Guidelines and Standards for Surveyor Training Programmes

4th Edition Version 1.0, March 2022

Contents

Foreword and Acknowledgements

The 3rd Edition of the Guidelines and Standards for Surveyor Training Programmes were revised between 2019 and 2021 giving rise to this the 4th Edition of the Guidelines and Standards for Surveyor Training Programme Standards. I would like to extend my sincere appreciation to all those who contributed to the development of the 4th Edition of the Standards including:

- The ISQua External Evaluation Association (ISQua EEA) Accreditation Council members: Lena Low, Australia; Jacqui Stewart, South Africa, Salma Jaouni, Jordan and Moyra Amess, United Kingdom.

- The Joint Commission of Taiwan (JCT) and our peer review surveyor Jan Mackereth-Hill, United Kingdom, who piloted these standards in 2020/2021.

I would also like to thank our client organisations and surveyors who complete the post-survey evaluations and who contributed to the consultation process for the draft standards. Your feedback and ongoing support have helped us to revise the Standards ensuring that they remain fit-for-purpose and a resource for external evaluation organisations around the world.

I would also like to acknowledge the work of the ISQua EEA team, and in particular Heather Wilson, Accreditation Manager, who project managed this standards revision process to produce standards which promote best practice in the development and delivery of surveyor training programmes. A total of six new criteria have been introduced. These address the individuals who deliver the training being selected to provide a balance of skills and experience to fulfil the learning objectives of the programme (criterion 2.3), evaluation and training of those delivering the training programme (criterion 2.4), evaluation of the effectiveness of the training programme with results being used to make improvements to the training and development of surveyors (criterion 2.8), initial and ongoing surveyor training including a component on diversity and equity in the local setting (criterion 4.4), the initial training programme for trainees including a practical onsite element (criterion 4.5) and assessment results being collated and reviewed after each training programme to assess whether learning objectives have been met (criterion 5.5).

This Edition will be available from March 2022 and all external evaluation organisations will be assessed against the 4th Edition from November 2022 onwards. Organisations with survey dates from March – November 2022 may elect to be assessed against either the 3rd or 4th Edition of the Standards.

Elaine O' Connor
Head of Operations
March 2022

Glossary

Access	Refers to providing individuals with the means or opportunity to do something.
Accreditation	A self-assessment and external peer review process used by health and social care organisations to accurately assess their level of performance in relation to established standards and to implement ways to continuously improve the health or social care system.
Appropriate	The degree to which something is suitable for a specific purpose.
Assessment/ Reassessment	The process of considering all the information about a situation or a person and making a judgement or decision in relation to it. For example, on the basis of assessment results making a judgement or decision regarding someone's knowledge, ability or skills.
Assessment plan	A plan that outlines which training sessions will have an assessment component and the assessment tasks that will be used to assess performance and how these tasks will be rated or scored.
Assessment task	An activity undertaken by a trainee to demonstrate that they have understood and achieved the required outcome or standard for a training session.
Client	Individuals or organisations being served by the organisation.
Code of Conduct	A description of the values, principles and expected behaviours of individuals and teams working within a service.
Competency	The knowledge, skills, abilities, behaviours, experience and expertise to be able to perform a particular task and activity.
Complaint	Expression of a problem, an issue, or dissatisfaction with services that may be verbal or in writing.
Confidentiality	The right of individuals or organisations to keep information about themselves from being disclosed.
Contract	Formal agreement that stipulates the terms and conditions for services that are obtained from, or provided to, another organisation.
Data	Numbers, symbols, words, images, graphics that have yet to be organised or analysed.
Diversity	The state or quality of being different or varied. Refers to the inclusion of individuals of different race, gender, ages, cultural backgrounds, physical abilities, religion or beliefs, socioeconomic status and sexual orientation.
Education	Systematic instruction and learning activities to develop or bring about change in knowledge, attitudes, values or skills.
Effectiveness	The degree to which resources are brought together to achieve desired results most cost effectively, with minimal waste, re-work and effort.

Equity	The absence of avoidable, unfair or remediable differences in health among groups of people, whether those groups are defined socially, economically, demographically, geographically or by other means. Health equity is achieved when everyone can attain their full potential for health and well-being.
Ethics/Ethical	Acknowledged set of principles which guide professional and moral conduct.
Evaluation	A formal process to determine the extent to which the planned or desired outcomes of an intervention are achieved.
External Evaluation Organisation	A recognised body that evaluates through independent peer assessment the performance of organisations in relation to quality standards for organisational functions.
Goals	Broad statements that describe the outcomes an organisation is seeking and provide direction for day-to-day decisions and activities.
Governance	The function of determining the organisation's direction, setting objectives and developing policy to guide the organisation in achieving its mission, and monitoring the achievement of those objectives and the implementation of policy.
Grey literature	Material which is not issued through normal commercial publication channels. It can include government reports, committee reports, academic papers, theses, bibliographies, conference papers, abstracts, discussion papers, newsletters, PowerPoint presentations, conference proceedings, programme evaluation reports, standards/best practice documents, technical specifications and working papers. The majority of grey literature is "primary" literature (the original writings on a subject) and usually has not been peer reviewed.
Inclusive/Inclusivity	The fact or policy of not excluding individuals on the grounds of race, gender, disability, religion or belief, sexual orientation and age.
Indicator	Performance measurement tool that is used as a guide to monitor, evaluate, and improve the quality of services. Indicators relate to structures, processes, and outcomes and are rate based, i.e. have a numerator and denominator so that they can be compared and benchmarked.
Information	Data that is organised, interpreted and used. Information may be paper-based or electronic.
Information Management	The collection, management and distribution of information.
Management	Setting targets or goals for the future through planning and budgeting, establishing processes for achieving those targets and allocating resources to accomplish those plans. Ensuring that plans are achieved by organising, staffing, controlling and problem-solving.
Objective	A target that must be reached if the organisation is to achieve its goal.
Organisation	Comprises all sites/locations under the governance of, and accountable to, the governing body/owner(s).
Performance Evaluation	The continuous process by which a manager and a staff member review the staff member's performance, set performance goals, and evaluate progress towards these goals.

