.2 Revision of documents shall be recorded on an amendment sheet at the back of each controlled document.

4.11.3 A distribution record is kept to indicate recipients of the document. Recipients shall sign on the distribution record.

4.11.4 Procedures and working documents shall be distributed by the Operations Manager to all users as indicated on the distribution list.

4.11.5 The user is responsible to ensure that the procedure is the latest or current version.

4.12   List of Forms

4.1.1   Distribution list

4.1.2   Obsolete Document Control Sheet

f. Control of Records

1. Purpose

The purpose of this procedure is to ensure that all records related to the Quality Management System are controlled. This procedure describes the identification, storage, protection, retrieval, retention time and disposition of records.

2. Scope

This procedure shall apply to all records as required by the Quality System and shall include:

- Identification of records;
- Storage of records;
- Protection of records;
- Retrieval of records;
- Retention time of records;
- Disposition of records;
- Submission of records to INSETA.

3. Definitions

- Record shall mean a form or document identified as a record related to the Quality Management System as listed under 4.1.1.
- Document shall mean any Quality Manual, procedure, work instruction or any other document related to the Quality Management System.
- Retention time shall mean the period for which the record must be kept.
- Retrieval shall mean who has access to specific records.
- Disposition shall mean how to dispose of obsolete records.
- Controlled copy shall mean copies printed "Controlled document" in red on each page with the copy number filled in with blue ink.
- Uncontrolled copy shall mean any copy without the red "Controlled document" printed on each page.
- Document controller shall mean the Operational Manager tasked to control documents and records.

4. Activity

4.1 Identification of Records

The following has been identified as records for the purpose of the Quality Management System:

- Customer complaints;
- Management reviews;
- Education, training, skill and experience of personnel;
- Course evaluation reports;
- Review of requirements and action related to the service;
- Inputs relating to service requirements;
- Design and development review and actions;
- Results of design and development verification and actions taken;
- Results of design and development validation and actions taken;
- Results of design and development changes and actions taken;
- Records of calibration and verification;
- Records of audits;

- Records of authorisation to release service;
- Records of non-conformities and actions taken;
- Records of corrective action;
- Records of preventive action.

4.2 Storage of Records

Records related to the Quality Management System shall be kept by the Operations Manager in a dedicated file on Integrity Academy server.

4.3 Protection of Records

4.3.1   All records shall be kept as stated in 4.2.

4.3.2   Records shall be protected by means of a password on the electronic file by the Operations Manager.

4.3.3   Only the Operations Manager, Quality Assurer and Academic Head has access to records.

4.4 Retrieval of Records

4.4.1   Records relating to the Quality Management System shall be retrieved by the Operations Manager, Quality Assurer and Academic Head.

4.4.2   Records needed by any other person can be retrieved by asking the Operational Manager, Quality Assurer or the Academic Head for the specific record needed.

4.5 Retention Time

4.5.1   Retention time of different records shall be in accordance to legislative or other requirements.

4.5.2   Records relating to the Quality Management System shall be retained for a period of five years.

4.5.3   Retention time of certain records shall comply with relevant legislation.

4.6 Disposition of Records

4.6.1   Records shall be disposed of only after reaching their retention time.

4.6.2   It shall be the responsibility of the Operations Manager to ensure that no records are disposed of before the retention time has lapsed or in any other manner than described.

g. Management Responsibility

1. Purpose

This procedure covers the requirements and responsibilities of management in relation to the Quality Management System within Integrity Academy.

2. Scope

This procedure covers the following:

- Management commitment;
- Customer focus;
- Quality Policy;
- Quality Objectives;
- Quality Management System Planning;
- Responsibility, authority and communication;
- Management Representative;
- Internal communication;
- Management review;
- Resource management and Infrastructure;
- Work environment.

3. Definitions

- Top management shall mean management of Integrity Academy.
- Internal customer shall mean any person employed by Integrity Academy.
- External customer shall mean any person not employed by Integrity Academy.

