

**GrowZA Social Investment Agency**

**Quality Management System**



# QUALITY POLICY

QP/GZA/001

## Our Mission

Translating the good work of our partners into the language of social progress.

## Goals and Vision

Develop systems of ACCESS for underserved communities

Leverage influence networks to enact social good

Drive a pragmatic social investment agenda with partners

To meet or exceed community expectation

## 2. Quality Management System

General requirements

The Quality Management System (QMS) is that part of our overall business system which implements our Quality Policy, establishes procedures for providing training which meet or exceed learner expectations, and satisfies external quality system requirements. The QMS includes the policies, procedures, organizational structure, requirements and responsibilities for achieving our quality policy. The foundation for our QMS is found in our company's stated values, beliefs and culture.

This Quality Manual and its associated procedures establish and document the means by which we implement, maintain and continually improve our QMS. It also identifies the criteria and methods required to ensure effective operation and control of the system, and identify the measurement, monitoring, analysis, information, and actions necessary to achieve planned results and continuous improvement.

Management responsibility

Senior Management provides evidence of its commitment to the development and improvement of the quality management system through both words and actions.

We

ensure that our Mission, Quality Policy, Values, Beliefs and Organizational Culture are understood, implemented, and maintained at all levels of the organization through documented training, regular communication, verbal reinforcement and rewards.

Quality Policy

Our Quality Policy specifies the Degree of Excellence as "all activities of the organization 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.

We realize that Quality is the responsibility of all personnel, and therefore will promote a Quality Culture within the organization 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.

Where deficiencies are found, related to the operation of the QMS, corrective and preventative action will be taken to ensure continual improvement of TP policies and procedures. The Quality system has the full commitment of Management.

#### Quality management system planning

Our QMS identifies and plans for the resources needed to ensure that our quality objectives are met. This includes the identification and planning of QMS processes, the resources needed to ensure its successful implementation, and objectives for continuous improvement. Any changes to the system are conducted in a controlled manner so that the integrity of the QMS is continually maintained.

#### Responsibility, authority and communication

The following have the key responsibilities and authority for maintaining the integrity of our Quality Management System:

##### Senior Management –

Senior Management is responsible for Strategic Planning and Quality Improvement Process Planning, the development of our Quality Policy, Vision, and Values & Beliefs, and provision of the necessary resources for accomplishing our goals and objectives. Additionally, Senior Management is responsible for conducting quality system reviews on an annual basis.

##### Operational Management –

Is responsible for the execution of the Strategic Plan, budgeting, and implementation of the quality management system and policies are the responsibility of Managers throughout the organization. This explicitly includes responsibility for implementation of our Quality Policy and ensuring adherence to our Values and Beliefs throughout the organization units for which they are responsible.

##### Employee Responsibility –

All employees are responsible for the quality of their work and for their part in the overall processes used to provide products and services to our customers. Employees will identify and record any problems relating to the product, process, and quality system. Employees are also the key participants in process improvements and the identification of measures needed to ensure the continued success of our continuous improvement process. They will initiate, recommend, or provide solutions through the Corrective/Preventive Action Program.

#### Internal communication

We ensure communication regarding QMS processes and their effectiveness between all levels of our organization through documented training and regular

formal and informal communication methods.

#### QMS Review Committee and Brief

Representatives from Senior Management Operational Management and staff will constitute the QMS Review Committee. This committee will conduct an annual QMS review to ensure the continuing suitability, adequacy, and effectiveness of the organization. At this review, a number of Quality Management System components are reassessed to ensure that they remain current and applicable with business trends and market shifts. These include the Mission Statement and Quality Policy, Values and Beliefs, annual quality objectives, and the need for changes to the QMS.

The QMS review also includes a review of current performance and opportunities for improvement related to follow-up actions from earlier reviews, customer feedback, the internal audit program, the corrective/preventive action program, the preventive maintenance program, process performance and product conformance data, and other changes that could affect the QMS.

#### Provision of resources

Appropriate resources, including trained employees, are identified and provided throughout the documented quality system. These include the resources needed to ensure implementation and improvement of the QMS, conduct audits/due diligence, and address customer satisfaction. We believe that our employees are our most valuable assets. In line with our Values and Beliefs, we will do our best to help them achieve their full potential through continuous education and training.

We determine employee training, awareness, and competency needs through a variety of methods. All employees are evaluated and qualified on the basis of documented or demonstrated competencies. Qualification records for all employees are maintained.

We develop and provide training that balances organizational competency needs with the development and career needs of our employees. When a procedure is updated and implemented, those employees responsible for that specific process are trained prior to deployment of the new or changed process or procedure. We maintain records for all training received.

We evaluate the effectiveness of the training through immediate feedback and longer term evaluation through the employee performance review process. We ensure that our employees are aware of the relevance and importance of their activities and how they contribute to the achievement of our quality objectives. We have identified and will manage the human & physical factors needed to achieve success learning and exceed learner expectations. A suitable working environment is maintained to ensure product quality.

#### Measurement, analysis and improvement

Communities are the reason we exist, and drive our quality policy "to meet or exceed community expectations." We collect, monitor, and evaluate information on community and stakeholder satisfaction in order to determine how well we are performing against this critical objective. Our objective is to be particularly responsive to dissatisfaction or complaints. Anyone receiving a complaint has the responsibility for documenting the complaint in accordance with procedures. In addition, the person receiving the complaint will try to solve the problem immediately. If that individual cannot resolve the problem, then the problem will be

transferred to an appropriate employee for resolution.