Policy	A written operational statement that formalises the approach to tasks that is consistent with the organisational objectives.
Procedure	A written set of instructions conveying the approved and recommended steps for a particular act or series of acts.
Process	A series of actions or steps taken in order to achieve a particular end.
Qualified	Having the credentials for, being professionally and legally prepared and authorised to perform specific acts.
Quality	The degree of excellence, or extent to which an organisation meets identified needs or objectives and exceeds expectations.
Quality improvement	On-going response to quality assessment data about a service in ways that improve the processes by which services are provided.
Quality improvement plan	A plan that outlines quality improvement initiatives including the proposed actions, timelines and responsible individual(s).
Records	Documents stating results achieved or providing evidence of activities performed.
Recruitment and selection	Processes used to attract, choose and appoint surveyors.
Rights	Something that can be claimed as justly, fairly, legally, or morally one's own. A formal description of what trainees can expect from the organisation.
Risk	The probability of danger, loss or injury.
Risk management	A systematic process of identifying, assessing and taking action to prevent or manage clinical, administrative, property and occupational health and safety risks in the organisation.
Staff	Employees of the organisation including temporary and permanent staff.
Stakeholder	A person, group or organisation that has interest or concern in an organisation. Stakeholders can affect or be affected by the organisation's actions, objectives and policies.
Standard	A desired and achievable level of performance against which actual performance is measured.
Survey	External peer review which measures the performance of the organisation against an agreed set of standards.
Surveyor	An external peer reviewer of organisational performance against agreed standards.
Surveyor Training Programme	A planned and coordinated group of activities and procedures for the training of surveyors. It includes both initial and on-going / update or refresher training for surveyors. It may be composed of a number of training sessions.
Training session	An individual or specific session with defined learning objectives.

Part A – The Guide

Section 1
About ISQua EEA

1.0   Introduction

Part A of this document is a guide for organisations and surveyors using the International Society for Quality in Health Care External Evaluation Association (ISQua EEA) Standards for Surveyor Training Programmes, 4th Edition. It describes the survey process; the different roles and responsibilities; how to complete the self-assessment tool; the rating scale; and how to achieve and maintain ISQua EEA accreditation.

1.1   The International Accreditation Programme (IAP)

The International Society for Quality in Health Care External Evaluation Association (ISQua EEA) provides third-party external evaluation services to health and social care external evaluation organisations and standards developing bodies around the world. ISQua EEA's primary programme is the International Accreditation Programme (IAP). The IAP delivers a unique global accreditation service to external evaluation organisations and standards developing bodies.

Since 1999, the IAP has provided these organisations with an independent third-party assessment process to validate existing systems and drive continuous quality improvement.

The IAP offers three separate peer review assessment options:

- **Accreditation of Health and Social Care Standards;**
- **Accreditation of External Evaluation Organisations; and**
- **Accreditation of Surveyor Training Programmes.**

The survey process includes:

- self-assessment;
- peer review evaluation;
- written report with recommendations;
- award; and
- continuous assessment.

The IAP is a voluntary process and is entered by application via the ISQua EEA website (www.ieea.ch).

Evaluation services are provided on a voluntary basis by international surveyors.

1.1.1 Code of Conduct

ISQua EEA personnel, including surveyors will:

- act ethically;
- be responsive to the needs and interests of clients;
- avoid conflicts of interest;
- act professionally;
- respect confidentiality;
- be competent to undertake the work they are assigned; and
- ensure complaints about any of ISQua EEA's personnel or services are investigated promptly and fairly and resolved wherever possible.

1.1.2 Aim of the ISQua EEA Standards for Surveyor Training Programmes

The ISQua EEA Standards for Surveyor Training Programmes have been developed for organisations who train surveyors in the context of external evaluation of health and social care services.

The selection and appointment of individuals to work as surveyors is outside the scope of these standards. This is addressed as part of Standard 6: Surveyor Management of the Guidelines and Standards for External Evaluation Organisations, 5th Edition. These Standards for Surveyor Training Programmes focus on the initial training provided to those selected to be trained as surveyors and the ongoing training provided to those appointed as and actively working as surveyors with an external evaluation organisation.

This edition has been streamlined with new criteria building on; programme management aspects such as the selection, training and evaluation of trainers, evaluation of the effectiveness of the training programme itself, and training delivery and content. A comparative table between the 3rd and 4th Editions is found on page 42.

1.2 Roles and responsibilities

1.2.1 Governance of the IAP

ISQua EEA is governed by a Board of Directors elected by and from its members. The External Evaluation Award Committee (EEAC) governs the IAP on behalf of the Board. The Board has delegated responsibility to the EEAC to approve accreditation awards. The EEAC makes the final award decisions.

