

Quality Assurance Services

Standard Operating Procedure No. 04

Process Monitoring Approved Training Organisation (ATO)

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1. Purpose

The purpose of this procedure is to outline the steps to be followed by the SOLAS Authorised Monitor in preparing and conducting a process monitoring event of an Approved Training Organisation [ATO] who has delivered a SOLAS Construction Skills Certification Scheme [CSCS] and/or a Quarry Skills Certification Scheme [QSCS] programme.

2. Scope

The scope of this procedure is to ensure that all SOLAS CSCS/QSCS programmes are conducted in accordance with the Construction Services' policies, procedures, Code of Conduct and Memoranda of Understanding [MOUs].

This procedure applies to SOLAS Quality Assurance Services [QAS], SOLAS Authorised Monitors, SOLAS Construction Services and Approved Training Organisations [ATOs] who have delivered SOLAS Construction Skills Certification Scheme [CSCS] and Quarry Skills Certification Scheme [QSCS] programmes.

3. Responsibility

- SOLAS Quality Assurance Services (QAS)
- SOLAS Construction Services (CSU)
- SOLAS Authorised Monitors
- Approved Training Organisations

4. Reference Documents

- SOLAS Quality Assurance Services (QAS) Monitoring Policy
- SOLAS QAS Monitoring and Authentication Guidelines
- CSCS/QSCS ATO Codes of Conduct
- SOLAS Construction Services Memoranda of Understanding [MOUs]
- QAS Monitoring Instruments

Responsibility

5. Procedure

5.1. Selecting Approved Training Organisations for Monitoring and Preparing a Monitoring schedule

5.1.1. SOLAS QAS will select Approved Training Organisations for monitoring based on the following criteria:

- Analysis of the operation of the SOLAS Construction Services' policies, procedures, systems and processes by ATOs along with measuring ATO compliance with the Code of Conduct and MOUs.
- The scope and scale of an ATO's operations; however, SOLAS QAS will ensure every ATO is monitored at least once a year while ATOs delivering greater activity will be monitored more frequently.
- Date of last process monitoring event.
- In specific incidents the necessity to follow up on the implementation of corrective and or preventative actions to address a particular documented non-conformance.

QAS

- Receipt of a specific monitoring request from Construction Services or the organisation.
- 5.1.2. SOLAS QAS will take into consideration monitoring reports from previous monitoring event including any outstanding issues or corrective actions needed when selecting an ATO. QAS
- 5.1.3. SOLAS QAS will provide a list of individual course details to the Authorised Monitor prior to the monitoring event. This will include the following details, QAS
 - a) ATO contact details including training manager and internal verifier
 - b) five programmes delivered by the ATO
 - c) tutor name for each programme
 - d) list of four applicant names from each programme
 - e) Monitoring Instruments and associated documentation
- 5.1.4. Process Monitoring Schedule developed based on information provided by SOLAS QAS. SOLAS Authorised Monitors send schedule to SOLAS QAS for approval. AM
- 5.1.5. Process Monitoring schedule approved by QAS Management QAS
- 5.1.6. Authorised Monitor issues approved monitoring schedule to ATOs AM
- 5.2. Arrange Process Monitoring Event.**
- 5.2.1. Authorised Monitor contacts the ATO in advance of the monitoring event to confirm dates as indicated on the approved schedule. Monitoring event date is confirmed AM
- 5.2.2. Authorised Monitor updates the schedule to reflect the confirmation of the monitoring event by the ATO if required AM
- 5.3. Prepare file folder for monitoring event to include**
- 5.3.1. Include all the following documentation in the Process Monitoring folder before leaving the office: AM
 - All relevant details of ATO including training manager and internal verifier details will be contained within the file folder
 - All relevant monitoring instruments
 - Copy of Internal Verifiers checklist
 - Outstanding issues from previous process monitoring events
 - Copy of last report and any other relevant documents.
- Conduct Process Monitoring Event**
- Conduct Process Monitoring Event in line with monitoring event sequence laid out below: AM
- Monitoring Event Sequence**
- Check the location and security of all SOLAS Assessment MAPS/AIS
- View the housing and security of all course records
- Request all documentation associated with selected CSCS/QSCS notification numbers from the verifier AM
- Check each candidate's eligibility as set out in the Training Specification.

