

## **FIETA PROCEDURES FOR CONDUCTING A PROVIDER MONITORING AND AUDIT REPORT**

### **1. PROVIDER AUDIT**

#### **INTRODUCTION**

These are some reasons for which the FIETA 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 FIETA ETQA conduct an audit of accredited providers.
2. Where a “critical mass” 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. For example, where the investigation indicates that there may have been irregularities on the part of the provider.
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 Manager 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 FIETA 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 Manager 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.