1.2.2 Validation Reviewer

The Accreditation Council delegates its accreditation recommendation to a Validation Reviewer who will be either an experienced surveyor or a Council member with no conflict of interest. The Validation Reviewer is responsible for:

- reviewing the report to ensure it is clear and the comments will provide the organisation with the direction needed to continually improve in meeting the Standards;
- ensuring that the comments reflect that the appropriate rating has been applied;
- ensuring the report findings support any recommendations and/or opportunities for improvement;
- ensuring that the report supports the survey team's accreditation recommendation; and
- completing the Validation Review Form and submitting it to ISQua EEA.

The Validation Reviewer's recommendation goes to the ISQua EEA External Evaluation Award Committee, which makes the final decision regarding accreditation.

1.2.3 ISQua EEA accreditation staff

ISQua EEA staff work with each participating organisation and:

- train and allocate surveyors and Validation Reviewers;
- schedule the surveys and manage the critical path;
- complete technical reviews;
- perform quality assurance reviews of survey reports.

1.2.4 Participating organisations

All participating organisations should agree to abide by the terms and conditions of the IAP and adhere to the timescales as set in the critical path (see 2.1). As part of the application process they should nominate a contact for all correspondence with ISQua EEA. ISQua EEA should be updated with any changes to these details.

1.3 Surveyors

ISQua EEA has a consortium of experienced international professionals who work with health and social care external evaluation organisations in over 18 countries around the world. The ISQua EEA surveyors are recruited and trained to validate an organisation's self-assessment and assess their level of achievement against the ISQua EEA Principles and Standards.

1.3.1 Survey team composition

The survey team consists of two peer review surveyors, chosen by ISQua EEA, one of whom is appointed as the team leader. The role of the survey team is to validate the organisation's self-assessment and provide detailed feedback on whether compliance to each criterion is achieved.

The organisation is provided with the surveyors' biographies and has the opportunity to object to any surveyors who they consider to have a conflict of interest. The Accreditation Manager should be informed of reasons for the objection within 5 working days of the organisation receiving the biographies. ISQua EEA will review the reasons for the objection and make the final decision to remove or retain the surveyor on the team.

1.3.2 Survey team responsibilities

All team members are responsible for preparing for survey including:

- ensuring endorsement from their organisation for participating in the survey;
- reading pre-survey materials;
- leading on the Standards allocated;
- completing their section(s) of the report; and
- answering any queries that ISQua EEA may have.

1.3.3 Team leader responsibilities

The team leader is responsible for coordinating the survey; collating the findings; ensuring that there is a consensus of agreement on the ratings; and writing the executive summary. The team leader submits the report, rating matrix and award recommendation to ISQua EEA.

Section 2
Overview of the Process

2.1   Entry into the Programme

Organisations seeking to have their surveyor training programme accredited by ISQua EEA for the first time must undergo a stand-alone desktop survey with this set of surveyor training programme standards. Organisations who have previously received surveyor training programme accreditation may subsequently elect for the combined onsite organisational and surveyor training programme survey, for which they receive two separate awards.

Organisations that are not external evaluation organisations may apply to have their surveyor training programme accredited if they have a formal relationship with an external evaluation organisation. Evidence (for example, a memorandum of understanding or contract) must be submitted to support this relationship. Where possible, every effort should be made to ensure that the health and/or social care standards against which the surveyors assess are ISQua EEA accredited.

All organisations must complete an application form prior to entry into the programme. Once this has been received and payment made to ISQua EEA for access to the survey resources, ISQua EEA will assign a critical path which includes dates for the following:

- submission of the completed self-assessment and supporting evidence for technical review;

- submission of the final self-assessment and supporting evidence for survey;

- desktop surveyor training programme survey;

- review of the survey report by the organisation for factual errors;

- informal notification of assessment by Validation Reviewer;

- award decision ratification at the next External Evaluation Award Committee meeting.

For organisations undergoing re-accreditation, the next survey will be scheduled at least two months prior to the current expiry date to prevent any lapses in accreditation.

Section 3
Working with the Standards

3.0 Introduction

The ISQua EEA international accreditation process is a mechanism for organisations to assure themselves that their surveyor training programme meets international best practice requirements and to demonstrate this to their clients, funders and other stakeholders. Organisations can guide the development of their surveyor training programme through the implementation of the ISQua EEA Standards for Surveyor Training Programmes.

3.1 Framework of the Standards

The Standards have been developed to provide guidance regarding the training programme development and planning, management, delivery and assessment of competence. Quality improvement is embedded throughout the Standards:

Programme Development and Planning	The surveyor training programme is planned to meet the stated objectives.
Programme Management	Governance and management structures of the surveyor training programme support planned outcomes.
Trainee Management	Trainee surveyors receive information and support that meets their needs.
Training Programme Delivery	Surveyor training programme learning strategies are aligned with the learning outcomes, trainees' needs and the surveyor competency requirements.
Assessment of Competence	Trainees' performance and achievements are measured against the expected outcomes of the surveyor training programme.

A comparative table of the extent to which criteria in the 3rd edition Standards have been incorporated into the 4th edition is included in this document (page 42).

3.2 Structure of a Standard

1 **The surveyor training programme is planned to meet the stated objectives.**

2

Criterion 1.3

Planning includes risk analysis to identify, prevent and manage risks specific to the surveyor training programme (including but not limited to):
a) delivery
b) assessment
c) contracted services
d) intellectual property

3 **Guidance**

Risks could relate to:

i.   inconsistent delivery

ii. insufficient resources

iii. teaching and learning strategies not being related to programme outcomes

iv. any contracted/outsourced training failing to meet needs

v. fraud, security and copyright breaches

vi. failure of technology, of eLearning and/or digital resources

It is recognised that risks may be identified and managed in line with the organisation's overall risk management policy/procedure.

