

Review of Factual Accuracy of Audit Report

Guidelines for Education Organisations

1. General principles

- 1.1 As a public service organisation committed to quality procedures, the New Zealand Qualifications Authority (NZQA) operates processes that are equitable, responsive and designed to improve performance.
- 1.2 The process and the manner in which a review is handled are as important as the outcome.
- 1.3 The rights of all concerned will be protected by ensuring that reviews are properly conducted and decisions are made only on the basis of relevant evidence. Applicants should be advised that they might be required to supply additional information where appropriate.
- 1.4 All recordings must take into account the principles of the Privacy Act 1993.
- 1.5 All parties are to be treated with respect.

2. What are the grounds for review of factual accuracy of an audit report?

- 2.1 The grounds for management review of factual accuracy are:
 - 2.1.1 the quality auditor and education organisation cannot agree that the findings of the audit have been reported accurately; and/or
 - 2.1.2 the quality auditor and the education organisation cannot agree that the analysis of the findings is accurate; and/or
 - 2.1.3 the quality auditor and the education organisation cannot agree that the audit report is an accurate representation of the organisation as a whole.

3. How do we apply for a review of the factual accuracy of the audit report?

- 3.1 If an impasse is reached and the quality auditor and the education organisation cannot agree that the draft audit report is factually accurate, the quality auditor will write to the education organisation advising them of the process for management review.
- 3.2 The education organisation will complete the Request for Review of Factual Accuracy form at the end of this document and send it to the Manager, External Evaluation and Review business unit of the Quality Assurance Division of NZQA. This application should also include any supporting documentation (see section 4 below).
- 3.3 The Request for Review of Factual Accuracy form must be signed by the chief executive (or equivalent) of the education organisation.
- 3.4 NZQA must receive the application within five working days of the receipt of the letter notifying the education organisation of the process for management review.

4. What supporting documentation should be provided?

- 4.1 Applicants should provide any additional information that they consider necessary to give a full understanding of the situation that has led to the request for review.
- 4.2 The information provided should include detailed evidence to support the claims that the audit report is factually inaccurate.
- 4.3 Documents procured by the education organisation after the audit visit are not generally admissible because an audit is a snapshot of the day and findings are based on evidence gathered before or during the visit.

5. How will the review be conducted?

The manager of the External Evaluation and Review business unit will conduct the review.

- 5.1 When the manager of this unit receives a request for review, he or she will discuss the situation with the quality auditor and request the full audit file.
- 5.2 The review will be conducted by the manager or allocated to a senior staff member. The reviewer will check that the audit report is fully supported by relevant evidence on file and that the report gives an accurate representation of the organisation as a whole.
- 5.3 The reviewer will discuss the decision with the quality auditor and if changes are required to the audit report, the quality auditor will make the necessary amendments.
- 5.4 If the review shows that the report was substantially factually inaccurate, the Quality Assurance Division (QAD) will conduct an internal review to determine the underlying cause and what actions must be taken to minimise the recurrence of such issues in the future.