Internal audits are critical to the success of our Quality Management System. They help to determine the effectiveness of the system, as well as to identify opportunities for improvement. If the system is effective internal audits can aid in identifying additional opportunities for improvement. If the system is not effective, internal audits will help determine the scope, nature and source of the problem as well as possible corrective actions needed to achieve effectiveness. The results of these audits form an integral part of the continual improvement process.

#### Continual improvement

We plan and manage the processes necessary for the continual improvement of the QMS through the establishment of objectives, the planning of the process, the provision of resources and information needed to carry out the process, the monitoring of related measures needed to assess process effectiveness and efficiency, and the identification/implementation of actions needed to achieve desired results.

## HUMAN RESOURCES POLICY

HRP/GZA/002

We commit to utilize optimally the human and other resources and apply fair labour practices in keeping with relevant labour legislation. Before creating a post for any newly defined job or filling any vacancy, Management shall satisfy itself that; the posts are required and necessary to carry out the functions and that sufficient funds have been budgeted for the posts.

For each post, Management shall establish a job description and specifications, job title; remuneration scale; the job profile indicating the key performance areas of the post or posts; primary outcomes to be achieved by the incumbent and the minimum level of skills, knowledge, attributes and competencies required of the incumbent.

At least once a year, Management shall: Review the job description, job titles and where necessary redefine them to ensure that they remain appropriate and accurate and make the necessary adjustments to the performance management system to ensure compatibility with the job descriptions.

Management shall apply the performance appraisal system to ensure that work of equal value receives equal remuneration and reward; to assist in achieving effective organization of work and to determine appropriate remuneration of work. Where Management evaluates any job or post in the staff structure, it shall apply an approved job evaluation system or systems.

Management shall ensure that it complies with all Labour related regulations. All relevant deductions will be made from employee salaries before salary payment is made. In addition, staff are allowed a subsistence allowance and to claim official travel. Employees who are required to undertake duties which will oblige them to spend at **least** one night away from his / her usual place of residence the direct cost incurred shall be covered by the organisation.

From time to time employees leave the employ by resigning, retiring or through dismissal or retrenchment. We shall respect the rights of employees and pay them accordingly. An employee may voluntary resign on giving notice of not less than:

One calendar month, in the case of full time employees who have been employed for one

year or more.

Five working days in case of temporary staff or consultants.

Two weeks if the employee has been employed for more than four weeks but not more than one year, or the employee is on probation

We shall manage staff performance in **a consultative, developmental and non discriminatory** manner in order to enhance efficiency and service delivery. Performance management procedure shall be outcome-based and aim to enhance the ability of employees to achieve the primary objectives (key deliverables) of the strategic business plan, while at the same time linking up with individual career and skills development. We value employees who are willing to devote themselves to a career in the organisation, and endeavour to provide opportunities for self-development and advancement in line with individual skills and abilities within the organisation's operational requirements. Career management or path is the process by which the career aspirations of the individual employee are reconciled with the operational objectives of the organisation, and is closely linked to performance management.

We fully support staff development that focuses on not only developing the individual but also the context within which he/she fulfils their job function. Education, Training and Development efforts must support work performance and career development of the employee in his / her field of work. Both training and development should be driven by the needs of the organisation and of the employee linked strategically to broader human resources aimed at enhancing employment equity and representation. The Skills Development Facilitator shall coordinate the development of the workplace skills plan.

### **Staff Code of Conduct**

The code of conduct provides a guideline as to what is expected from staff in performing their daily tasks as well as providing a common ethical basis for individual conduct. Employees shall be committed to conducting themselves with accordance with the highest standards of integrity and ethics and in compliance with other legislation related to objectivity, independence and conflict of interest. The code shall act as a guide to employees as to what is expected of them from the ethical point of view, both in their individual conduct and in their relationship with others. Compliance with the code is expected to enhance professionalism and help to ensure service confidence in the sector. The primary purpose of the code of conduct is to promote a good exemplary conduct.

Except where otherwise stated, this code shall be a rule for all employees on full-time, part-time or contractual basis and for learners during their theoretical and workplace training.

Employees have a duty to act fairly to all persons or stakeholders who have an interest in the organization, and shall not act in anyway unreasonable or discriminatory. In order to protect the integrity, impartiality and independence of the organization, all activities should stand up to the closest public scrutiny.

Employees shall not accept or solicit any gift, hospitality or other benefit that could influence, or be seen to influence his / her judgment, integrity and independence. Where there is doubt as to the appropriateness of a gift, hospitality or other benefit, the employee concerned should discuss the matter with Management.

An employee shall honour the confidentiality of matters, documents and discussions, classified as being confidential or secret; not use or disclose any official information for personal gain or gain of a third party or an outsider and not use or allow to be used to further private interests and gains of others.

An employee should not undertake remunerative work outside his / her official duties, or use office equipment for private work without the explicit approval from the Management and use the organization's equipment for private use.

An employee should not engage in any transactions that are in conflict with or infringes on execution of his / her duties; involve him / her with action which may result in improper personal gain.

An employee shall dress and behave (during official duties) in a manner that could enhance the positive reputation of the organization; outside working hours conduct him / herself properly and avoid unbecoming behaviour which will lead to disciplinary action if it negatively reflects on the organization's image; be honest and truthful and conscientious in his / her approach to and in performance of his / her duties; conduct him/herself with courtesy and consideration towards everyone in performing duties and observe and promote a human rights culture.

An employee shall cooperate with public institutions established under legislation and country's constitution in promoting the sector's interests; serve the education and training sector in an unbiased and impartial manner in order to create confidence in the work of the organization; be committed in the development, upliftment of training and skills development in the sector and not discriminate unfairly against anyone on account of race, gender, religion, disability, nationality, etc.

