

# Instructions for Centres

## Centre self-assessment audit



### Introduction

You are required to complete and return the Centre Self-assessment Audit form (CSAA) and supply documentary evidence in support of your answers. The audit form is designed to be completed first by the centre, then by a CIEH auditor. Having provided your answers in the relevant sections and returned the form to CIEH, an auditor will assess the answers given and return the same form to you with each answer scored, along with any comments and requirements. Further correspondence may be necessary after receiving your report back so that all points can be answered satisfactorily – but you will only need to complete the audit form once.

The guidance below is split into three parts. 'Part 1 Presentation of your audit response', gives advice on the method of presenting your audit documents and completion of the form to help avoid delays and problems in the audit process. 'Part 2 Guidance on the questions,' takes you through the audit questions in detail, providing additional advice on the questions set. 'Part 3 The report on your performance', explains how the auditor will assess and score your audit and what you may need to do in response.

Please note these instructions relate to **version 6** of the audit form (version number is indicated at the bottom of each page of these instructions and the CSAA form). Centres are required to complete this version only. Submission of any other versions of the audit form will not be accepted.

Centres have **4 weeks** in which to supply their audit response. Extensions to the deadline set can be offered in appropriate circumstances at the discretion of the Quality Assurance Manager.

## Part 1 - Presentation of your audit response

The audit form and all evidence must be emailed to: **audits@cieh.org**

- The Centre Self-assessment Audit form (CSAA) is designed to function as an electronic document **only**. It must be downloaded from the CIEH website, completed and emailed to [audits@cieh.org](mailto:audits@cieh.org) with your documentary evidence attached. Please do not return print-outs or handwritten copies of the CSAA form
- The CSAA is a Microsoft Word document and must be returned in this **same format** – please do not convert it to any other file type, such as a pdf file
- Please note that posted copies of the CSAA form **cannot be processed and will be rejected**
- If you have any difficulties in returning your audit forms, please telephone the Quality Assurance (QA) team on **0207 827 6327**, or email [audits@cieh.org](mailto:audits@cieh.org) for assistance. In exceptional circumstances, posted evidence (but not the CSAA form) may be acceptable, but must be authorised first with the QA team

## Sending your email

- Ensure each attached document is clearly titled and corresponds with the reference you give on the CSAA form
- To avoid emails 'bouncing back', all attached documents in a single email should not total more than **10 MB** in size
- If sending multiple emails, ensure you clearly indicate this on the email (e.g. title your email CSAA response Part 1 of 3 etc.) and ensure these are sent immediately after each other. Please keep multiple emails to a minimum. If you have any concerns on this, please telephone to confirm receipt
- Avoid sending jpeg images of your documents (e.g. photographs). These create extremely large file sizes and may prevent your email from being received
- If sending a large number of attachments, it is recommended that you place these documents in a 'zipped' folder
- Acceptable file extensions include .doc .docx .ppt .pptx .xls .xlsx .pdf .jpeg .jpg .gif .tiff .html .htm - If your documents do not display any of these suffixes, please contact us to confirm compatibility

## General points

- **One piece of evidence** is acceptable for most questions (e.g. one answer information sheet from a batch submitted, one candidate evaluation form from a course etc.)
- Documentary evidence supplied should only be relevant to CIEH training and courses
- Documentary evidence supplied should only be relevant to the specific questions on the CSAA form – additional materials will not improve your audit score
- The CIEH auditors that review audit returns work remotely and only have access to the materials supplied to them by the centre for audit – they will make their assessment on this documentation only
- Documentary evidence must be supplied in English
- If relevant, a short excerpt / sample of materials in another language may be presented to illustrate alternative training provisions
- Please do not supply any original certificates, forms etc.
- Please do not post any evidence on a CD-Rom / DVD / USB memory stick
- **NB:** Once you have completed the CSAA form, submitted it to CIEH, and then have received your report back, you must **not** complete the CSAA form again when answering any mandatory requirements – see part 3 of these instructions.