- Check to ensure that all up to date SOLAS documentation is being used by the Internal Verifier
- Check that all documentation sent to National Construction Schemes [NCS] office is correct and sent within time constraints
- Confirm that Candidate Packs were issued to learners, returned to ATO with proof of eligibility endorsed by employer and confirmed by Internal Verifier
- Confirm the process involved in the receipt, issue and postage of all QQI Certificates and SOLAS skills cards
- Conduct checks on documentation retained for each individual programme that is to be examined
- Log all findings and record missing / incomplete documentation
- Complete the appropriate monitoring instrument to record all the documentation that the internal verifier has presented for each course
- Acknowledge and record all good practice in addition to SOLAS requirements
- Inform Internal Verifier of any process shortcomings identified during the Audit event
- Record any feedback issued or received during the course of the monitoring event
- On completion of monitoring event ensure monitoring instruments are signed by SOLAS Authorised Monitor and the relevant ATO representative

5.4. Monitoring Report and Update Record System

- 5.4.1. The Authorised Monitor will complete the monitoring event report, highlighting any areas of good practice and also any issues and areas that may require corrective and/or preventative actions AM
- 5.4.2. Complete all relevant monitoring event documentation
- 5.4.3. Update the Authorised Monitor's monitoring schedule accordingly

5.5. Issue Report to SOLAS QAS

- 5.5.1. The Authorised Monitor will submit the final monitoring report to Quality Assurance Services [QAS] AM
- 5.5.2. QAS will quality assure the submitted assessment event monitoring report QAS
- 5.5.3. QAS will record the findings and recommendations contained with the assessment event monitoring report

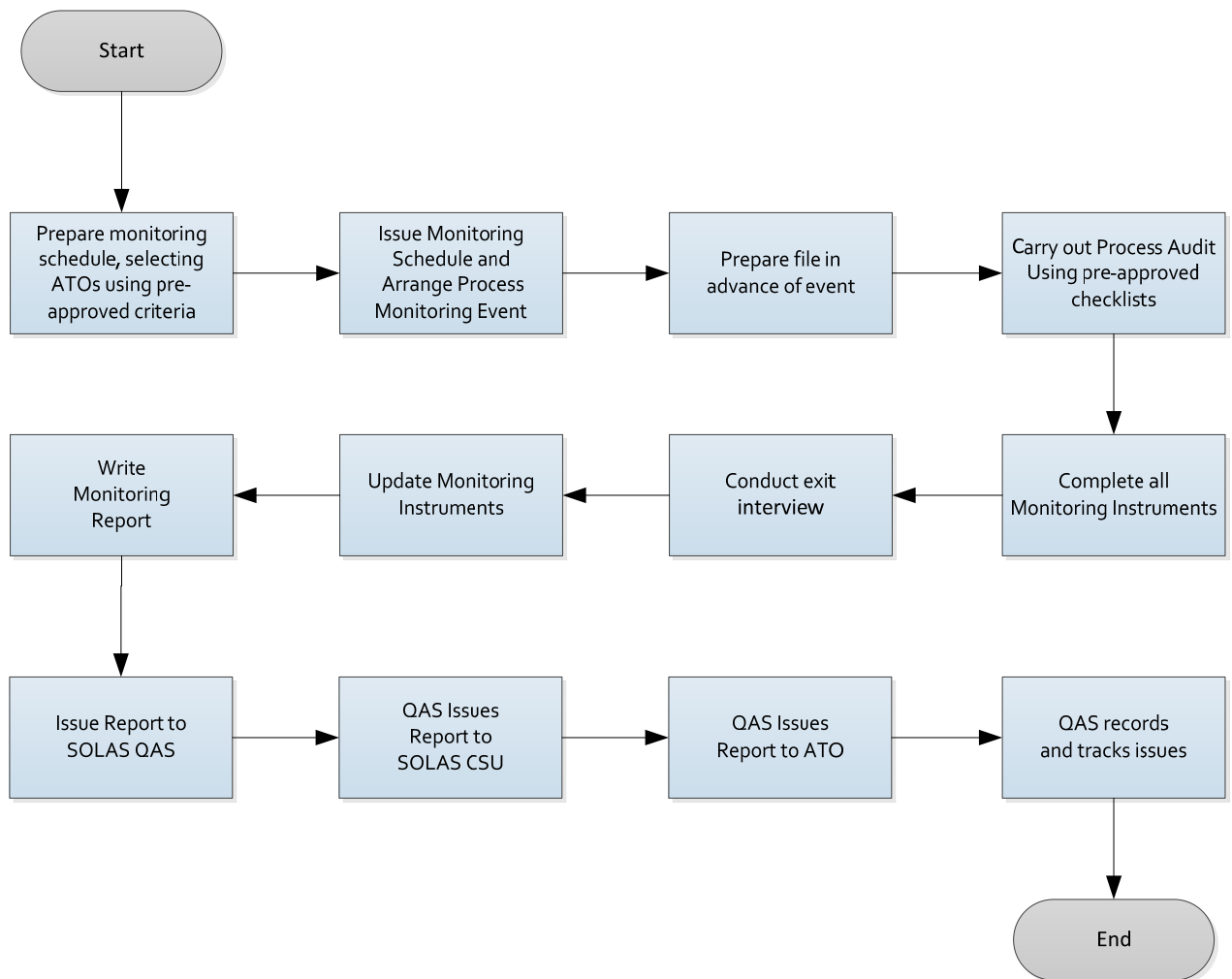
5.6. Monitoring Report Issued to SOLAS Construction Services and Approved Training Organisation

