MONITORING AND AUDITING OF ETPs AND LPs

PROCEDURE/WORKFLOW

"Building a seamless Education and Training System"

1.0 Purpose

The purpose of this procedure is to ensure that monitoring and statutory audits for registered and accredited education and training providers (ETPs) and their accredited learning programmes (LPs) are carried out in a consistent manner.

2.0 Scope

This procedure covers from the time notification for submission is sent out to the customer up to the time a final audit report is sent to the customer.

3.0 Definitions and abbreviations

3.1 Definitions

Annual Report: A report compiles on yearly basis containing key information on an ETP's performance in maintaining Quality Assurance Standards.

Corrective Action Plan (CAP): A documentation used in quality management that outlines a set of steps proposed by the ETP and approved by the Authority for addressing issues and gaps identified from an Audit.

Customer– refers to a registered and accredited ETP that is to be audited.

Education and training provider (ETP): refers to a person or entity that provides or organizes a programme of education and training, including the provision of professional development services.

Portfolio of Evidence (PoE) – refers to evidence compiled by the ETP which is guided by Quality Assurance Standards (QAS) and requirements.

Self-Evaluation Report: an assessment of the complete ETP conducted by the ETP management and administration, involving all the stakeholders.

Teaching Out Plan: A documented course of action an ETP will take to ensure learners are treated fairly with regard to finishing their programme of study

3.2 Abbreviations

AR – Annual Report	MR – Manager Records
CAP – Corrective Action Plan	PoE – Portfolio of Evidence
DQA – Director Quality Assurance	RMO – Records Management Officer
IAO – Institutional Audit Officer	SER – Self Evaluation Report
MCS – Manager Customer Service	TOP – Teaching Out Plan
MIA – Manager Institutional Audit	

4.0 Responsibility and authority

The Director of Quality Assurance (DQA) is responsible for the effective implementation of this procedure.

5.0 Workflow

	Activity	Responsible	Accountable	Actual Deal stage	TAT in Days	Business Process/Decision Point	(Data Objects) Required documents/records
1.	Schedule for cycle audit	MIA	MIA	-	-	Outside system	i. Audit Schedule
2.	Send notification to ETP to submit TOP/CAP/POE/SER/AR	*System-generated, IAO*	MIA	-	-	Outside system	*i. Notification Email* *ii. Notification Letter*
3.	Submit TOP/CAP/PoE/SER/AR (online),	Customer	Customer	Application received	1	Monitoring audit or statutory audit? If 'Statutory Audit' proceed to Step 4 (Make Payment) If 'Monitoring Audit' proceed to Step 6 (Acknowledgement of submission…)	TOP/CAP/PoE/SER/AR
4.	Make payment (online)	Customer	Customer	Awaiting payment	15		*Proof of payment (system, etc.)*
5.	Validate Payment	Cashier	Cashier	Validate Payment	1		
6.	Send acknowledgement of receipt of submission to customer	*System-generated*	MIA	Awaiting allocation for processing	-		*Acknowledgement Email (receipt of submission)*
7.	Allocate submission to Audit team (IAOs) for processing	MIA	MIA	Awaiting allocation for processing	1		*Generated Task on system*
8.	Conduct desk evaluation based on submission pack	IAO	MIA	Conduct Desk Evaluation	3	Monitoring audit or statutory audit? If 'Monitoring Audit' proceed to Step 9 (Conduct on-site verification)	

Activity	Responsible	Accountable	Actual Deal stage	TAT in Days	Business Process/Decision Point	(Data Objects) Required documents/records
					If 'Statutory Audit' proceed to Steps 8 and 9 (engagement of reviewers and conduct of audit)	
9. Conduct on-site verification (where required)	IAO	MIA	Conduct On-site verification	2		i. Audit Notification Letter ii. Audit Pack
10. Engagement of Reviewers	IAO	MIA	Engage reviewers	5	Statutory Audit	Engagement Records
11. Audit Notification	IAO	MIA	Pending Audit	5	Statutory Audit	i. Audit Notification Letter ii. Audit Pack
12. Conduct audit	IAO	MIA	Conduct audit	5	Statutory Audit	i. Audit trail ii. Attendance register
13. Prepare audit report and submit to MIA for review	IAO/Reviewer(s)	IAO	Prepare Audit Report	1		i. Audit Report (draft),
14. Review report	MIA	MIA	Review Audit Report	1	Accepted? (Yes/No) If 'yes' assume 'okay' and proceed to Step 13 (factual accuracy) If 'no' assume 'not okay' and return the report to IAO to close gaps and resubmit for review.	
15. Send report to the customer to confirm factual accuracy	IAO	IAO	Awaiting Factual Accuracy feedback	-		i. Draft Report Email ii. Draft Report iii. Factual Accuracy Confirmation (FAC) Form Template
16. Verify report for factual accuracy and submit response to Authority	Customer	Customer	Confirm Factual Accuracy	5		ii. Factual Accuracy Confirmation (FAC) Form
17. Acknowledge receipt of factual accuracy response	System generated	MCS	Pending FAC analysis	-		Acknowledgement Email (receipt of FAC)
18. Conduct FAC analysis and incorporate input from Customer (where required)	IAO	MIA	FAC analysis	1		Factual Accuracy Confirmation (FAC) Form