The risks may be documented as part of the surveyor training programme plan, or they may be documented in the organisation-wide risk management plan.

4 **Suggested Evidence**

▸ Risk management policy/procedure

▸ Surveyor training programme plan

▸ Risk management plan for surveyor training programme outlining the results of the risk assessment of the surveyor training programme and the actions to manage/mitigate each identified risk

1 **Overall standard statement** – this describes the high-level outcome for the Standard.

2 **Criterion** – this is mandatory, and organisations are required to self-assess against the criterion. If there are multiple elements within each criterion (e.g. a) to d)), these have equal weighting. Therefore, organisations are required to consider each of these when formulating their written response and the overall rating for the criterion and to outline how they are meeting each of the elements.

Surveyors will assess and report on whether each element has been met.

3 **Guidance** – this explains and expands on the concepts contained within the criterion. It provides guidance for organisations on factors to be considered when formulating their written response and overall rating for the criterion. The guidance is provided for explanatory purposes only and is not mandatory. They may demonstrate their compliance with the criterion in ways other than those outlined.

4 **Suggested evidence** – these are illustrative examples of the type of evidence which organisations can provide to demonstrate their compliance with the criterion. Organisations may demonstrate their compliance with the criterion in various ways and may provide alternative or additional evidence other than that listed.

3.3　Completing the self-assessment tool

The first task is to complete an initial self-assessment of the surveyor training programme to be surveyed using the self-assessment tool (SAT). It is recommended that a small team is tasked with working through the self-assessment process. They will be responsible for collating all the evidence, checking details and identifying any areas for particular attention.

If the team has any problems with interpreting the Standards or deciding what, or how much evidence should be provided, ISQua EEA accreditation staff are available to provide advice. They can also assist with any questions that organisations may have about the survey process. At the end of this exercise, a gap analysis should be completed with identified actions where further work is required.

When completing the self-assessment tool, organisations are required to self-assess each criterion, including both a numerical rating and written response. If there are multiple elements within a criterion, care should be taken to ensure that these are all assessed. Many of the criteria have additional guidance to assist organisations when completing the self-assessment. This guidance is not mandatory. Suggested evidence has also been provided. Please note that this is suggested evidence only and organisations may decide to present other evidence that demonstrates their compliance. Evidence should be provided for each criterion and must be in English. If any actions are required to achieve better compliance, these should be clearly documented.

The overall rating for each Standard is calculated by adding the ratings and then dividing by the number of criteria. This overall rating should be rounded up or down. An overarching statement regarding the level of compliance should be added for each Standard when each overall rating score has been calculated.

The SAT, including the text, is copyrighted and the property of ISQua EEA. It is designed for self-assessment and external surveyor reporting. The SAT must be completed in English, in Arial 10 font, should be focused and not excessive. Automatic numbering, bullet point systems or any type of additional formatting of the document should be avoided. This also applies to information that has been copied and imported from any other documents. Extra formatted headings, borders, graphics and colour elements should be avoided.

3.4 Rating scale

When applying a rating, use the following rationale and guidance to determine the level of compliance. If necessary, add details of the improvements that are required to achieve a higher rating.

Rating	Rationale	Guidance
4	Full achievement All elements addressed and no gaps in compliance (100%) No recommendation (but can have an opportunity for improvement)	If the organisation has exceeded the requirements this should be noted in the surveyor finding.
3	Good achievement Majority of the criterion elements addressed (more than 60%) Recommendation or opportunity for improvement required	The rationale for the recommendation or opportunity for improvement should be included in the surveyor finding.
2	Fair achievement Some of the criterion elements addressed (between 30 - 60%) Recommendation required Risk assessment required	The rationale for the recommendation and the risk assessment should be included in the surveyor finding.
1	Poor achievement Few or none of the criterion elements addressed (under 30%) Recommendation required Risk assessment required	The rationale for the recommendation and the risk assessment should be included in the surveyor finding.

If there are multiple elements within each criterion, please consider these to have equal weighting. For some criteria with only one measurable element, it may only be possible to have full or poor achievement (i.e. there is no option for partial achievement).

Recommendations must be provided when one or more elements of the criterion have not been met i.e. where there is a gap in compliance. Recommendations are mandatory and must be addressed by the organisation. They are to submit progress reports 12 and 30 months post award demonstrating how the recommendations have or will be addressed. Recommendations should only relate to elements of the criterion which have not been met (i.e. gaps in compliance).