## Completing the CSAA form

The form is designed to be completed by both the centre and the auditor. As a centre, you must only complete the areas **outlined in red**. (**Note:** Long descriptive answers are not necessary and the amount you can type into the red boxes is limited). Though some sections require you to check boxes to confirm information, most of the questions require a descriptive answer along with a reference to an actual document you will be supplying for audit. A typical question is illustrated below.

The question number

The question (areas coloured in green contain questions and instructions)

Enter your answers in the red boxes only. click next to the cursor point to begin typing

These areas are for the auditor to complete. Once you have submitted your form it will be marked and returned to you with any comments and requirements from the auditor noted here.

Always enter the title, page or document number etc. for your attached evidence here. Again, click next to the cursor point to begin typing

These areas are for the auditor to complete. Once you have submitted your form it will be marked and returned to you with the score entered here

<b>4.1</b>	How do you assess individual candidates long term disability, a temporary disability supply a completed assessment.
<b>Centre</b> Enter your answer here: >	
<b>Auditor</b> Comment / Advice:	
Mandatory Requirement:	
Evidence reference: >	
Compliant:	<input type="checkbox"/>
Partly compliant:	<input type="checkbox"/>
Non compliant:	<input type="checkbox"/>
Score:	/ 2

## Part 2 - Guidance on the questions

All questions on the CSAA are relevant to all CIEH centres and must be answered. Upon registering with the CIEH and returning a signed agreement, all CIEH training centres are bound by the standards of practice established in the CIEH Procedure Manual, against which centres are audited.

**Completed documents are required as evidence.** If such evidence does not currently exist, or cannot be introduced prior to audit response date, the centre should provide a statement of intent or a blank template of an appropriate form to demonstrate the planned improvement. (Exemplar documents are available on the Quality Assurance pages of the CIEH website, under the 'Trainers' section). The introduction and maintenance of these new procedures will be checked at a later date. Centres will lose marks if they supply blank templates/statements of intent, instead of completed forms currently in use.

**A note on 'single trainer centres':** A number of centres operate with only one self-employed individual fulfilling all business roles, including that of trainer. These are known as single trainer centres. These centres may not have the same formalised management, administration and review of their training as larger centres, but they are still required to have adequate processes in place to meet requirements. However, where required activities cannot easily or logically be fulfilled by one individual, these are noted in the guidance below and specific advice is given on acceptable, alternative practice. Additional exemplar documentation is also provided on the CIEH website, specifically designed for single trainer centres.

Q.	Guidance	Procedure manual reference
1.1	A descriptive answer only is required on how the centre ensures all candidates receive the necessary pre-course information. If sending via email, you must comment on how you establish this as an appropriate method for your candidates.	Training delivery, 4.8.2
1.2	Pre-course information must be provided in a written format and should not be given verbally. Emails, faxes and letters are acceptable as evidence. As described in the relevant points below, certain elements of pre-course information may not be applicable in all cases. These will be discounted from the scoring scheme if the centre supplies an acceptable explanation in the 'further comments' box. <ul style="list-style-type: none"> <li>- <b>A map of the venue</b> may not be required if the training venue is well known to all candidates - if they are employees being trained on site for example.</li> <li>- <b>Pre-course reading and course reading lists</b> are only a requirement for level 3 courses and above.</li> <li>- <b>Details of any dress code to be observed</b> may already be known to candidates - if they are employees being trained on site for example.</li> <li>- <b>Health and safety information</b> should be conveyed in the pre-course information where possible. In all cases, the trainer must still communicate these details as part of the course introduction.</li> </ul>	Training delivery, 4.8.3
2.1	A description of the process to decide the appropriate level and content of training with supporting evidence is required. Acceptable evidence might include notes from a meeting or telephone conversation with a client or candidate, a completed training needs assessment form, or emails discussing these points.	Training delivery, 4.9.1
2.2	For centres with multiple trainers and/or administrators, a description with evidence is required of how candidate training needs are communicated to the trainer in good time ahead of the course to allow for preparation. This might take the form of an email from the centre to the trainer, detailing the candidates and their particular requirements. <b>Single trainer centres:</b> If the trainer is always the same individual who carries out the initial client/candidate assessment, this question can be marked 'not applicable'.	Training delivery, 4.9.2