4. Activity

4.1 Management Commitment

4.1.1   Management established the Quality Policy and Quality objectives and shall ensure that these objectives are met.

4.1.2   Management shall communicate the importance of meeting customer, as well as statutory and regulatory requirements to the organization.

4.1.3   Management shall ensure the availability of resources to meet the requirements of the Quality Management System.

4.1.4   Management shall conduct and participate in management reviews.

4.1.5   Management shall communicate organizational direction and values regarding Quality and Quality Management Systems.

4.2 Client Focus

4.2.1   Management shall identify our clients, internal as well as external.

4.2.2   Management in conjunction with the clients shall determine what their needs and expectations are.

4.2.3   Management shall ensure that the client's needs and expectations are met.

4.2.4   Management shall assess internal as well as external client satisfaction.

4.3   Quality Management Systems Policy

4.3.1   Management drafted the Quality Management Systems Policy, which was approved and signed by the Managing Director of Integrity Academy.

4.3.2   The Quality Management System Policy is displayed throughout the department and is available for viewing in the record room.

4.4   Quality Objectives

4.4.1   Management shall develop Quality objectives for each process.

4.4.2   Management shall ensure that Quality objectives are measurable and consistent with the Quality Management System Policy.

4.4.3   Management shall communicate the Quality objectives in such way that personnel in Integrity Academy can contribute to their achievement.

4.4.4   Management shall define the responsibility for deployment of objectives by including it into job descriptions.

4.4.5   Management shall review and revise Quality objectives as necessary.

4.5   Quality Management System Planning

4.5.1   Management shall be responsible for the Quality Planning of Integrity Academy.

4.5.2   Management shall define the process needed to effectively and efficiently meet the Quality objectives.

4.5.3   Management shall ensure the Integrity of the Quality Management System is maintained when changes to the Quality Management System are planned and implemented.

4.5.4   Management shall regularly review the outputs to ensure the effectiveness and efficiency of the process of Integrity Academy.

4.6   Responsibility, Authority and Communication

4.6.1   Management shall ensure that responsibilities and authorities are defined and communicated within Integrity Academy by means of job descriptions.

4.6.2   Responsibilities and authorities as defined in job descriptions shall enable persons in Integrity Academy to contribute towards achieving the Quality objectives.

4.6.3   Job descriptions shall be developed for each role within Integrity Academy.

4.7   Management Representative

4.7.1   A member of management shall be appointed as Management Representative.

4.7.2   The Management Representative shall report all Quality related matters to the Academic Head.

4.8   Internal Communication

4.8.1   Management shall ensure that communication processes are established within the Department.

4.8.2   Management shall ensure that communication takes place regarding the effectiveness of the Quality Management System.

4.8.3   Internal communication can be any of the following:

- E-mail;
- Memo's;
- Minutes;
- Verbal;
- Meetings;
- Notice boards.

4.9   Review Policy

4.9.1   Management review meetings shall be held at regular intervals as decided by Management.

4.9.2   The purpose of these meetings shall be to review the effectiveness of the Quality Management System.

4.9.3   The meeting shall be held bi-monthly until decided otherwise by Management.

4.9.4   The Managing Director: Integrity Academy or the appointed person shall chair the meeting.

4.9.5   The Secretary of the Managing Director: Integrity Academy shall be responsible for the minutes and distribution of the minutes at least 2 days after the next meeting.

4.9.6   An agenda shall be used. The agenda is not fixed and items may be added.

4.9.10   The Management Review Committee shall consists of at least three of the following persons:

- Managing Director: Integrity Academy;
- Academic Head;
- Manager: Operations and Key Accounts;
- Quality Assurer.

4.10   Resource Management and Infrastructure

4.10.1   Management shall determine and provide the resources needed to implement and maintain the Quality Management System and to continually improve its effectiveness and to enhance customer satisfaction by meeting their requirements.