An employee shall co-operate fully with other staff members; assist colleagues in complying with the code of conduct and co-operate with appropriate measures in applying the code of conduct; not irresponsibly criticize the professional work or attainments of others but rather focus on the value of the support and assistance they provide. Individual contribution should be acknowledged in a meaningful way. Execute all reasonable instructions in his / her official capacity provided that these are not contrary to the provisions of the code of conduct, and any other relevant legislation. Never abuse his / her authority or influence another employee, nor allow him/ her authority or influence another employee, nor allow him / her to be influenced to abuse his / her authority. Use proper channels to air his / her grievances or direct representation and commit to the optimum development, motivation and utilization of any sub-ordinates and the promotion of sound labour interpersonal relations.

An employee shall strive to achieve the objectives of the organization in a cost effective manner; Be creative in thought and in the execution of his / her duties, seeking innovative ways to solve the problems, and enhancing effectiveness and efficiency within the context of the law; Be punctual in the execution of his / her duties; Execute his / her duties in a professional and competent manner; Promote sound, efficient, effective, transparent and accountable administration and In the course of his / her duties, report to appropriate authorities any corruption, fraud, nepotism, misadministration or any other act which may constitute an offence.

All employees shall subscribe to the following value:

- Be transparent and fair in their conduct
- Co-operate with honesty and integrity
- Be courteous and caring to others
- Apply moral and legal precepts
- Honour deadlines
- Be principled and consistent in their conduct
- Strive to continuous improvement with regard to their roles, functions and performance

Any violation of any part of this code of conduct may result or cause appropriate disciplinary action in terms of the Disciplinary Procedure.

## **STAFF RECRUITMENT, SELECTION AND APPOINTMENT PROCEDURES**

SRSP/GZA/003

These guidelines regulate the recruitment and selection of staff. The aim is to ensure, through consistent procedures, fair criteria and equal treatment of candidates, that the best person is appointed to meet the requirements of any particular job. In aiming to maintain and enhance the quality of staff recruited, the organization recognizes the benefits of unbiased selection of the best candidate from the widest pool of applicants.

Vacant posts will normally be advertised in the interests of ensuring full and fair competition from the widest field of candidates. However, the Management reserves the right to consider for appointment persons other than those who make formal application in response to the initial advertisement. The advertisement must carry the following contents of the job:

- The job title - which should be gender neutral;
- Main purpose or function of the job - a brief statement;
- Main tasks, duties and responsibilities - including a general statement to cover "such other duties as may reasonably be assigned";
- The scope of the job - where the main tasks may not amply cover the scope or importance of the job, an indication of the number of people supervised, the equipment and other resources etc. may be given.

In drawing up the person specification attention will be given to:

- The knowledge and skills required for the job, which include job-related abilities, qualifications and knowledge. Identifying ways of testing and measuring relevant skills gives objectivity to the process;
- The experience needed to perform the job competently, which may arise from a variety of backgrounds;
- Any personal factors must be relevant to the performance of the job, for example, a job involving heavy use of the telephone might not be suitable for a person with speech or hearing difficulties but could be done by a candidate with mobility problems. Similarly work involving a high degree of manual dexterity, could be done by someone with hearing impediments. The aim is to be explicit about the tasks to be performed so that a potential applicant with a disability is in a position to judge their suitability for a particular job.

Shortlists may range from two up to a maximum of four candidates. The short-listing process must always involve more than one person. When short-listing the aim is to match candidates to the further particulars, job outlines and person specifications. Attention must be paid to criteria specified as essential, desirable and other in that order. Exceptionally where a large number of applications have been received, it may be necessary to introduce supplementary criteria to identify the final shortlist of up to

four candidates. Such criteria must avoid factors that might be construed to be directly or indirectly discriminatory, and be in conformity with equal opportunities considerations. The principle should be to assess the ability of applicants to carry out the duties of the post with factors not relevant to such consideration disregarded. By using a short-listing form, a record is kept of the reasons for short-listing or rejecting candidates by reference to the selection criteria and information about the requirements of the job. Such notes may be referred to in the event of complaints or allegations of any unfairness in the selection process.

Written references on short-listed candidates will be taken up and be available to the selection panel. Referees should be given sufficient information about the job to make an informed judgment as to the ability of the candidate to undertake the tasks involved and to confirm that there are no major areas of concern such as capability and absenteeism. Written references must be obtained where the job involves the handling of money or work in other sensitive areas (such as involving contact with young people or vulnerable adults) to vouch for the honesty and integrity of the candidate. Where a reference is short and uninformative, it may be necessary to seek supplementary comment or to obtain a further one. This can be done by fax or e-mail. Telephone references must be avoided. Where applicants have asked that a referee not be approached without permission, such permission should be sought at an appropriate time in the recruitment process. If a candidate does not nominate his or her current or last employer (if unemployed), it is appropriate to reserve the right to approach that employer with the candidate's agreement. References are confidential documents to be made available only to members of the selection panel.

So far as is reasonably practical and appropriate, selection panels should include men and women, those from minority ethnic groups and relevant stakeholders such as Trade Unions. It helps the process if the panel reflects the composition of the group to be interviewed. The panel should:

- Ensure that the interviews are conducted in accordance with the policy on equal opportunities;
- Clarify any ambiguities and ensure there is a broad consensus prior to the commencement of formal interviews;
- Agree on the broad areas within which each member of the panel will question candidates and the approximate length of interviews;
- Ask comparable questions of all candidates.