3.1	An up-to-date and dated course plan (session/lesson plan) that covers the whole course should be presented for audit in all cases. All course plans should <b>include the date</b> they were last reviewed and amended. Note: course plans should not be confused with timed course programmes (provided to candidates) nor with the sessions listed in CIEH Trainer's Notes (which cover the whole syllabus in greater detail). Course plans are a summary guide to the trainer, which include topic timings, delivery methods, objectives and training aids. An exemplar session plan is available on the CIEH website for guidance. The centre must show how this document is monitored and where improvements have been made (this may form part of a trainer's annual review) <b>Single trainer centres.</b> To demonstrate the review a description of recent updates made to a dated course plan showing evidence of changes will suffice.	Training delivery, 4.10.1
3.2	Whether provided in the pre-course information or not, at the outset of all courses trainers should communicate health and safety and any domestic information to candidates. As evidence, introductory PowerPoint slides or a course plan showing time allocated for this discussion should suffice. A description of how information on the training venue is gathered by the trainer must also be provided.	Training delivery, 4.10.5
4.1	As part of a formal assessment process the centre must specifically query if candidates have any potential needs as a result of the following: a permanent or long term disability, a temporary disability, a medical condition, a specific learning need (including speaking English as a second language). Marks will be lost unless all of these potential needs are assessed. To ensure suitable provisions and training solutions can be developed in time, this assessment should occur prior to the start of the course. For any candidate need or indisposition identified on the day of the course or examination/assessment, it may be appropriate for the centre to follow the CIEH Reasonable Adjustment or Special Consideration process – see the following question.	Training delivery, 4.11.3
4.2	Please refer to the Reasonable Adjustment and Special Consideration sections of the CIEH Procedure Manual. The centre must ensure that all candidates have a fair and equal opportunity to achieve the qualification and that any measures taken to ensure this are supported by the correct CIEH forms. One completed example of either a Special Consideration or Reasonable Adjustment form should be included as evidence. If there has not been any need to use these forms thus far, the centre should still provide a description of the process they would follow, supplying a policy document as alternative evidence that advises candidates that additional support is available to those entitled – this would typically be the centre's Equality and Diversity policy.	Training delivery, 4.11.4 Reasonable Adjustment, <i>all paragraphs</i> Special Consideration, <i>all paragraphs</i>
4.3	Definitive descriptive answers are required that are in accordance with CIEH examination procedures. No documentary evidence is required. Your answers should demonstrate your current practice and understanding of the CIEH Reasonable Adjustment and Special Consideration procedures.	Reasonable Adjustment, <i>all paragraphs</i> Special Consideration, <i>all paragraphs</i>
5.1	Centres must ensure any training resources used to enhance training delivery are of good quality and contain up-to-date, accurate information. You will lose marks if the training aids provided fail to meet this standard. <b>Note:</b> it is not sufficient to present the CIEH PowerPoint presentation from the trainer's pack without showing evidence that its contents have been updated – CIEH materials are generic training materials and it is the responsibility of the trainer to tailor these documents to their candidates' requirements, and to keep them up-to-date with the latest information. If supplying a PowerPoint presentation, it is only necessary to send evidence of the relevant slides – please do not send slides / pages for the whole course.	Training delivery, 4.12.1 to 4.12.5
6.1	A single document (eg. the exemplar Trainer Record) may record some of the required elements. However, actual evidence is required of CVs and training undertaken (eg. certificates of attendance, notes from reflective study etc). Please do not enter comments such as 'records held at CIEH'. Whilst CIEH does hold some of this data, the audit is a test of what the centre keeps on record.	Training delivery, 4.13.1