Opportunities for Improvement (OFIs) identifying areas that organisations could consider improving or strengthening can also be provided. They can be provided with any rating and are not considered mandatory.
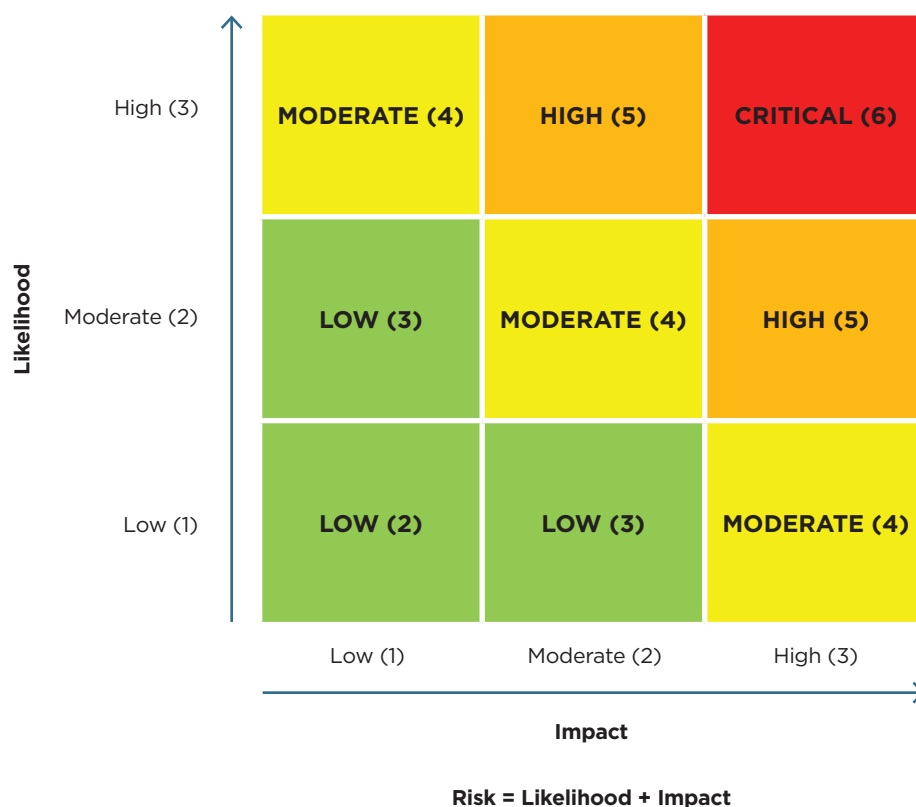
3.5 Risk assessment

When a rating of 1 or 2 is given to any criterion during self-assessment, or by the survey team, a risk assessment must be carried out.

With a rating of 1 or 2, there is a potential risk for the organisation as some or many of the specific criterion elements are not in place. A risk assessment involves describing what the risk is in relation to the missing elements of the criterion and then quantifying this risk by assigning a numerical score using the following risk matrix.

The risk matrix allows one to determine how likely it is that the identified risk will actually happen or materialise (the likelihood) and the impact on the organisation if the risk does materialise or happen (the impact).

The numerical risk assessment score (the overall score) is calculated by adding the score for the likelihood of the risk occurring with the score for the impact of the risk if it did occur. Or more simply, Risk = Likelihood + Impact.

In completing the risk assessment, the risk associated with the criterion should be explicitly stated and a recommendation outlining how the risk will be addressed must be provided.

	Low (1)	Moderate (2)	High (3)
High (3)	MODERATE (4)	HIGH (5)	CRITICAL (6)
Moderate (2)	LOW (3)	MODERATE (4)	HIGH (5)
Low (1)	LOW (2)	LOW (3)	MODERATE (4)

Likelihood (vertical axis) / Impact (horizontal axis)

Risk = Likelihood + Impact

3.6 Not applicable criteria

From time-to-time, certain criteria may not be applicable. Any criterion, which is considered not applicable, should be discussed with ISQua EEA accreditation staff in advance of the technical review. Any elements of any criterion that are not applicable should be noted in the self-assessment. If agreed, the self-assessment should clearly state the date of the agreement with ISQua EEA and the reason the specific criterion, or elements of it, are not applicable. For example, a criterion may not apply due to national, legal, environmental or cultural factors. If the survey team determine that the criterion should be applicable, this will be noted in the report, and a rating will be provided.

3.7 Technical Review

The self-assessment tool must be fully completed in English and all supporting evidence translated into English and submitted to ISQua EEA for technical review eight weeks in advance of the survey start date. The date for the technical review submission is included in the critical path. An ISQua EEA Accreditation Manager then reviews the draft self-assessment tool and supporting evidence to ensure that the self-assessment has been completed in accordance with ISQua EEA requirements and that relevant evidence has been provided for each criterion. A report is sent to the organisation commenting on any areas which may need to be addressed; no comments are made on compliance. The organisation then has time to make any necessary changes to the self-assessment tool prior to submission to the survey team. This process ensures that the self-assessment tool is suitable for assessment and helps streamline the survey. The technical review report is also made available to the survey team.

3.8 Submitting the final self-assessment tool and required documentation

The completed self-assessment tool and any remaining supporting evidence must be submitted in English to ISQua EEA four weeks in advance of the survey start date.

Section 4
Post Survey - Award and Maintenance of Accreditation

4.1 Achievement of Accreditation

The accreditation process is developmental and helps organisations to assess their current surveyor training programme and identify where improvements are needed.

For a surveyor training programme to achieve ISQua EEA accreditation, an overall compliance rate of 70% must be achieved. Each individual Standard must also achieve a 70% compliance rate and the following rules must be met:

- there should be no more than two criteria within each Standard rated as a 2 or lower, and the risk associated with these criteria must be low or moderate;

- there should be no high or critical risk ratings for any criteria; and

- recommendations from previous accreditation cycles (if applicable) must have been considered and/or implemented.

Award with consideration: If **one Standard** does not meet the above rules, but the surveyors' recommendations can be achieved within 3 or 6 months, accreditation can be recommended, with the completion of an Action Plan within 3 or 6 months of award outlining how and when the specific report recommendations will be addressed, or have been addressed (the survey team will specify the timeframe i.e. 3 or 6 months). Failure to address the recommendations may result in an award being revoked.

Deferred award: If **two Standards** do not meet the above rules, depending on the scenario, a recommendation on the individual report can be made to defer an award for 3 or 6 months, subject to the submission of an action plan from the organisation.