The selection panel will aim to ensure that each interview is of roughly similar duration. It is recommended that:

- A mix of open and closed questions can be used with appropriate follow-up in order to assess candidate's ability to undertake the duties of the post and to probe the depth of knowledge of candidates;
- Key questions should be directed in much the same terms to each candidate so that all have the opportunity to respond to important issues or aspects of the job;
- Where candidates are asked to comment on a specific technical point or hypothetical example, each candidate should normally be asked to address that same point;
- Subsidiary questioning may be tailored to individual candidates' experience;
- At the conclusion of each interview candidates should be given the opportunity to raise any points or questions with the panel.

At the conclusion of the interview, the Chair should advise candidates as to the way in which they will be notified as to the outcome. Normal practice is to contact the successful candidate by telephone and then inform unsuccessful candidates in writing as to the outcome.

The panel should be clear why the successful candidate (and any reserve candidate) was chosen in preference to the other candidates. Notes should be clear, to the point and non-discriminatory bearing in mind that in the event of disclosure the reasoning should be easily read by and understandable to a third party.

The Chair of the selection panel shall advise the successful candidate that he or she is being recommended for appointment and ascertain whether the selected candidate is liable to accept on the recommended salary and other terms to be offered. Unsuccessful candidates must also be informed once an appointment is made. A candidate dissatisfied with the recruitment and selection procedure should submit a written complaint to the panel. The panel will respond in writing the reasons why the appointee was selected. Operational Management will inform the complainant (within 2 weeks) in writing, the panel's reasons.

## **STAFF PERFORMANCE PROCEDURE**

SPP/GZA/004

This document provides guidelines for evaluating the performance of staff. The organization recognizes the value of its employees and understands that the quality of its services depends upon the employees. It is the organization's policy to maintain a regular and meaningful staff employee performance appraisal. The primary goal of the appraisal is to encourage on-going, objective communication between the employee and management and on the employee's duties and performance; the secondary objective is then the continued improvement of every employee's job performance.

Performance appraisals provide a means of informing employees of the quality of their work and identifying areas of performance that may need improvement. Performance appraisals are to be used as a positive, constructive tool to measure an employee's performance. Performance appraisals help supervisors make the most effective use of their personnel resources and provide valuable feedback to employees concerning their job performance and the expectations of their supervisors.

Among the objectives of the appraisal process is:

- To provide clearly defined performance standards based upon the employee's current job description to ensure that employees know what is expected of them

- To encourage supervisors and employees to have face-to-face discussions and provide employees feedback about their job performance

- To express appreciation for outstanding contributions and performance; conversely, to discuss performance areas where improvement is possible or needed and to outline plans for improving performance

- To translate quality policies into quality actions

The immediate supervisor is responsible for formally evaluating the performance of the employee using the Staff Performance Appraisal Form. The performance appraisal form must be completed and signed by the immediate supervisor in accordance with procedures established by Human Resources. The immediate supervisor will conduct an interview with the employee to discuss his/her performance appraisal. The appraisal interview shall be scheduled in advance and with only the supervisor and the employee in attendance. After the performance appraisal interview has been conducted, the employee shall sign the appraisal form acknowledging that he or she: had the opportunity to comment and discuss the

appraisal; has the option of filing a written rebuttal to the appraisal within five working days of receiving it; and has the opportunity to discuss the appraisal with the reviewing official. The employee shall be provided a copy of the appraisal. If the employee refuses to sign the appraisal, the supervisor conducting the evaluation shall so indicate by noting, "Employee refused to sign" and by initialing the refusal date. Completed appraisals shall be forwarded to Human Resources for filing in the employee's official personnel file.

An employee who disagrees with his/her performance appraisal may file a written rebuttal to the appraisal within five working days of receiving it. The rebuttal should be

directed to operational management. As a general rule, the rebuttal should include an itemized list of the employee's objections to the appraisal, which he/she believes warrants further consideration. Operational Management has five working days to review and respond to the employee's objections to his/her performance appraisal. Operational Management must contact the immediate supervisor for clarification. The response shall be in writing and directed to the employee. If a meeting has been requested, management will schedule and meet with the employee within the five working days. Management will determine whether to amend the performance appraisal or uphold the original appraisal. The employee's written rebuttal, management's written response and amended performance appraisal, if applicable, shall be included in the employee's personnel file.

## **STAFF TRAINING AND DEVELOPMENT PROCEDURE STDP/GZA/005**

We are committed to providing development and training opportunities for all our employees so that:

They can contribute as effectively as possible to the achievement of the organization's overall objectives

They have appropriate opportunities to develop personally and to further their careers

They are supported by management who have the right kinds of skills, knowledge and understanding

They acquire a range of knowledge and skills, both specialist and general, so that the organization develops a workforce with a broad skill base

We can promote the ideals of a learning organisation

The following practices underpin the provision of development and

training: Induction training is provided for all new staff;

Objectives are set for all development and training activities;

Individual members of staff take active responsibility for their own development and training;

There is a training plan, based on training needs identified at individual, group and organizational levels which forms part of the Workplace Skills Plan;

Where appropriate, development and training activities lead to nationally recognized academic, vocational and professional qualifications;

All individual development and training activities will be evaluated and their effectiveness assessed.

Individuals and management are responsible for identifying objectives for all training and development activities. They should be clear what the desired outcomes are in terms of new skills, knowledge, understanding etc. and also how they will assess whether or not those outcomes have been achieved.

It is essential that all new staff receives induction training on appointment and it is the responsibility of management to ensure that a proper hand-over process occurs. This is so that new staff becomes fully effective in their new job as quickly as possible.

Once development and training needs have been identified and prioritized, the appropriate method of meeting the need is considered, bearing in mind the objectives agreed and the learning preferences of the individual.

