

Quality Assurance Services

Standard Operating Procedure No. 04

**Process Audit Monitoring of Approved Training Organisation (ATO)
Revision 2.0**

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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 audit 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
- SOLAS Authorised Monitoring Service Provider
- Approved Training Organisations

4. Reference Documents

- SOLAS Quality Assurance Services (QAS) Monitoring Policy
- SOLAS QAS Monitoring and Authentication Guidelines
- CSCS/QSCS ATO Code of Conduct
- CSCS/QSCS Tutor Code 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 approve Approved Training Organisations for monitoring based on a schedule issued by the SOLAS Authorised Monitoring Service Provider. The schedule is developed based on a matrix of criteria provided by QAS. These include the following criteria:

- The scope and volume of an ATO's operations.
- Every ATO is monitored at least once a year
- ATOs delivering greater volume of programmes will be monitored more frequently.
- Criteria outlined in QAS Monitoring Scheduling Guidelines.

QAS

- In specific incidents the necessity to follow up on the implementation of corrective and or preventative actions to address a particular documented non-conformance.
- 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) six to ten programmes delivered by the ATO
- c) Tutor name for each programme
- d) list of four applicant names from each programme where applicable
- e) Monitoring Instruments and associated documentation

5.1.4. Process Audit 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 Audit Monitoring schedule approved by QAS Management QAS

5.1.6. Authorised Monitor notifies individual ATOs of forthcoming process audit monitoring events. AM

5.2. Arrange Process Audit Monitoring Event.

5.2.1. Authorised Monitor contacts the ATO in advance of the monitoring event to confirm dates. Monitoring event date is confirmed. AM

5.3. Monitor to prepare file for monitoring event to include

5.3.1. Include all the following documentation in the Process Monitoring folder: 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 programme 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
- Check the record of 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. Complete Monitoring Instrument

- 5.4.1. The Authorised Monitor will complete the monitoring instrument, recording any findings and areas of good practice. Including any issues and areas that may require corrective and/or preventative actions

AM

5.5. Provide and Receive Feedback on the Monitoring Event

Following the conclusion of the Process Audit event the Authorised Monitor will provide and receive feedback on the event from the Internal Verifier.

AM

- 5.5.1. The Authorised Monitor will record feedback provided or received within the monitoring instrument.

- 5.5.2. All parties must ensure that the comments reflect the event accurately.

- 5.5.3. If the Internal Verifier has any issues or complaints with the findings, the Authorised Monitor will inform the Internal Verifier of the complaints process.

IV

- 5.5.4. For further information see SOP 19 Complaints Process for ATO relating to Process Audit Monitoring Event Findings and/or Outcome.

- 5.5.5. On completion of the monitoring event, the Authorised Monitor will ensure the monitoring instrument is counter signed by the Internal Verifier.

5.6. Issue Report to SOLAS QAS

- 5.6.1. The monitoring service will submit the final monitoring instrument to Quality Assurance Services [QAS] within 5 working days of the monitoring event date **AM**
- 5.6.2. QAS will quality assure the submitted Process Audit Monitoring Instrument and complete the monitoring report **QAS**
- 5.6.3. QAS will record the findings and recommendations contained with the assessment event monitoring report to the QAS Aggregated Report for Process Audit Monitoring.

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

- 5.7.1. QAS issues finalised report and the findings of the monitoring event to SOLAS Executive Director of Resources, Director of Construction Quality Assurance Services [CQAS], Construction Services Manager and Assistant Manager within 1-2 working days¹ from QAS receiving the report from the monitoring service. **QAS**
- 5.7.2. High priority issues that are identified during the monitoring event are expedited in line with SOP 16.
- 5.7.3. Monitoring Reports and the associated supporting documentation [signed monitoring instruments] are available on the QAS/CSU shared server [O:] **QAS**
- 5.7.4. QAS request a formal response from CSU within 10 working days from the date the report was issued to the issues and corrective actions raised with the monitoring report. **QAS**
- A designated location for this response is the QAS Aggregated Report for Process Audit Monitoring. **CSU**
- 5.7.5. SOLAS QAS will issue a copy of the monitoring report to the ATO Training Manager and/or ATO proprietor **QAS**