4.2 Decision process

Following the survey, the survey team submits the draft report and the ratings matrix with award recommendation to ISQua EEA. To ensure fairness and consistency of the process, the following steps occur:

- ISQua EEA staff perform a quality assurance review of the survey report;

- the survey team reviews any queries from ISQua EEA and submits their final report and award recommendation to ISQua EEA;

- the organisation undertakes a factual review of the report to ensure that the surveyors have not misinterpreted evidence or missed information. Any comments raised from the factual accuracy review are discussed with the survey team and the report finalised as appropriate;

- the final report is sent to a Validation Reviewer with the survey team award recommendation; and

- the final report, including any changes suggested by the Validation Reviewer and agreed by the survey team, and the completed Validation Review Form are sent to the ISQua EEA External Evaluation Award Committee (EEAC) which makes the final award decision.

4.3 The award

In making their decision the EEAC considers the achievement of accreditation guidelines and the recommendations of the survey team and the Validation Reviewer. They also consider the organisation's overall performance across all standards and the number of recommendations recorded as part of the survey.

It is the right of the EEAC to confer a different award than that recommended by the survey

team and the Validation Reviewer if they consider it appropriate in light of the overall performance and number of recommendations recorded for the organisation.

Following the EEAC meeting, ISQua EEA will advise of the accreditation award decision. If a surveyor training programme is successfully accredited, it will be accredited for four years with effect from the date of the ISQua EEA EEAC meeting at which the decision was made. The award will be issued once confirmation is received from the ISQua EEA Finance Department that all accreditation-related fees have been paid.

Following approval, ISQua EEA will send a final report, issue a Certificate of Accreditation and provide the ISQua EEA Accreditation logo and the policy that sets out the conditions of its use.

ISQua EEA will also publish details of the award on its website.

4.4 Post-survey evaluation

ISQua EEA is committed to improving its services and each organisation and survey team are asked to complete an online questionnaire on their experience of the survey. The summation of the evaluation results is published in an annual report which is distributed to stakeholders.

4.5 Maintaining the award

Continuing accreditation status will be subject to the completion of a Progress Report within 12 months of award outlining how and when the report recommendations will be addressed or have already been addressed. A second Progress Report showing these changes is required 30 months post award.

In order to maintain ISQua EEA accreditation, an organisation must report any significant changes to their surveyor training programme. If there are any concerns about lack of progress, the ISQua EEA External Evaluation Award Committee (EEAC) will be informed and may request an independent review. The independent review will be undertaken by an ISQua EEA senior surveyor who will review the progress report and evidence provided and will make a recommendation to the EEAC regarding the appropriateness of the action undertaken and any further action required by

the organisation. An ISQua EEA accreditation award can be removed by the EEAC, depending on the result of this review.

4.6 Appeal

If there is dissatisfaction with the accreditation decision, the organisation has the right to appeal within 28 days of receiving their final accreditation decision, clearly outlining the grounds on which they disagree with the decision. The appeal will be independent of any other process.

Grounds for appeal are that:

- relevant and significant evidence was not properly considered, or was incorrectly interpreted;
- inappropriate weighting was given to the evidence; or
- the original decision-making process was inconsistent with the published criteria for accreditation.

The appeal will be considered within one month of the written request being received by the ISQua EEA Chief Executive Officer. The appeal panel will consist of three members:

- A member of the Board who will chair the appeal panel;
- Two independent experts, not involved in the survey.
- The CEO and Chair of the appeal panel shall decide on a fourth member of the panel, if required.

The appeal panel's decision is reviewed and communicated to the Board.

If the appeal results in a recommended change in accreditation status, the decision must be endorsed by the ISQua EEA External Evaluation Award Committee (EEAC).

Part B – The Standards

Standard 1
Programme Development and Planning

The surveyor training programme is planned to meet the stated objectives.

Criterion 1.1

There is a process for setting objectives for the surveyor training programme and the objectives are defined and documented.

Guidance

The process for the development of objectives for the surveyor training programme may be described in a policy, procedure or process document.

The objectives may be set out in a formal document or may have been agreed at a management meeting.

The objectives may refer to the number of surveyors to be trained for each programme offered by the organisation, the timeframe for the training and the number of training events to be held.

Suggested Evidence

▸ Policy or procedure for developing objectives for the surveyor training programme

▸ Objectives for the surveyor training programme

▸ Minutes of meetings where the objectives are discussed or agreed

Criterion 1.2

There is a plan for the delivery of the surveyor training programme, based on the defined objectives which includes:

a) the type of training

b) defined activities

c) resources

d) timeframes

Guidance

The training delivered can include:

i.   initial training

ii. ongoing/update training

iii. specialist training

Specialist training may be provided for particular roles for example, team leader, or for specific technical standards.

Activities can refer to the number of and type of training events held for:

i.   initial training

ii. ongoing/update training

iii. specialist training

Resources can refer to human, financial, physical, learning and technological resources required to deliver the training programme.

Timeframes can refer to the duration of training sessions for example, 1 day or 5 days and the weeks/months in which each type of training is scheduled throughout the year.

Suggested Evidence

▸ Surveyor training programme plan

Criterion 1.3

Planning includes risk analysis to identify, prevent and manage risks specific to the surveyor training programme (including but not limited to):

a) delivery

b) assessment

c) contracted services

d) intellectual property

Guidance

Risks could relate to:

i.   inconsistent delivery

ii. insufficient resources

iii. teaching and learning strategies not being related to programme outcomes

iv. any contracted/outsourced training failing to meet needs

v.   fraud, security and copyright breaches

vi. failure of technology, of eLearning and/or digital resources

It is recognised that risks may be identified and managed in line with the organisation's overall risk management policy/procedure.