Training, development and learning opportunities include:

- Relevant on-the-job training or coaching/mentoring
- Internal courses/training sessions - run by members of staff
- Attendance at conferences/seminars related to job description
- Work relevant courses - run by external trainers
- Use of distance-learning packages
- Further education/evening classes/qualification courses

External training will be arranged by the Human Resource Department. Once individuals have been booked for external training, they will only be allowed to withdraw in exceptional circumstances. If withdrawal from external training results in the forfeiting of the course fees, the costs will be charged to the individual's own department. Travel and subsistence costs for external training organized by the organization will be met from the training budgets.

We encourage staff to further their own education and development through further qualification, by means of evening classes, distance learning or, where appropriate, day release courses. Where funding permits, a proportion of the training budget will be made available each year to support such development and study leave will be made available if it is considered appropriate.

Requests for support in terms of both funding and time (Sabbatical) should be discussed in the first instance with management, who should consider the request against the following:

- The extent to which the course leads to an academic or professional qualification which is essential to/desirable for the development of the individual's competence in his/her post;
- The individual's demonstrated commitment to his/her role within the organization and to developing that role;
- Length of service;
- The extent to which the course will enhance the individual's career development.

The effectiveness of all training carried out should be evaluated. Following any training activity, the individual should discuss with HR the effectiveness of the training and how successful it was in delivering the objectives and outcomes agreed in advance. No individual will be excluded from receiving training on the grounds of

gender, marital status, disability, race or ethnic origin, age, sexual preference or religious belief.

## **STAFF GRIEVANCE PROCEDURE**

SLGP/GZA/006

This grievance procedure applies to staff in the organization. When a work-related issue cannot be resolved through discussions between the individuals concerned, the aggrieved person can file a grievance.

To file a grievance, the staff member submits a written statement summarizing the issue to management. Because it is more difficult to resolve outdated issues, grievances must be submitted in a timely manner, normally within one month of the failure to resolve the issue through informal channels. The following information should be included:

**Grievance Statement** - A description of the work-related issue, including the policy or rule that the staff member alleges was violated, if applicable, and the name of the respondent.

**Background** - A statement of the relevant facts supporting the staff member's position, including information about the impact the issue has had or is having on the staff member.

**Requested Resolution** - A statement of what the staff member is requesting as a satisfactory resolution to the grievance.

Staff members cannot modify or expand a grievance once it has been submitted for consideration. If a staff member who has already filed a grievance wishes to pursue new issues, a new grievance must be filed. Staff members can, however, supplement their initial grievance statement with additional information in order to clarify the issues further. The staff member can stop the grievance process at any time by giving written notice to management.

### **Steps in the Grievance Procedure**

#### **Step 1: Mediation**

The management schedules a meeting with the staff member and the respondent named in the staff member's grievance statement within five working days of

receiving the written statement from the staff member. The purpose of this meeting is to discuss the issues raised by the staff member and to consider possible solutions. Only another staff member or learner representative internal to the organization may accompany the grievant at this meeting or at any time during the grievance process.

Prior to this meeting, the management arranges for the respondent named in the grievance to receive a copy of the staff member's grievance statement. The respondent named in the grievance is required to respond in writing to the staff member within five working days following the meeting with the staff member and management. The respondent also gives a copy of this communication to the management.

If the respondent named in the staff member's grievance is the staff member's immediate supervisor and the staff member believes that it is not appropriate for the grievance to be referred to that person, the staff member can request that the ombudsman bypass this step.

## **Step 2: Disciplinary Action**

Step 1: File a complaint with Disciplinary Committee

Step 2: DC compiles files of all evidence, witnesses, etc

Step 3: Charge sheet is drawn up by DC and copied to defendant

Step 3: DC informs all parties in writing about date, venue and time of hearing

Step 4: Hearing is held

Step 5: Verdict is passed

Step 6: Appeal is scheduled if requested

Step 7: Verdict implemented

Step 8: Findings recorded in personnel files and electronically.

## **Step 3: External Litigation**

Should the defendant want to pursue the case outside of the company, through the CCMA or a civil suit, senior management must assign the HR Manager or another staff member to attend to the case on behalf of the organisation.

## ***Disciplinary Guidelines***

**Performance** - If a staff member's work performance is not satisfactory, or if the staff member has violated any of the organization's policies, it is the supervisor's responsibility to take corrective action. To determine an appropriate course of action, the supervisor considers the staff member's employment status (whether the staff member is serving a provisional period or is on probation), the nature and severity of the work performance issue, the frequency with which the problem has occurred and any extenuating circumstances.

Both imposed probation and termination are subject to appeal through the staff grievance procedure. (Staff members who have not completed an initial provisional period cannot file a grievance unless the issue involves alleged discrimination.)

**Records** - Under certain circumstances a staff member may request that records of disciplinary actions be removed from his or her personnel file. At your written request, warnings and notices of suspension or probation that are more than three years old may be removed from your personnel file. Other materials may not be

removed from this file; however, an addition or correction to the file can be requested in writing if you believe it is in order.

**Feedback** - Constructive feedback is often an effective means of resolving work related problems while promoting mutual respect between staff members and supervisors. As part of this ongoing process, the supervisor identifies areas that need to be improved and specifies a method of improvement. When discussing work performance, the supervisor provides specific feedback to the staff member about how performance should improve. If constructive feedback does not result in improved performance, the supervisor can issue a verbal warning.

**Warnings** - A verbal warning directs a staff member's attention to a work performance issue or other work-related problem by giving the staff member specific information about the nature of the problem, the improvement needed a timetable for future review, and the consequences of continued unsatisfactory performance.

If a staff member does not meet the performance standards communicated by the supervisor in the verbal warning, a formal written warning can be issued. Normally, this step is undertaken only after the supervisor has discussed the performance issue with his or her manager and the human resources representative. The written warning is given to the staff member following a meeting between the staff member and the supervisor.

