

ECSA & CESA Auditing and Review Process

ECSA has developed and maintained a quality assurance system that allows various organisations to be recognised as ECSA CPD Licensed Bodies and/or Verified CPD Providers. The CPD Standard defines the criteria, policies, and procedures that define licensing, verification, and validation.

These processes reassure the public, employers, clients, and other stakeholders that the validated activities achieve their primary goal of providing attendees with the ability to advance their engineering knowledge and stay abreast of best practice in their area of competence, and that they ensure the registered person remains proficient and up to date with technological developments in the engineering discipline.

Auditing

Requirements

1. Every CPD Licensed Body (e.g., CESA) or Service Provider must be audited every three years or at the ECSA's and CESA's discretion. The ECSA and CESA will monitor and audit all CPD-related processes as needed.
2. CPD Licensed Bodies, verified CPD Service Providers, and validated CPD Activities will be audited. Below summarises the auditing requirements:

Entity	Key Requirements	Other Requirements	Sample Percentage	Frequency
CPD Licensed Bodies	Section 4.2	Records of verified and rejected CPD Service Providers	N/A	Once
CPD Service Providers	Section 5.1	Records of verified and rejected CPD Activities	5%	Once
CPD Activities	Section 6.1	Attendance registers, evaluation forms (Material and instructor) and issued certificates	5%	Once

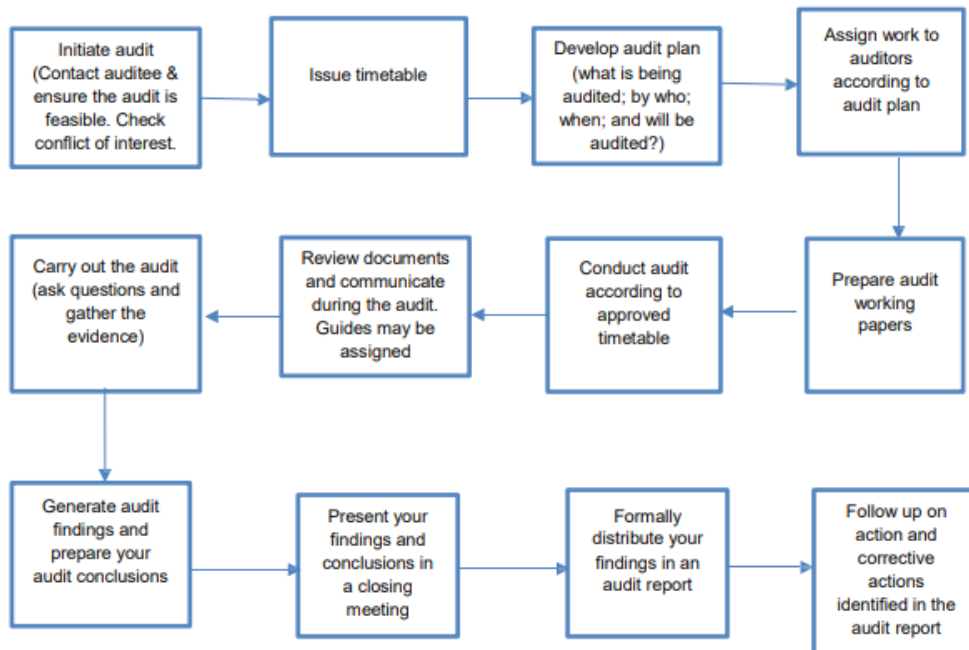
3. Each CPD Licensed Body and verified CPD Service Provider's certificate with their unique verification number should be displayed at the organisation's head office and on their website.
4. The certificate issued to participants who attend the CPD Activity should also include the unique registration number for the validated CPD Activity.

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5. Three months before the audit, the entity must be notified of their upcoming audit.
6. Additional documents may be requested to verify the information provided. All relevant information or records must be kept for a period of five years for this purpose.

Auditing and review process

The auditing and review process is illustrated in Figure 3 below.



