

Quality Assurance Services

Standard Operating Procedure No. 02

Observational Monitoring of an Approved Training Organisation

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Responsibility Legend	
AM	Authorised Monitor
QAS	Quality Assurance Services
ATO	Authorised Training Organisation Tutor

1. Purpose

The purpose of this procedure is to clarify the process for monitoring the delivery of Construction Skills Certification Scheme [CSCS]/Quarry Skills Certification Scheme [QSCS] assessment events.

2. Scope

This procedure applies to SOLAS Authorised Monitors, SOLAS approved CSCS/QSCS training organisations [ATOs] and approved tutors delivering CSCS/QSCS programmes and assessments.

3. Responsibility

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

4. Reference Documents

- SOLAS QAS Monitoring Policy
- SOLAS QAS Monitoring and Authentication Guide
- SOLAS CSU Approved Training Organisation Code of Conduct
- QQI Quality Assurance Guidelines
- QQI Monitoring Policy
- Monitoring Instruments and Associated Documentation

5. Procedure

Procedure

Responsibility

5.1. Prepare Monthly Monitoring Schedule

- | | |
|---|------------|
| 5.1.1. QAS personnel will review course notifications for the coming month on the CSU Card Management System. QAS personnel will issue a list of all notified courses to SOLAS Authorised Monitors. | QAS |
| a) every ATOs will be monitored at least once per year | |
| b) ATOs delivering high volume programmes using multiple tutors will be monitored more frequently | |
| c) ATOs providing multiple programmes of different assessments categories may be subject to more frequent monitoring | AM |
| 5.1.2. SOLAS Authorised Monitors will select ATOs for monitoring using the following criteria: (non-exhaustive list). | |
| a) SOLAS Authorised Monitor creates a schedule based on information provided by QAS and seeks sanction from QAS Management for implementation. | QAS |
| b) When possible every attempt will be made to arrange the monitoring schedule on a clustering basis. | QAS |

- 5.1.3. If security issues or health and safety requirements are attached to the location of the assessment event (e.g. airport) which require special clearance for the SOLAS Authorised Monitor, then advance notice of the assessment monitoring event will be provided to the person in charge of the location (Notification Form on CMS to be amended to capture “special” conditions regarding entry to site).
- 5.1.4. Authorised Monitors will confirm to QAS personnel on a bi-weekly basis whether the assessment event has been monitored as scheduled.

5.2. Prepare Documentation for Monitoring Event

- 5.2.1. The SOLAS Authorised Monitor will assemble the following information/documentation for use during the assessment monitoring event:- **AM**
 - a) monitoring instruments for the assessment event
 - b) candidate pack
 - c) centre pack
 - d) copy of programme Assessment Instrument Specification (AIS)
 - e) copy of course notes
 - f) coordinates/codes for the assessment location
- 5.2.2. The Authorised Monitor will review previous assessment related monitoring reports for ATO to establish any outstanding issues from previous monitoring events. **AM**
- 5.2.3. The Authorised Monitor will **not** contact the Approved Training Organisation or the approved tutor prior to the assessment monitoring event.

5.3. Conduct Monitoring Event

- 5.3.1. On arrival the Authorised Monitor will introduce themselves to the approved tutor and the assessment candidates. **AM**
- 5.3.2. The Authorised Monitor will confirm and check the implementation of any corrective action(s) taken to address issues identified during previous assessment monitoring event(s) and record observations.
- 5.3.3. The Authorised Monitor will request the candidates’ Card Application Forms, the candidate sign in sheets and other relevant documents and record the applicants’ details.
- 5.3.4. To ensure compliance with candidate requirements the Authorised Monitor will check the Candidate Pack for each candidate and review the completed Skills Self Analysis sheet, the duration of the candidate’s experience on equipment along with their employer’s endorsement by signature and the endorsement date.
- 5.3.5. The Authorised Monitor will request sight of the candidates’ Safe Pass cards or equivalent.
- 5.3.6. For the Plant category (only) the Authorised Monitor will request sight of the operating manual applicable to item of plant for the planned assessment.

For the Plant category that involves lifting loads the Authorised Monitor will request sight of a certificate verifying worthiness of the Plant lifting equipment.