This disciplinary letter contains specific information about the nature of the problem, the improvement needed, a timetable for future review and the consequences of continued unsatisfactory performance. A copy of the letter is placed in the staff member's personnel file.

Although a written warning is generally issued to an employee after a verbal warning has been given, in some cases the nature of the performance issue and other circumstances justify giving the employee a written warning without providing a prior verbal warning.

**Serious Breaches** - Staff members who commit serious infractions of the organization's policy or procedure may be suspended for a period of one to ten working days. In addition, suspension may be imposed to permit an investigation prior to taking final action. This step is normally undertaken only after the supervisor has discussed the performance issue with her or his manager and the human resources representative. Suspensions are confirmed to the staff member in writing, stating whether it will be a paid or unpaid suspension, the length of the suspension and when to report back to work. A copy of this communication is placed in the staff member's personnel file.

**Terminations** - Staff members who are not performing satisfactorily are subject to termination of their employment. This step is normally undertaken only after the supervisor has discussed the performance issue with his or her manager and the human resources representative. All employment terminations must be confirmed to the staff member in writing. A copy of this communication is placed in the staff member's central personnel file.

## **ADMINISTRATION POLICY**

AP/GZA/007

This administration policy lays down the guidelines to ensure that the administration of staff and operating issues take place efficiently to ensure the smooth daily operation of the organization. Administration issues relate to the control of staff leave and control of staff records, the proper management of information and data including the safety of confidential information, ensuring that physical resources including stationery is available for effective service delivery and is properly controlled, proper documentation and record keeping including a good filing system and abiding by all health and safety standards.

Staff must adhere to all day-to-day administrative procedures. If leave is taken, a casual leave form must be completed and approved by management. All staff must ensure that they comply with the sick, annual, study and special leave conditions as stated in their conditions of employment. Staff records must be updated continuously.

**Physical resources** including, facilities, equipment and learning materials, will be provided in order to support the learning process and be appropriate, suitable and sufficient. We will provide a safe environment for the needs of learners, staff and visitors. Buildings will be structurally sound and secure and well maintained. Premises and facilities will be suitable for the functions they are used for, large enough and capable of operating throughout the year with suitable temperature, ventilation and light. Use of facilities for training, teaching, recreational and social activities will be planned - these will include refreshment services and facilities, where required, to meet the needs of learners, staff and visitors. Equipment and materials (consumables) will be adequate in type and amounts for the number of

learners and the programmes undertaken. All equipment will be well maintained, safe and secure. The request for training resources must be submitted at least 2 weeks in advance. Stationery requirements must be submitted at the beginning of each month. If venues are to be booked for training, these must be booked before confirmation of training dates to ensure that there are no double-bookings.

**Management Information System** requirement is met when it can be shown that the management information system provides accurate information required internally. There exists adequate procedures to protect the security of the information (paper or computer based) and on the other to ensure efficient access to information. Procedures will be implemented for conveying information accurately from Learners, Staff Stakeholders and Management to all appropriate areas and persons, and for routine communications between staff.

We will manage all **documents and records** that relate to requirements of the Quality Management System. All correspondence, i.e. letters, circulars, memos, will be received for processing by the administration clerk. All letters (except personal mail) will be opened, date stamped, sorted, distributed or filed as necessary by administration staff. Circulars will be listed, numbered and filed for reference. Memos will be distributed as per the distribution shown on the memo. Letters of complaint will be date stamped, registered and filed in the "Complaints File", ready for resolution by Management. Incoming faxes are received by the Receptionist and distributed as required. Outgoing faxes will be recorded by date, destination and fax number, and a record maintained for three months. Incoming registered letters will be received by signature of the postal receipt slip and processing in accordance with the nature of the letter. Outgoing registered letters will be recorded, prior to posting, showing details of date sent and the recipient.

Records must be legible and stored and retained such that they are readily retrievable. Records are typically kept active (filed) in an applicable area and then put into long term storage. All other records are retained for a minimum of three years, unless otherwise specified in the governing procedure or other controlling document. Employees are responsible for the appropriate filling out, use, and filing of records used as part of their process.

**Copyright** regulations must be adhered to by all staff and students. To copyright materials designed by the organization, consult the guidelines set by the Department of Trade and Industry (DTI). All staff should ensure that copyright Act is not violated when compiling learning resources.

### **Occupational Health and Safety**

With regard to the Occupational Health and Safety Act of 1993, the organization is committed to provide:

- A safe place of work with safe access and exit
- Safe equipment (including efficient maintenance)
- Safe systems of work.
- A safe working environment.
- Safe methods of handling, storing and transporting goods
- First aid facilities governed by the Health and Safety Regulations. Report accidents
- Instruction and supervision of safe practices
- Consultation with a view to making and maintaining effective arrangements for promoting health and safety

Regular **maintenance of equipment** (including necessary inspection, testing, adjustment, lubrication and cleaning) must be carried out at suitable intervals. Any potentially dangerous defects must be remedied and access to any defective equipment prevented. A suitable recording system has been put in place to ensure that the system is controlled. Effective suitable ventilation must be provided. There must be reasonable temperature in the work rooms. There must be suitable and sufficient lighting. This should be sufficient to enable people to work, use facilities and move from place to place safely without experiencing eye-strain.

All employees have the duty to:

Take responsible care for the **health and safety of themselves** and other persons who may be affected by their act of omissions at work. Follow safety practices. Co-operate with the employer in promoting and maintaining health and safety. Refrain from interfering with or misusing anything provided for health and safety of themselves or others.