The risks may be documented as part of the surveyor training programme plan, or they may be documented in the organisation-wide risk management plan.

Suggested Evidence

▸ Risk management policy/procedure

▸ Surveyor training programme plan

▸ Risk management plan for surveyor training programme outlining the results of the risk assessment of the surveyor training programme and the actions to manage/mitigate each identified risk

Criterion 1.4

The surveyor training programme meets legal and ethical requirements including but not limited to intellectual property rights, copyright and reproduction limitations, acknowledgement of sources and conflict of interest.

Guidance

Additional legal and ethical requirements for the surveyor training programme may include:

i.   confidentiality agreements

ii. code of conduct

iii. reporting of training / assessment data to government, regulatory, professional or industry bodies

A review of the surveyor training programme may be undertaken prior to delivery to ensure that it meets all legal and ethical requirements.

The review may be undertaken by a specific committee, internal team such as the organisation's legal team or another external stakeholder. The individual/committee/organisation may provide confirmation that all appropriate legal and ethical requirements have been considered and addressed.

This confirmation/approval may be shared with and discussed with the relevant team/ committee/individual prior to delivery of the surveyor training programme.

Suggested Evidence

▸ Policy or procedure outlining how the training programme is reviewed in terms of legal and ethical requirements

▸ Examples of teaching materials reflecting how the organisation acknowledges sources

▸ Confidentiality policy

▸ Minutes of meetings

Criterion 1.5

Surveyor competencies are:

a) defined and documented

b) made available to trainees

c) used as a basis for the design of the surveyor training programme

Guidance

Competency refers to the knowledge, skills, abilities, behaviours, experience and expertise which individuals are expected to possess in order to work as a surveyor on an external evaluation programme.

Knowledge may refer to knowledge of the standards and survey methodology for the particular external evaluation programme (for example, acute care, laboratory).

Skills and abilities may refer to organisational skills, time management, analytical and problem-solving skills and the ability to work and communicate with key stakeholders.

Behaviours may refer to how the surveyor interacts with other members of the survey team and staff in the organisation being assessed. The expected behaviours may be outlined in a code of conduct.

Experience and expertise may refer to both technical and professional understanding of the service being assessed.

Suggested Evidence

- Defined and documented surveyor competencies
- Examples of training session agendas and other training documents demonstrating how the training programme is based on the defined surveyor competencies
- Code of conduct for surveyors

Criterion 1.6

It is determined whether the surveyor training programme qualifies for continuing professional development (CPD) points.

Guidance

Continuing professional development (CPD) points could be provided by professional representative organisations, for example, medical societies, medical council for medical bodies, nursing societies or council for nurses and midwives. A documented agreement or contract may be in place to cover the management of the process between the organisations.

This criterion may be rated non-applicable if a sufficient rationale and evidence is provided.

Suggested Evidence

- Examples of correspondence with relevant professional bodies
- Examples of contracts/agreements in place

Standard 2
Programme Management

Governance and management structures of the surveyor training programme support planned outcomes.

Criterion 2.1

Roles, responsibilities and authorities for the provision of the surveyor training programme are defined and documented.

Guidance

The provision of the surveyor training programme includes but is not limited to the design and delivery of the programme.

Job descriptions may outline the specific responsibilities and level of authority of individuals involved in the design and delivery of the surveyor training programme.

An organisation chart may identify the individuals/teams/committees within the organisation who have responsibility for the design and delivery of the surveyor training programme.

Documentation could identify who (individual member of staff such as a Manager or Head of Surveyor Training or a committee such as a Surveyor Training Committee) has the authority to:

i.   approve each surveyor training programme prior to delivery.

ii. make decisions regarding a trainee's progression at each stage of the surveyor training programme.

Documentation could include a specific policy such as a delegation of authority policy outlining which team(s)/committee(s) or individual members of staff have responsibility for specific tasks/activities of the surveyor training programme, job descriptions or terms of reference for a committee(s). It is recognised that individual training sessions may be delivered by external providers.

Suggested Evidence

‣ Job descriptions

‣ Organisation chart

‣ Delegation of authority policy

‣ Terms of reference for Committee(s)

‣ Service level agreement(s) with any relevant external providers

Criterion 2.2

Staff with relevant skills, knowledge and experience manage all aspects of the surveyor training programme including:

a) course design

b) assessment of competence

c) administration

Guidance

The team could include staff who have experience in designing adult learning programmes or who hold a recognised qualification(s) in adult learning.

Suggested Evidence

▸ Job descriptions

▸ Organisation chart

Criterion 2.3

Individuals delivering the surveyor training, either directly employed or contracted, are selected to provide a balance of skills and experience to fulfil the learning objectives of the programme.

Guidance

Individuals may have experience in delivering adult learning or hold a recognised qualification(s) in this area. They may also include subject matter and technical experts such as senior experienced surveyors or those with expertise in relevant areas such as standards development, communication skills, legal requirements and ethical considerations.

Individuals may be directly employed or contracted to provide the training or elements of the training.

The competencies, qualifications, skills and experience of those delivering the training programme could be outlined in job descriptions or a person specification. For example, the organisation may require an individual with a legal background and experience of the healthcare sector in a specific country to deliver the training sessions relating to legal and ethical requirements. The requirements for the individual to deliver this training session may be outlined in a person specification which the organisation may then use to select and appoint the individual(s) to deliver this training session.