6.2	<p>Though trainers may themselves ensure they have the necessary skills and knowledge to deliver their courses, it is the responsibility of the centre to check and review these activities and to maintain appropriate records. The frequency and process of the centre's review of their trainers must be stated. Reviews should check all necessary trainer details/documents are in place and should note what professional development activities have been undertaken, with areas for improvement identified.</p> <p><b>Single trainer centres:</b> A formal review process may not be followed, but a description must still be given of how areas for improvement are identified/reflected upon, and then addressed. Answers should be supported by evidence of recent professional development (e.g. of recent seminars and forums attended).</p>	Training delivery, 4.13.2
6.3	<p>The centre must ensure a periodic review of the trainer's training delivery takes place in the classroom. This should be a review with the emphasis on their training techniques/style, not a review of their subject knowledge (which is addressed by the reviews of their CPD etc.) The observation can be carried out by another trainer at the centre. An annual appraisal of training delivery is generally sufficient for all centres.</p> <p><b>Single trainer centres:</b> Ideally, arrangements should be made with other training providers to carry out a peer review of training delivery (a process which can be reciprocated). The trainer does not have to be another CIEH trainer, nor have the same subject knowledge, but should have sufficient and equivalent professional experience to provide feedback on training techniques. Also, observations need not cover the whole of the course. An exemplar form to record trainer reviews is available on the CIEH website.</p>	Training delivery, 4.13.6
7.1	<p>Only one completed example of an end of course evaluation form is required. If using a client's evaluation form, the centre must ensure that it complies with CIEH requirements. All evaluation forms must ask for candidate feedback on all the criteria stated in the CIEH Procedure Manual as a minimum.</p>	Training delivery, 4.14.4 4.14.5
7.2	<p>If the centre relies on a client's own course evaluation form, the centre must still have free and open access to this form to ensure effective reviews can take place. Evaluation forms should be reviewed collectively to establish areas for improvement. Many centres may review their trainers' performance through candidate feedback at periodic meetings. Evidence from these meetings, such as notes/minutes should be provided.</p> <p><b>Single trainer centres:</b> Rather than evidence of review meetings, single trainer centres may keep a log/make notes on recurring issues from the feedback, or carry out a statistical analysis of candidate comments over time, to identify any patterns in the feedback, in need of attention.</p>	Training delivery 4.14.5
7.3	<p>Once feedback has been appraised, the centre must demonstrate how corrective action is implemented. Evidence of a past improvement made is required (evidence may be a demonstration of the decision making process, or relevant notes or correspondence, if evidence of the actual improvement is not physically possible).</p>	Training delivery 4.14.5
8.1	<p>A descriptive answer is required on how the centre manages and ensures the secure storage of all paperwork pertaining to CIEH examinations and course assessment, up until the point they are returned to CIEH for marking.</p>	Examination and assessment 1.2.1, 1.2.2
8.2	<p>In the identification of candidates, the trainer/invigilator is required to keep a record of the <b>type</b> of photographic identification seen for each candidate only (photocopies of the actual photographic identification should not be taken). If the candidates are known to the invigilator then this should be recorded, along with the signature and full contact details of the person verifying the identification of the candidate (e.g. school teachers may deliver CIEH courses to their pupils and then act as an invigilator, confirming their identity). This method of verification must be done in person, on the day of the exam.</p>	Examination and assessment 4.2.1
8.3	<p>Definitive descriptive answers are required that are in accordance with CIEH examination procedures. No documentary evidence is required. Your answers should demonstrate your current practice and procedural understanding.</p>	Examination and assessment <i>all paragraphs</i>