Every **workplace and furniture, furnishings and fittings** must be kept sufficiently clean. Floors and indoor traffic routes should be cleaned at least once a week. There must be sufficient floor area, height and unoccupied space for the purposes of health, safety and welfare. A suitable seat must be provided for each person at work in the workplace whose work includes operations of some kind where the work can be done or must be done sitting. Workstations should be arranged so that each task can be carried out safely and comfortably. Seating in offices should provide adequate support for the lower back and a footrest should be provided for any worker who cannot comfortably place their feet flat on the floor. Suitable and sufficient sanitation must be provided at all times.

The organization annually appoints a Health and Safety representative entitled to do the following:

- Check the effectiveness of health and safety measures by means of health and safety audits.

- Identify potential dangers in the workplace and report them to the health committee or the management.

- Together with the employer investigate incidents; investigate complaints from employees regarding health and safety matters and report about it in writing.

- Inspect the workplace after notifying the employer of the inspection.

- Participate in discussions with inspectors at the workplace and accompany inspectors on inspections

- With the consent of management, be accompanied by a technical advisor during an inspection

- Keep records of every recommendation to the management and every report to the inspector

- Keep accident reports

In the event of an emergency, the first aid box is available at the Administration during normal working hours (08:00-17:00)

## **FINANCIAL POLICY**

FP/GZA/008

We will appoint competent persons to be responsible for the Financial Management of all funds and assets. The organization will maintain adequate financial resources to sustain the quality of learning services offered. No one person will have sole control over the organization's funds or assets, and an asset register will be maintained. An annual budget of expenditure will be drawn up and approved by the Management prior to being implemented. Detailed statements of expenditure against budget will be maintained during the financial year. For funded projects, separate accounts will be operated for each project. Each project will have a budget prepared at the beginning of the project and expenditure will be monitored against this budget.

Persons made responsible for financial management of the organization's funds and assets will be held accountable for funds or assets that are misused or misappropriated. Where we are accountable to pay learner allowances, we will ensure that an electronic transfer system is used.

The need to purchase any product/service will be identified clearly upfront before any purchase is done. This would entail ensuring exactly what the client's requirements are. The total cost of the product will be calculated taking into account the price, performance and delivery. This total cost will be made known to the purchaser before a purchase is authorised. Any inquiries, quotations and tendering will be supported by documentation that will reflect the true situation. On having reached a decision on what to purchase a formal order will be placed with the vendor. The order will be

reviewed to ensure that the initial needs expressed are reflected correctly on the order. The order form will form part of the audit trail and will be a controllable document in terms of the requirements of this Quality System.

## **FINANCIAL PROCEDURES**

FP/GZA/009

To ensure financial accountability, the following financial procedures must be adhered to:

- Payments will only be made on receipt of a valid invoice. Where there are deliverables that can be attached, proof that they meet the quality requirements of the organization must be provided with the invoices.
- Only Senior management is authorized to negotiate Bank loans and overdrafts if it can prove that the organisation has the capacity to repay the installments without placing the organization under financial strain.
- Travel and meal stipends must be paid at the beginning of a training week.
- Management will approve all travel, accommodation and meal allowances, before bookings are made. The appropriate forms must be completed and signed off for payments to be made. Recipients should sign a proof of receipt form

## **CUSTOMER AND MARKETING POLICY**

### **CMP/GZA/010**

The organisation acknowledges that customers are key to the success and hence realises that it needs to establish and maintain customer relationships. In addition, all communication with customers must always be recorded to ensure that follow up is easy should a query arise at a later stage. To this end, the organisation accepts that it must maintain customer service contracts to ensure that it details the deliverables and time frames and has a frame of reference against which it can measure customer satisfaction.

Customer expectations must be determined, understood, converted into requirements, and have processes designed to exceed them in order to fulfill this Mission and Quality Policy on a daily basis.

We work hard to be an active partner with our customers, understanding their world and identifying solutions. Staying close to our customers is our primary method of determining and understanding their requirements and expectations, and we accomplish this objective through a multitude of channels. These include regular customer visits, phone contact and customer audits of our facilities.

These communications and interactions ultimately yield clear, explicit customer requirements and expectations. The QMS ensures that these requirements are fulfilled with the aim of exceeding our customers' expectations. Management shall ensure that customer needs and expectations are determined, converted into requirements and fulfilled with the aim of achieving customer satisfaction.

#### **Customer Complaints**

The person receiving the complaint will try to solve the problem immediately. If the problem is resolved, the solution will be documented. If the individual cannot resolve the issue, then the call will be transferred to an appropriate employee for resolution. If that employee resolves the issue, the solution will be documented and forwarded to the Manager. Anyone in the organization can receive a complaint. It is the responsibility of the person receiving the complaint to document it and report it to their Senior Manager.

#### **Customer Surveys**

Management will ensure that random surveys are conducted on a quarterly basis, such that each of their major customers is surveyed at least once annually. The Manager will randomly select one quarter of their major customers, and meet with them to fill out a Customer Survey Form. Alternately, while a face-to-face visit to review customer satisfaction is desirable, the surveys may be discussed over the phone, faxed or e-mailed to the customer as circumstances warrant.

The organization will also seek feedback on:

- Programme design
- Quality of programme delivery
- Consistency of impact

## **REPORTING POLICY**

RP/GZA/011

The organization will comply with all reporting requirements from funders and stakeholders. We will implement a system for maintaining and updating detailed information on all Learners passing through the organization.

The system will include the following information as a minimum:-

- Name of the Community
- Contact details
- Demographics, i.e. age, gender, location, etc
- Resource factors
- Comprehensive assessment records
- Social impact achieved

We will ensure that programme information is kept strictly confidential, except for reporting to authorised stakeholders.