- 5.6.1. QAS collates all Monitoring Instruments and report details and prepares report using the standardised report template QAS
- 5.6.2. QAS issues finalised report and the findings of the monitoring event to SOLAS Director of Construction Quality Assurance Services [CQAS], Construction Services Manager and Assistant Manager and the Construction Services Assistant Manager for Quality Assurance QAS

- 5.6.3. Monitoring Reports and the associated supporting documentation [signed monitoring instruments] are available on the QAS/CSU shared server [O:] **QAS**
- 5.6.4. QAS will require a formal response from CSU within 10 working days to the issues and corrective actions raised with the monitoring report.
A designated location for this response is on the final page of the monitoring report. **CSU**
- 5.6.5. SOLAS QAS issues both a soft and hard copy of the monitoring report to the ATO Training Manager and/or ATO proprietor **QAS**
- 5.7. Recording and Tracking Issues, Preventative and Corrective Actions**
- 5.7.1. QAS will record issues, preventative and corrective actions from each monitoring event in a tracking schedule, including preventative and corrective actions proposed by CSU, as required **QAS**
- 5.7.2. Conclusion of the corrective actions by CSU will be recorded on the tracking schedule and the issues will be deemed to be closed **QAS**
- 5.7.3. A record of closed issues and outstanding or unresolved issues will be included within a monthly report to the Director of CQAS **QAS**
- 5.8. Write Monitoring Report**
- 5.8.1. Collate all the information from monitoring event, recorded on the monitoring instruments and complete report, highlighting areas of good practice and also any areas that may need improvement **QAS**

Appendix No 1: Process Map:

Process Audit of Approved Training Organisations ATO



Appendix No 2 -Definition, Notes, and Abbreviations:

CSCS--- Construction Skills Certification Scheme

QSCS -- Quarries Skills Certification Scheme

ATO---- Approved Training Organisation

Document History

Revision No.	Details of Revisions ¹	Approved Signed ²	Issue Date ³
1			
2			

¹ If following a review from the Construction Services Management Team, that the procedure is deemed fit for purpose and that no amendments are necessary this determination should also be recorded.

² Signed by the Construction Services Manager

³ Issue Date is the date the Construction Services Manager approves commencement