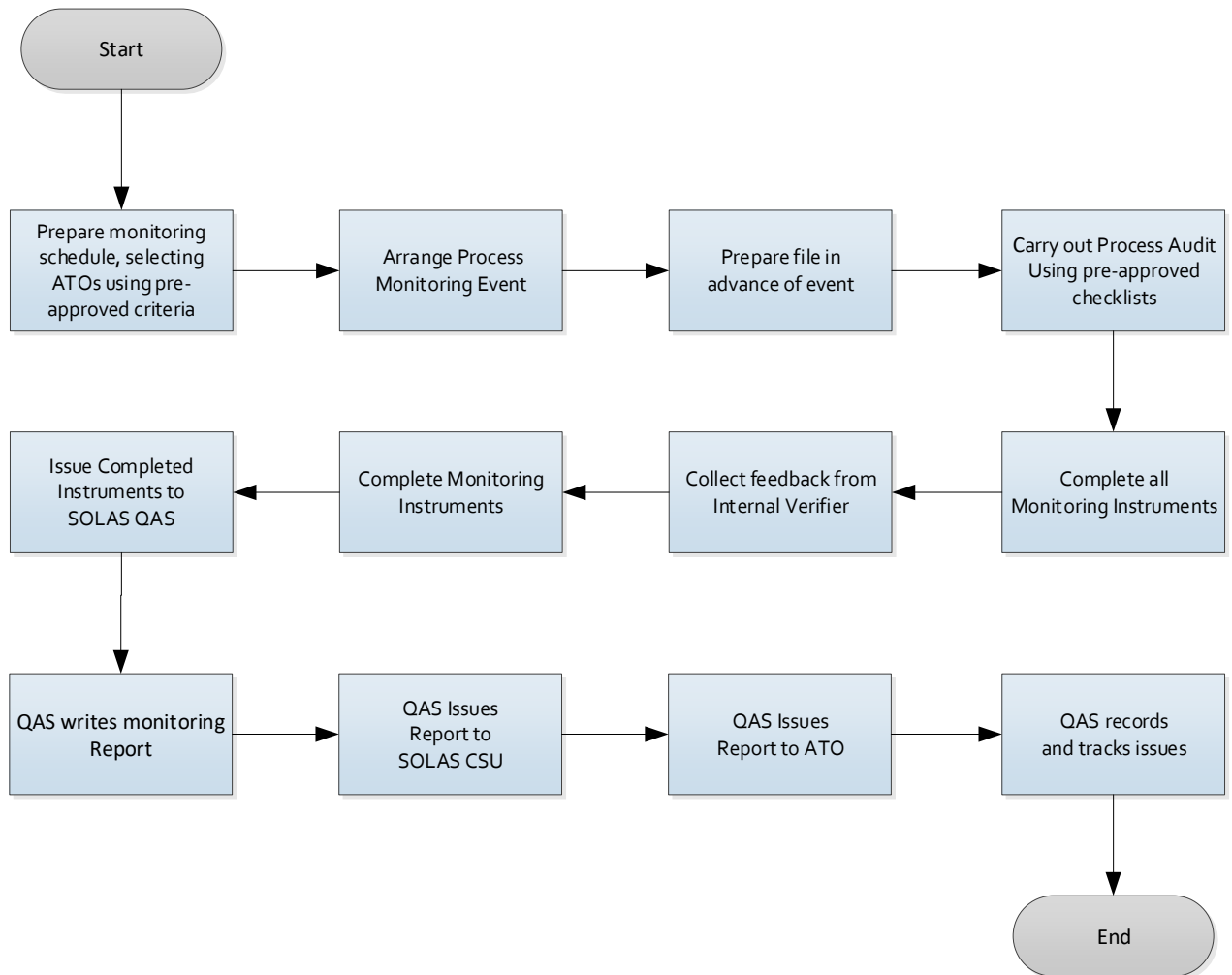
5.8. Recording and Tracking Issues, Preventative and Corrective Actions

- 5.8.1. QAS will record issues, preventative and corrective actions from each monitoring event in the QAS Aggregated Report for Process Audit Monitoring, including preventative and corrective actions proposed by CSU, as required **QAS**
- 5.8.2. Conclusion of the corrective actions by CSU will be recorded on the QAS Aggregated Report for Process Audit Monitoring and the issues will be deemed to be closed **QAS**
- 5.8.3. A record of closed issues and outstanding or unresolved issues will be included within a monthly report to the Director of CQAS **QAS**

¹ On occasion it may be necessary to seek clarification(s) on the monitoring report(s) from the monitoring service provider. This may increase the duration between QAS receiving the report and issuing it to the ATO/CSU.

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 ²	Approved Signed ³	Review Date ⁴
1		CQAS Management	07.06.19
2	<p>Amended points (b/d) to include six to ten programmes (V1 previously five programmes) and where applicable was added.</p> <p>b) six to ten programmes delivered by the ATO</p> <p>d) list of four applicant names from each programme where applicable</p> <p>Section 3 – Responsibilities:</p> <ul style="list-style-type: none"> • Added – Monitoring Service <p>5.5.1 – Added within 5 working days</p> <p>5.6.1 – Added within 1-2 working days</p> <p>5.5.1 – Added Monitoring Service and removed Monitor</p> <p>5.6.4 – Added (10 days) from when the report is issued</p> <p>5.6.5 – Removed hard copy</p> <p>5.7.1 – Removed Tracking Schedule, replaced with Aggregated Report</p>	<p>QAS Team-</p> <p>Approved by B. Head</p> <p>03.11.2020</p>	04.11.2022

² 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.

³ Signed by the Construction Services Manager

⁴ Issue Date is the date the Construction Services Manager approves commencement