- 5.3.7. The Authorised Monitor will check to determine if all essential criteria are in place, in line with the requirements of the monitoring instrument.
- 5.3.8. The Authorised Monitor will observe the tutor and the delivery of the pre-assessment content (theory and practical checks and duration) to ensure all assessment related information has been addressed and will record observations.
- 5.3.9. The Authorised Monitor will observe the equipment in use for the assessment event to ensure conformity with all legislative requirements and will record observations.
- 5.3.10. The Authorised Monitor will observe suitability of the site for the intended equipment to be used during the assessment of candidates and check with the tutor that safety requirements have been put in place, such as, cordoning off the assessment site and taking account of overhead hazards. The Authorised Monitor will record their observations.
- 5.3.11. The Authorised Monitor will confirm with the tutor that the loads/machinery on the assessment site are in compliance with the Centre Pack/ Assessment Instrument Specifications (AIS) details (where appropriate) and will record observations.
- 5.3.12. The Authorised Monitor will confirm with the tutor that any equipment/machinery intended for pre-assessment practice and the assessment event is/are in compliance with requirements, as specified, in the Centre Pack/AIS and will record observations.
- 5.3.13. The Authorised Monitor will confirm with the tutor that the site is secured safely for the practice and assessment event and record observations.
- 5.3.14. The Authorised Monitor will confirm that any assistant operators of the machine/equipment required for the assessment holds valid SOLAS CSCS/QSCS Card and will record observations and card details.
- 5.3.15. The Authorised Monitor will observe the tutor conducting the assessment events (theory and practical) to ensure compliance with the SOLAS AIS. The Authorised Monitor will record any non-compliance and or observations.
- 5.3.16. In situations where the Authorised Monitor is concerned about Health and Safety issues, SOP 03 applies [Management of Suspected Unsafe Practices, Conditions, Environment and Equipment]

5.4. Provide and Receive Feedback on the Monitoring Event

- 5.4.1. Following the conclusion of the assessment events the Authorised Monitor will provide and receive feedback on the assessment event from the tutor.
- 5.4.2. The Authorised Monitor will record feedback provided or received within the monitoring instrument.

AM

5.5. Complete Monitoring Instrument

- 5.5.1. On completion of the monitoring event, the Authorised Monitor will ensure the monitoring instrument is counter signed by the tutor. **AM**

5.6. Monitoring Report and Update Record System

- 5.6.1. 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**

5.7. Issue Report to SOLAS QAS

- 5.7.1. The Authorised Monitor will submit the final monitoring report to Quality Assurance Services [QAS] **AM**
- 5.7.2. QAS will quality assure the submitted assessment event monitoring report **QAS**
- 5.7.3. QAS will record the findings and any recommendations contained with the assessment event monitoring report

