

**ENERGY SECTOR EDUCATION AND TRAINING AUTHORITY**



**PROCEDURES FOR CONDUCTING A PROVIDER MONITORING  
AND AUDIT EVALUATION**

## 1. **PROVIDER AUDIT**

### **INTRODUCTION**

These are some reasons for which the ESETA ETQA may need to audit a provider:

1. Where a provider has been accredited, the SAQA requirement is that the provider has to be re-accredited on a three yearly basis. This requirement, together with the requirement that accredited providers have a functioning quality management system, requires that the ESETA ETQA conduct an audit of accredited providers.
2. Where a sufficient number of complaints about a provider, including appeals against assessment outcomes, have been reported to the ETQA, it may be necessary to conduct a formal audit of the provider after an investigation.
3. Where the reporting requirements of the provider indicate that there are areas of non-compliance.
4. Where the provider has been provisionally accredited and the requirements for accreditation necessitate an audit to ensure that the provider has met all the requirements for full accreditation.

### **PROCEDURE**

1. Inform the provider of the audit date and what they need to prepare for the audit.
2. Appoint an auditor who is qualified to conduct the audit (in accordance with SAQA requirements, i.e. has the registered unit standards or national qualification) and who will be unbiased and maintain integrity in conducting the audit.

3. Prepare an audit schedule containing the areas / elements to be audited and the explanatory or supporting documentation for the auditor.
4. Prepare an audit report format.
5. Decide on action to be taken with respect to the audited provider.
6. If necessary, have such decision approved by the Accreditation Committee.
7. Inform the provider and SAQA of the outcome of the audit.

### **RESPONSIBILITIES**

1. The ETQA HoD is responsible for:
  - Deciding when an audit is necessary;
  - Overseeing the auditing process;
  - Appointing the auditor;
  - Reviewing the audit report; and
  - Recommending the audit outcome to the Accreditation Committee.
2. The Administrator is responsible for:
  - Tracking when an audit is necessary (e.g. by accreditation status, by set policy and accreditation dates, etc.);
  - Informing the provider of the audit;
  - Forwarding necessary documentation to the auditor;
  - Liaison between the provider and the auditor; and
  - Recording the auditor's report, the "audit panel" (Accreditation Committee) report and the outcome.
3. The Quality Assurer (Auditor) is responsible for:
  - Conducting the audit in accordance with the ESETA ETQA protocols and code of conduct.
  - Compiling and submitting the Audit Report.

## **2. MONITORING COMPLIANCE**

### **INTRODUCTION**

Once a provider has received full accreditation, the ETQA is responsible for monitoring that the provider's quality standards are maintained until the provider has to re-submit their application for accreditation, bi-annually or as decided upon by the ETQA and at most, after a 3 year period as required by SAQA.

### **PROCEDURE**

1. Receive annual reports on provider activity.
2. Input data from reports.
3. Analyse results of reports.
4. Confirm reports.

### **RESPONSIBILITIES**

1. The ETQA HoD is responsible for:
  - Overseeing the monitoring process;
  - Reviewing reports;
  - Analysing data from the reports.
2. The Administrator is responsible for:
  - Receiving reports;
  - Inputting data from the reports.
3. The Accreditation Committee is responsible for:
  - Confirming reports on provider activities.

### **3. THE AUDIT SCHEDULE**

The audit will be based on gathering documentary evidence on the following areas of provider activities. Where the provider only offers delivery or assessor services, the relevant elements of the audit will be applied.

#### **GENERAL INFORMATION**

- Legal status of the applicant
- SDL number
- SARS number
- Nature of business
- Approved education & training mission statement
- NQF objectives
- Business plan approved by management
- Internal & external customer satisfaction measured
- ETQA committee structure established
- Compliance with OHS&A requirements
- Not accredited to any other ETQA

#### **REGISTRATION AS A PROVIDER**

- Proof of registration as an ETQA provider
- Proof of registration with the DOE as a provider

#### **QUALITY MANAGEMENT SYSTEM**

- Quality policy documented
- Documented processes
- Standards and outputs determined
- Roles & responsibilities of people documented
- Monitoring & evaluation process documented

## **LEARNING PROGRAMMES**

- RPL policy documented
- Established learning goals
- RPL entry criteria
- Multiple entry & exit of learners catered for
- Unit standards
- Learning outcomes
- Methods of assessment
- Appropriate language policy
- Appropriate delivery methods for training
- Appropriate infrastructure for delivery of training
- Administration of RPL process is controlled
- Availability of educational & training resources
- Availability of appropriate machinery & tools
- Assessment of unit standards & qualifications

## **FINANCE & ADMINISTRATION**

- Audited financial statements of the provider
- Records of all learner applications, enrolments, progress & exits
- Control procedures for all learner related activities
- Policy & procedures for all learner related activities

## **PROVIDER STAFF**

- Compliance with labour legislation (EE, BCEA, OHSA)
- Appropriate staff records
- Organisational structure documented
- Competence of assessors & moderators
- Competence of provider management team
- Work place skills plan
- Staff development plan

### **LEARNER ENTRY**

- Learner entry requirements documented
- Evaluation of learner needs
- Support & guidance programmes in place
- Access to information on learner programmes
- Control of feedback from learners

### **MANAGEMENT OF ASSESSMENT**

- Assessments are conducted according to SAQA requirements
- Appropriate assessment methods
- Appropriate feedback of assessments to learners
- Control of the assessment process
- Appropriate security for the storage of records
- List of registered assessors and moderators
- Appropriate moderation of assessments

### **APPEAL PROCEDURES**

- Policy & procedures for learner appeal are documented
- Access to appeal decision by learner, assessor & moderator