Auditing Report Format

The following sections should be included in the auditing report:

1. Institution, CPD Activities, administration team and the presenter details.
2. Criteria and procedures applied
 - i. General observations of the CPD Activities and CPD Service Provider
 - ii. Quality of teaching and learning
 - iii. Recommendation

The Engineering Profession Act (No. 46 of 2000) establishes appeal procedures for individuals who are dissatisfied with registration and disciplinary decisions. The Act makes no explicit provision for appeals against the appointment of Licensed Bodies, the validation of CPD Activities, or the verification of CPD Service Provider decisions. As a result, natural justice requires that there be an appeal mechanism for adverse verification and validation decisions that is available to providers of CPD-related services.

The appeal procedure follows the guidelines outlined in the ECSA's policies on appeals against registration and disciplinary decisions. The process is governed by Section 40(2) of the Engineering Profession Act of 2000, which allows the Council to delegate authority to its committees but does not permit the authority to hear an appeal to be delegated. The ECSA's ECPD-01-STA - Standard for Continuing Professional Development document, outlines on how a CPD Service Provider can file an appeal against a Licensed Body decision.

This appeal procedure applies only after the Chief Executive Officer has communicated to the complainant the decisions regarding the verification of the CPD Service Provider and the validation of the CPD Activity (CEO). The procedure does not allow for appeals before the licensing, validation, or verification processes are completed.

Appeals for CPD Service Providers and CPD Activities

The CPD Service Provider files an appeal with the ECSA or a Licensed Body. If an appeal is filed with the ECSA, the procedure outlined in Section 8.4 in the ECPD-01-STD (11 Feb 2020) is followed. The CPD Licensed Body must have a similar appeal's process to the ECSA.

Appeal procedure / Appeal process

The CPD Licensed Body must, in the normal course of events and in accordance with the procedures,

- Consider the findings and recommendations, as well as any representations made by the complainant.
- Make a decision in accordance with the Council's delegation of authority; and
- Inform the complainant of its decision in this regard.

If a CPD Licensed Body or Service Provider disagrees with the decision of the authorised CPD Licensed Body regarding the verification or validation of its CPD Activity or Activities, the complainant may file an appeal with the Council. The appeal must be filed in writing with the CEO within 30 days of the date the CPD Licensed Body notified the complainant of the decision. A specific procedure must be followed when filing an appeal.

1. The appeal must be in writing and must include the grounds for appeal as well as the essential information to support these grounds for appeal.
2. If the reasons are deemed sufficient, the CEO may grant an extension of time to file an appeal.

3. The CEO must submit the appeal, along with all lodged documentation, to the CPD Education Department or the CPD Licensed Body within 14 days of receipt of the request. The CPD Education Department or the CPD Licensed Body must examine the grounds for the appeal and provide its comments to the CEO within 21 days of receipt of the request. The CPD Education Department or the CPD Licensed Body must decide how its comments will be written.
4. The CEO must appoint an Appeal's Committee comprised of no more than four members of a Council-approved panel of individuals. These individuals must be appropriately qualified to hear the appealed case. No member of the appointed Appeals Committee may be a member of the original decision-making committee or a member of the team that visited the provider.
5. The chairperson must be chosen by the CEO from among the members of the Appeals Committee.
6. Following receipt of the Committee's comments, the CEO must promptly submit the appeal in question, along with all supporting documentation and such comments, to the Appeals Committee for consideration. At the same time, and in consultation with the members of the Appeals Committee, the CEO must set a date and location for hearing the appeal.
7. The Appeals Committee must invite the appellant for presentation of the case and may call on a representative of the Committee to present the views of the Committee.
8. The Appeals Committee must consider all evidence presented and make a decision by majority vote. This decision is in the form of a recommendation. If the votes are tied, the chairperson has the casting vote.
9. The CEO must promptly submit the Appeals Committee's recommendation to the Council for consideration at its next scheduled meeting. If such a meeting is not scheduled within 60 days of the receipt of the appeal, the CEO must convene a special meeting of the Council as soon as possible in consultation with the President of the Council.
10. The Council may either confirm, modify, or revoke the Appeal Committee's recommendation, or it may make its own decision. Within 21 working days, the CEO must notify the complainant of its decision and provide adequate reasons for it.
11. Any Council member who served on the committee that made the decision under appeal may not vote on the appeal in Council.
12. The notification must inform the complainant that he or she may appeal the decision to the CBE under Section 21 of the Council for the Built Environment Act, 2000.