4.10.2   Management shall ensure that all personnel performing work affecting Service Quality are competent on the basis of education, learning, skills and experience as reflected in their job descriptions.

4.10.3   Management shall ensure that all personnel are aware of the relevance and importance of their activities and how they contribute to achieving the Quality objectives.

4.10.4   Management shall provide and maintain the infrastructure needed to achieve conformity to service requirements.

4.11   Work Environment

Management shall ensure that work environment has a positive influence on motivation, satisfaction and performance of people to enhance the performance of Integrity Academy.

h. Assessment and Moderation Policy

1. Purpose

The Assessment and Moderation Policy plays a key role in the quality assurance process and is a reflection of the high standard Integrity Academy sets. In this policy all assessors and moderators are guided by requirements set out by Integrity Academy to ensure quality assessing and moderation which is also required by INSETA, CHE and SAQA.

2. Scope

The Assessment and Moderation Policy is applicable to all assessors and moderators that assess and moderate qualifications for Integrity Academy.

3. Reference

The Assessment and Moderation Policy is attached hereto as annexure "A".

i. Learner Support and Guidance

1. Purpose

To enable Integrity Academy to uphold a high pass rate sufficient learner support and guidance is of the utmost importance.

2. Scope

The learner support and guidelines below are applicable to all student registered with Integrity Academy who's terms and condition timeframe has not yet expired at the time of requesting support and guidance.

3. Support and Guidance

3.1 Study Guide

Every single educational module on the curriculum has an accompanying learner guide/ workbook, which includes prescribed reading, practical assignments, assessment activities and tutorial letters. In addition, textbooks are also prescribed to supplement the readings.

3.2 Integrity Academy Staff

Personnel are experienced in the delivery and management of education programmes. As leading educationalists we have a well-balanced bank of experience of industry and academic expertise, which ensures that students receive continuous support and guidance. Staff is appointed in the various tuition hubs to provide telephonic and email support to students.

3.3 Accessibility

Stringent and inflexible study structures severely prejudice a balanced education, which makes **Integrity Academy** supported distance learning mode of delivery the ideal alternative for undergraduate studies. We offer you facilitated work sessions to support you in your studies.

Distance learning also means that there is as little disruption to personal life and a full-time work schedule. Based on completing modules and assignments in your own time, Integrity Academy programmes requires no daily or weekly commitments and accommodates a career of extensive travel, extended working hours, or simply a balanced social and working life.

3.4 Library and Electronic Support

Other than fully-fledged libraries in certain cities, Integrity Academy has formal agreements with other educational institutions, which grants students access to their library facilities. Added to this, all Integrity Academy students have access to online journal articles via www.integrityacademy.co.za. This means that students can access the latest research from anywhere in the world via the internet.

3.5 Student Financial Aid

We do not provide bursaries, but we allow flexible payment options. A student can apply for bursary options at their place of employment to fund their studies either through a once off payment or can make arrangements with Integrity Academy to pay their full fees in 2 or 4 instalments.

3.6 Workshops

Workshops are held at the various venues to support students in their studies. The workshop includes orientation, academic support & requirements, group work, tutor presentations and assignment focus. During workshops, students have the opportunity to discuss key themes and perspectives in their study units/modules. Guidelines are also given to produce good quality assignments. Workshops foster interaction between academics and students in a supportive learning environment. The interactive nature of the workshops allows students to discuss relevant issues on a one-to-one basis, and to seek clarity on important foundational concepts of the programme.

3.7 Enrichment Workshops
This focuses on numerous subjects/topics and includes examination focus and exam guidelines.

j. Appeals and RPL

1. Appeals - Purpose

Learners are entitled to appeal against the assessment decision if the assessment practices did not correspond with the agreed assessment plan.

The learner will be required to complete an application for appeal as stipulated in the appeals procedure.