Statistical information from the system will be used in order to improve the design, delivery and assessment of programmes.

## **MONITORING, REVIEWING AND EVALUATING THE QMS POLICY**

MER/GZA/012

We will implement a monitoring and evaluation system to ensure the continued efficient and effective operation of the Quality Management System, and to promote continual improvement.

The monitoring, evaluation and reviewing will include:-

- a) Management reviews
- b) Internal QMS system audits
- c) Quarterly Quality reviews

Annual Management reviews will include the following:-

- The continuing suitability of Policies and Procedures against goals and objectives
- The results of the internal QMS system audits
- The results of Monthly Quality reviews
- Actions necessary to promote continual improvement.

Internal QMS system audits of the system will:-

- Be conducted by persons having no responsibilities in the areas being audited.
- Cover all Policies and Procedures of the management system at least annually.
- Is documented and corrective action taken to correct any deficiencies recorded?
- Be followed -up to verify corrective actions are successful.

Quarterly Quality reviews will:-

- Monitor the implementation of Policies and Procedures
- Review the results of scheduled QMS audits
- Follow -up and assist with corrective actions
- Prepare reports for Management

The monitoring, evaluation and reviews will include:

- a) QMS review frequency
- b) QMS suitability, adequacy and effectiveness
- c) QMS documentation status
- d) Review inputs
  - Audit results
  - Customer feedback
  - Process performance
  - Product conformance
  - Corrective actions
  - Preventive actions
  - Previous review follow-ups
  - Changes which could affect the MS
- e) Review outputs
  - Performance and improvement opportunities
  - MS improvement
  - Customer or Service improvement
  - Resource needs
- f) Any other business

At a minimum, the agenda for the Management review is comprised of the following topics:

- Mission Statement and Quality Policy
- Values and Beliefs
- Follow-up actions from previous management reviews
- Quality Objectives/Annual Goals and Objectives
- Customer feedback
- Results of Audits
- Status of corrective and preventive action program
- The preventive maintenance program
- The calibration program
- Evaluation of sub-contractors
- Quality training
- New employee orientation
- Overall Quality System Function, including process and product conformance
- Other changes that could affect the Quality Management System

# QMS REVIEW PROCEDURE

REV/MC/013

The purpose of this procedure is to identify actions and responsibilities for conducting and reporting internal audits of the Quality Management System. Internal audits are critical to the success of our Quality Management System. They help to determine the functionality and effectiveness of the system. When the system is not working, internal audits aid in determining if it is because the system needs to be improved or because the documented system is not being followed. Along with corrective actions and management review, audits supply key information to make sound business decisions, and they provide information for continuous improvement opportunities. The results of these audits form an integral part of our management system.

Process management and continuous process improvement are fundamental to our quality policy and philosophy, and our approach to auditing reflects this commitment. We focus on two interdependent areas:

Auditing the quality management system control and  
Administrative processes and auditing our key product/service delivery processes.

In order to facilitate employee awareness and continuous process improvement, we systematically perform process and sub-system audits, quarterly based on status and importance rather than conduct complete system audits annually. The Management is responsible for scheduling, conducting, reporting, and managing the internal audit process. We audit the QMS to determine the extent to which requirements are fulfilled. We use audit findings to assess the effectiveness of the system and to identify opportunities for improvement. Our audit process covers both QMS control and administrative processes as well as key product/service delivery processes as previously discussed.

The schedule is developed on the basis of status and importance of the activity to be audited and previous audit results. Audits are conducted in accordance with the schedule unless precluded by unforeseen circumstances, in which case the audit will be rescheduled. At a minimum, each element of the Quality System will be audited at least once annually. Audits are coordinated by the Management, and carried out by trained personnel who do not have direct responsibility for the activity being audited.

## Conducting Audits

The internal auditor will notify the leader of the area to be audited at least 3 working days prior to the internal audit.

The auditor will develop an audit plan, which includes the documentation to be audited, a checklist of items to review, and sample questions to ask.

An entrance briefing will be conducted with the leader of the area being audited to discuss the purpose and requirements of the audit, identify all points of contact, and discuss any other concerns.

The audit will be conducted. The audit will include the scheduled subject and any follow up audits required to verify corrective actions from previous audit findings. Although the audit will have a primary focus according to the schedule, any discrepancy relating to the quality system may be investigated.

An Internal Audit Record will be documented for each element reviewed, as indicated on the annual audit schedule. These records as well as any checklist used during the conduct of the audit shall be maintained by the management representative to provide objective evidence of audit completion. The completion of an audit will also be indicated on the annual audit schedule by addition of the auditor's initials in the appropriate column.

Any audit findings are brought to the attention of the leader with responsibility for the area. Auditor's documents will identify QMS deficiencies or opportunities for improvement, Corrective/Preventive Action Request, Corrective and Preventive Action. A management representative will record and file all audit findings. The leader responsible for the area audited will take timely corrective action. Time periods for corrective/preventive action are based on the severity and complexity of the discrepancy.

Critical findings having a direct impact on the quality of the product must be acted upon within three working days of the Internal Audit Finding Report. The leader of the area and the auditor will agree on completion dates. When corrective action cannot be completed in the agreed time frame, the team leader responsible for the corrective action will contact the audit team leader for assignment of a new due date.

Upon completion of each corrective and preventive action, follow-up is conducted to verify implementation and the effectiveness of the corrective or preventive action. Such follow-up action may be conducted as part of a previously scheduled audit, or scheduled independently. Verification results are recorded in the Corrective/preventive action system. If corrective/preventive action was not effective, the finding will remain open and alternate actions planned and implemented until the issue is successfully resolved.

- END -