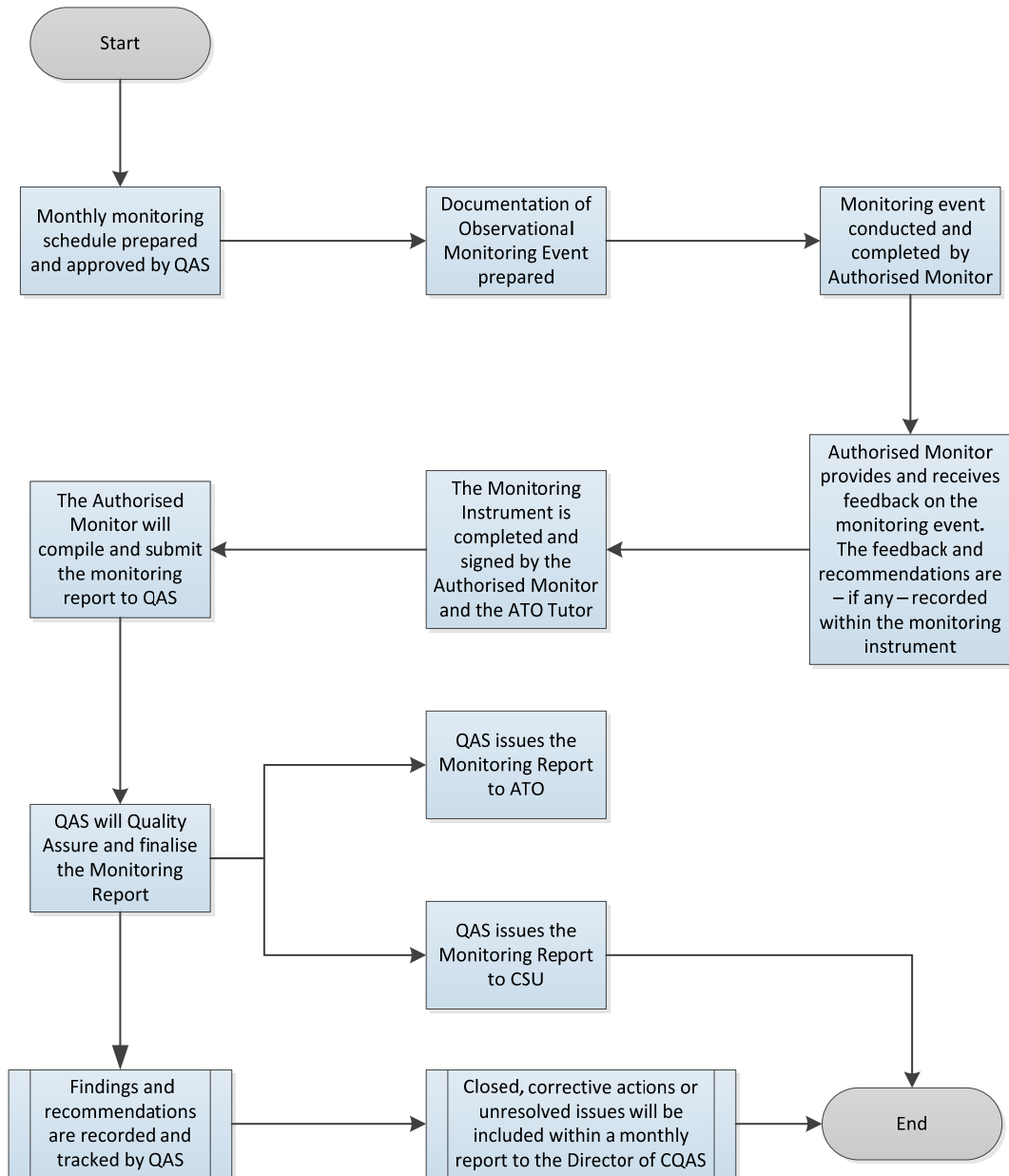
5.8. Monitoring Report Issued to SOLAS Construction Services Unit and Approved Training Organisation

- 5.8.1. QAS collates all Monitoring Instruments and report details and prepares report using the standardised report template. **QAS**
- 5.8.2. QAS issues finalised report and the findings of the monitoring event to SOLAS Executive Director–Resources, SOLAS Director of Construction Quality Assurance Services [CQAS], Construction Services Manager and Assistant Manager and the Construction Services Assistant Manager for Quality Assurance.
- 5.8.3. Monitoring Reports and the associated supporting documentation [signed monitoring instruments] are available on the QAS/CSU shared server [O:].
- 5.8.4. QAS will require a formal response from CSU within 10 working days to the issues and corrective actions raised in the monitoring report. A designated location for this response is on the final page of the monitoring report.
- 5.8.5. SOLAS QAS issues both a soft and hard copy of the monitoring report to the ATO proprietor and/or ATO Training Manager.

5.9. Recording and Tracking Issues, Preventative and Corrective Actions

- 5.9.1. 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**
- 5.9.2. Conclusion of the corrective actions by CSU will be recorded on the tracking schedule and the issues will be deemed to be closed.
- 5.9.3. A record of closed issues and outstanding or unresolved issues will be included within a monthly report to the Director of CQAS. **QAS**

Appendix No 1: Process Map



Appendix No 2

Definition, Notes and Abbreviations

- 1) CSCS - Construction Skills Certification Scheme
- 2) QSCS -Quarries Skills Certification Scheme
- 3) ATO - Approved Training Organisation
- 4) QQI - Quality and Qualifications Ireland

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 Unit 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 Unit Manager

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