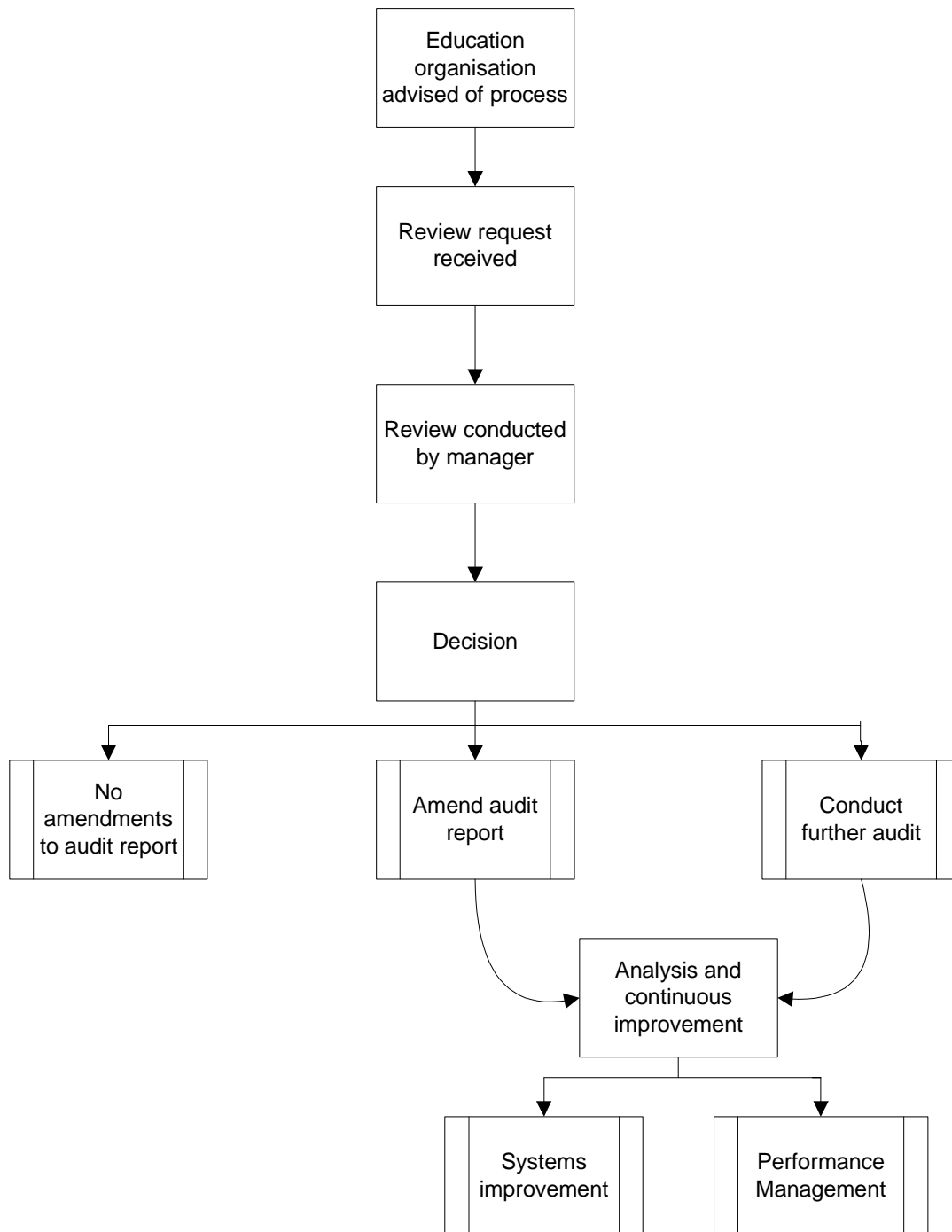
6. How will I find out about the decision?

- 6.1 The final version of the audit report will be sent to the education organisation with a covering letter from the manager, advising the outcome of the review and explaining any changes to the report, if applicable.
- 6.2 QAD will hold all records of the review.
- 6.3 QAD will request that the education organisation now confirms factual accuracy and consents to publish the report by signing the Confirmation of Factual Accuracy form supplied with the report and returning this to QAD.

Will the review cost me anything?

An organisation will only be charged the standard hourly rate to recover costs if the review finds that the original report was factually accurate and no changes were required. If the review finds factual inaccuracies no costs will be incurred.

Review of factual accuracy



Request for Review of Factual Accuracy of Audit Report

Details

Name of education organisation:

Date of audit:

Contact details

Name of key contact person:

Designation:

Postal address:

Phone number:

Email address:

Signature of chief executive (or equivalent):

Date:

Review details

Provide specific details of the parts of the audit report that you believe are inaccurate at the time of writing. Include exact references to the audit report, e.g. page number/criteria of Policies and Criteria for the Ongoing Registration of Private Training Establishments.

Report reference	

Supporting documents

Attach any additional information that will add support your request for a management review of factual accuracy.

See section 4 for guidance on the documentation that should be provided.

Documents provided:

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Post the completed form and other evidence to:

Manager External Evaluation and Review
Quality Assurance Division
New Zealand Qualifications Authority
PO Box 160
WELLINGTON

This form is available from the New Zealand Qualifications Authority.