Appeals can be brought against:

- Unfair assessments;
- Invalid assessments;
- Unreliable assessments;
- Biased judgment by assessor:
    - Inadequate expertise and experience of the assessor;
    - Unethical practices.

1.1 Integrity Academy: Appeals procedure

This procedure is for all learners within Integrity Academy operating within the National Qualifications Framework outcomes-based system and relates directly to an assessment dispute.

This procedure will be applicable in the following situations:

- any candidate who is unhappy about his assessment results;
- any candidate who is unhappy about the assessment procedures;
- any disagreements with interpretation and judgment;
- any candidate who is unhappy with the assessors' standards and codes of conduct;
- any candidate who is unhappy with the Integrity Academy's code of conduct.

This procedure enhances the principles of the credibility, fairness and transparency of the assessment process. The procedures to be followed are:

Stage 1	• Discuss the issue with the assessor; • Try to find a solution for the problem.
Stage 2	• If no solution can be found, the learner can lodge and appeal, in writing, within 10 working days at Integrity Academy; • This appeal will be lodged with the Academic Head: Integrity Academy.
Stage 3	• The Academic Head: Integrity Academy will appoint an internal moderator to investigate this appeal; • The internal moderator will conduct an investigation in consultation with the assessor and learner, within 15 days of receipt of the appeal; • The internal moderator, who will provide both parties with a report within four weeks, will take a decision.
Stage 4	• If the candidate is still unhappy about the outcome he/she should refer the matter to an external moderator/INSQA; • The external moderator conducts an investigation within 20 working days of receipt of the appeal notice. This investigation may involve the internal moderator, assessor, learner and possibly an expert witness and/or objective third party in agreement with all parties.
Stage 5	• If the learner is found to not be competent at this stage he/she should be given guidance on other possible and more suitable learning pathways.

1.2 Reference

The Assessment and Moderation Policy is attached. Please see document with the following title: Curriculum Development, Review, Access, Support and Assessment Policy for Contact and Distance Learning.

2. RPL POLICY

Integrity Academy's policy on the assessment of competence and RPL is highlighted below:

2.1 Competence

Proof of competence is a pre-requisite for all job roles. Traditionally paper-based qualifications do not necessarily constitute proof of competence. Where RPL evidence is insufficient the Integrity Academy preferred procedure for assessment and declaration of competence to meet job requirements will be used.

2.2 Performance Agreement

The competence of an individual shall be fairly aligned with the Performance Agreement and assessed against specified Unit Standards.

2.3 Access to RPL

Assessment must be available to all employees who have the potential to achieve the specified unit standards. This means the assessment must not:

- Depend on the mode of learning or development;

- Depend on the location of learning or development;

- Have upper or lower age limits (except where legal requirements apply and taking into account that learners will be of an employable age);

- Require learners to spend a specified period of time in education, training or work (except where legal or statutory requirements make this necessary).

Divisions should ensure that all RPL systems, guidance and instruments are free from any barriers which restrict access to unit standards.

A key feature of access to assessment and RPL is that learners should be able to make informed decisions about their own assessment and learning needs. Learners must be made aware of the precise requirements of standards and assessment and RPL arrangements.

2.4 Development

Inequalities after education and training amongst historically disadvantaged employees shall be redressed through a process of assessment, personal development and appropriate RPL as per the proposed Integrity Academy system.

2.5 Recognition

Recognition will be granted to all employees for work-related knowledge and skills gained by means of a certificate of competence as per Unit Standard and within a system of accreditation recognised by INSETA ETQA and SAQA.

2.6 Alignment of needs

A balance between the developmental needs of an individual and the requirements of Integrity Academy must be maintained at all times.

j. Staff and HR

1. Purpose

The purpose of the Staff Policy is to regulate all matters relating to employment with Integrity Academy.

2. Scope

The Staff Policy is applicable to all full time employees.

3. Reference

The Staff Policy is attached hereto, see document labelled: "Recruitment and Selection Policy".