Activity	Responsible	Accountable	Actual Deal stage	TAT in Days	Business Process/Decision Point	(Data Objects) Required documents/records
19. Prepare final report and submit to MIA for review	IAO	MIA	Preparing final report	1		*Report (final)*
20. Submit report to DQA for review and prepare recommendation	MIA	DQA	Review Report	1		
21. Present recommendation to MQAC	DQA	DQA	Present to MQAC Prepare and share MQAC resolutions	2***		*i. Validation Report* *ii. Recommendation Report*
22. Incorporate input from MQAC (where applicable) and prepare and send MQAC resolutions to IAO	DQA	DCEO	Incorporate input from MQAC (where applicable)	2***	Continue to QAC? (Yes/No) If 'yes' assume conventional/workplace and proceed to next task If 'no' assume 'consultancy' and proceed to resolutions.	MQAC Resolutions
23. Present recommendation to QAC	DQA	DCEO	Present to QAC Prepare and share QAC resolutions	10***		*i. QAC Reports* *ii. MQAC Resolutions*
24. Incorporate input from QAC (where applicable) and prepare and send MQAC resolutions to IAO	DQA	DCEO	Incorporate input from QAC (where applicable)	2***	Continue to Board? (Yes/No) If 'yes' assume conventional NCQF levels 6-10 and proceed to next task If 'no' assume 'conventional with NCQF levels 1-5' or 'workplace' and proceed to resolutions	QAC Resolutions
25. Present recommendation to Board	Chairperson QAC	Chairperson QAC	Present to Board Prepare and share Board resolutions	15***		*i. Board Reports* *ii. QAC Resolutions*
26. Prepare and send resolutions to DQA	DQA/BS	CEO	Prepare and send resolutions	5		*i. MQAC/QAC/Board Resolutions*

Activity	Responsible	Accountable	Actual Deal stage	TAT in Days	Business Process/Decision Point	(Data Objects) Required documents/records
27. Approve report and sign cover letter	DQA	DQA	Sign Final report	1		*i. Report (final)* *ii. Cover Letter*
28. Dispatch report to Customer	RMO, IAO	MR, MIA	Dispatch Report	1		*i. Cover Letter* *ii. Audit Report*
29. Capture in QAD	IAO	MIA	Capture Audit report in QAD	1		*i. Audit Report (signed Final report)*
30. Archive all documents for the concluded deal	RMO	MR	Archive application	1		*All documents on the drive for archiving*
Total Time for properly completed application- days				88		

Notes
*may take more days if the location of site warrants travel considerations to be made (i.e., outside Greater Gaborone region)

6.0 Process Model

CUSTOMER

1. Customer to submit TOP/CAP/POE/SER/AR online.
2. Payment is made where required through Payment Gateway.

Notification Received

Submit and Pay

Verify Factual Accuracy

5 Days

BOTSWANA QUALIFICATIONS AUTHORITY

Start

Send Notification to Customer

Submission Received

Confirm Submission

Monitoring Audit

Statutory Audit Paid for

Send Acknowledgement Letter to Customer

Conduct Desk Evaluation

Monitoring Audit

Conduct On-Site Verification

Statutory Audit Not Paid for

Statutory Audit

Add annotation indicating what transpires if customer has not paid. The Process should however progress to Send Acknowledgement Letter to Customer

Conduct Audit

Prepare Audit Report

Issue Report for Factual Accuracy and Request for Additional Information

Additional Information Received

Conduct Factual Accuracy Confirmation Analysis

Prepare Final Report and Recommendation

Make Decision

Dispatch Report and Cover Letter

Capture on QAD

End

Decisions are made at Management and or Board level.