8.4	Evidence of a completed seating plan must be provided, showing the names and relative positions of all candidates for a past exam. This should be an approximate diagram or sketch, or arrangement of candidate names, not a photograph of the exam room. Seating plans may be required during enquiries into allegations of candidate copying or other examination irregularities.	Examination and assessment 3.2.3
8.5	All examination materials submitted to CIEH for marking or moderation should be scanned or photocopied (the centre must not copy the exam question paper). A description of this process and examples of copied paperwork for one candidate, incorporating their answers/assignment and covering CIEH forms is required. For scan marked papers (such as level 1 or level 2 courses) a copy of the summary sheet and candidate AIS will suffice. For moderated assessments such as the PTTLS course, please supply copies of an assignment and a Candidate Assessment Record. If any of these documents are not available for audit, please provide an explanation in the further comments box.	Examination and assessment 4.10.5, 4.10.6
8.6	It is required that all examination scripts, answer information sheets etc. be sent for marking/moderation by recorded or registered delivery on the day or day following the examination, and receipts be supplied as evidence for audit. <b>Note:</b> The centre is required to present proof of postage for a date that corresponds with the examination date on the examination materials presented as evidence to question 5.5.	Examination and assessment 4.10.1, 4.10.7

## Part 3 – The report on your performance

Once you have completed and submitted your Centre Self-assessment Audit form and documentary evidence to CIEH, one of our team of auditors will review your response. The CSAA form will be returned to you with an overall score and grade. We will aim to return this report to you within **8 weeks**.

### Scoring and reporting

A full breakdown of the overall grading by percentage scores can be found in the CIEH Procedure Manual, available to download from [www.cieh.org](http://www.cieh.org). Individual answers with supporting evidence are scored according to the level of procedural compliance.

**Compliant** Procedural knowledge demonstrated and supported by completed documentary evidence.

**Partly Compliant** Insufficient demonstration of procedural knowledge or inadequate/missing documentary evidence (this includes use of blank templates and statements of intent).

**Non Compliant** Insufficient demonstration of procedural knowledge and inadequate/missing documentary evidence.

### Comments

The auditor may make comments and recommendations with regard to your answers and training practices. These do not necessarily require any action and are provided for information only.

## Mandatory requirements

- If any points have not been sufficiently answered, or if evidence is missing, the CSAA form will highlight these shortfalls and advise you on the points that remain to be addressed. These are the mandatory requirements. The requirements will be noted throughout the report alongside the relevant questions and will be listed again at the end of the form. A timeframe will be given in which to address any outstanding points in the accompanying letter.
- If any evidence requested by the CSAA audit does not currently exist, or cannot be introduced prior to the deadline set, the centre may provide a statement of intent or a blank template of an appropriate form, to demonstrate the planned improvement. (Exemplar documents are available on the Quality Assurance pages of the CIEH website, under the 'Trainers' section).
- When supplying your response to your report's mandatory requirements, an email response is preferable, with any documentation sent as attachments with covering statements as appropriate. Please ensure you provide some indication of which question number each of your statements or documents is an answer to, and send your email to [audits@cieh.org](mailto:audits@cieh.org)
- Please note, once you have received your report with scores against your answers and an overall grade, you are **not required** to complete the CSAA form again when answering any mandatory requirements. If you did not satisfactorily answer a question previously, please take note of any comments made by the auditor, carry out any required actions, and email the missing evidence or statement of intent, as appropriate.
- After answering your mandatory requirements your audit score will not be revised – you are graded on your initial return of the audit form, only.

## Blank templates/statements of intent

Wherever possible, completed examples of forms currently in use should be presented as evidence. Otherwise, as noted above, blank templates and statements of intent may be provided in lieu of documents in use. At the end of the audit form, a table will summarise any use of blank templates and statements of intent. These are recorded for information only. However, please note that any future audit actions will check that the planned improvements that these templates and statements represent have been put into use, as expected.

## Overview of the audit process

1. Your centre is selected for audit
  2. You must submit a completed CSAA form with evidence to CIEH within 4 weeks
  3. The CSAA report is returned to you within 8 weeks with your score and any requirements
  4. Any requirements made by the report must be sent to CIEH within 4 weeks
  5. Your response to the reports mandatory requirements are assessed
  6. If any points remain outstanding you are again required to submit a response within an appropriate timeframe (case dependent)
- Or -
7. You receive notice that your audit is complete