Suggested Evidence

▸ Examples of training programme agendas and details of individuals delivering individual sessions

▸ Job descriptions

▸ Person specification for those being contracted to deliver the surveyor training

▸ Examples of contracts with individuals who are contracted to deliver surveyor training

Criterion 2.4

Individuals delivering the training programme:

a) have their performance evaluated on a regular basis

b) are provided with the relevant training and support

Guidance

The performance of the individuals delivering the training could be evaluated in a variety of ways. For example, trainees may evaluate their performance as part of the evaluation of each training session or the organisation may have a peer evaluation model whereby other members of staff from the training team/department attend, observe and evaluate one another's performance on training sessions or the organisation may have a Manager undertake a more formal evaluation of each training session delivered if an individual is contracted to deliver training.

Training and support could include providing staff with training and development opportunities such as access to formal education courses, or attendance at education conferences.

This could also include a train-the-trainer programme for surveyors or other internal staff.

Suggested Evidence

▸ Feedback from trainees

▸ Individual staff development plans

▸ Train the trainer agendas and/or materials

▸ Training manuals

▸ Attendance records

Criterion 2.5

Policies and procedures to guide the management and delivery of the surveyor training programme are developed, implemented, and reviewed at defined intervals in consultation with stakeholders.

Guidance

Policies and procedures may address the key stages in the design and delivery of the surveyor training programme. Such stages could include design of the surveyor training programme including the content of individual training sessions, delivery of the programme including the appointment or allocation of staff to deliver and support the delivery of the programme, assessment of competence or performance of trainees / learners, and monitoring the progress of trainees / learners in completing the training programme among other aspects.

Stakeholders may include staff, trainees, surveyors, client organisations, professional bodies, and other individuals or groups with an interest in the surveyor training programme.

It is recognised that the stakeholders involved in the review of policies and procedures will vary depending on the policy or procedure and their level of involvement in it.

For example, both staff and trainees / learners may provide feedback on the assessment of competence policy or appeals policy but may provide feedback or input from their perspective of involvement.

It is recognised that the process of and frequency of review of policies and procedures will differ from one organisation to the next and these may be set out in the organisation's information management policy/procedure or their document control policy/procedure.

Suggested Evidence

▸ Information management policy/procedure

▸ Document control policy/procedure

▸ Examples of policies and procedures updated in line with organisational policy

▸ Minutes of meetings where changes to policies/procedures were discussed and/or agreed

Criterion 2.6

The design and delivery of the training programme provides trainees with equal opportunities to participate and takes into consideration any special needs and acts accordingly.

Guidance

This may include identifying needs such as physical, sensory and language needs of trainees and facilitating their participation in the surveyor training programme based on those needs.

It is recognised that this may be based on regional and/or national legislation.

Suggested Evidence

▸ Policies and procedures relating to the design and delivery of the programme, for example, a participation or equal opportunity policy (if applicable)

▸ Examples of training materials, for example, handbooks/guides, videos, activity sheets, apps etc.

▸ Venue requirements

Criterion 2.7

Learning, physical, and technological resources are evaluated as part of the evaluation of the training programme to ensure they meet the needs of the trainers and trainees.

Guidance

Learning resources refer to the tools used by trainers to facilitate learning. Learning resources may include texts such as guides or handbooks, workbooks, worksheets, videos, software including apps, and other materials.

Physical resources refer to a physical space or venue in which to provide training if training is being provided on a face-to-face basis as well as the IT equipment and hardware to facilitate either face-to-face or virtual/online training.

Technological resources refer to electronic tools, systems, devices and resources used to facilitate learning.

It is recognised that the frequency of evaluation may vary with some organisations evaluating the resources after each training session while others may evaluate these quarterly or annually.

Suggested Evidence

▸ Examples of evaluation questionnaires / forms seeking feedback on learning, physical and technological resources

▸ Examples of feedback received in relation to learning, physical and technological resources

▸ Examples of improvements made relating to learning, physical and technological resources because of feedback received

Criterion 2.8

The effectiveness of the surveyor training programme is evaluated, and results are used to make improvements to the training and development of surveyors.

Guidance

The external evaluation organisation may evaluate the effectiveness of the surveyor training programme by reviewing the outcomes of the surveyor training programme such as the overall number of surveyors who successfully complete or pass the overall surveyor training programme and each individual training session.

They may also review the results or outcomes of specific assessment tasks for training sessions such as results of multiple-choice questionnaires, report writing exercises or performance of trainees on role-play exercises as well as reviewing feedback from trainees and trainers for each training session to help them understand if the training is providing trainees with the required knowledge, skills, abilities, behaviours and expertise to be able to work as a surveyor for the external evaluation organisation.

External evaluation organisations may use this information to make changes to individual training sessions or to the overall design and delivery of the surveyor training programme.

Suggested Evidence

▸ Examples of measures or data used to evaluate the effectiveness of the training of surveyors

▸ Examples of how evaluation data has been used to make improvements to the surveyor training programme

Standard 3
Trainee Management

Trainee surveyors receive information and support that meet their needs.

Criterion 3.1

Information is provided to trainees in relation to:

a) participation requirements for the surveyor training programme including modes of delivery, IT requirements and any costs (direct and indirect)

b) trainees' rights and responsibilities

c) rights and responsibilities of the training organisation

d) assessment arrangements

e) programme outcomes

f) continuing professional development (CPD) points (if applicable)

Guidance

Participation requirements could relate to the programme duration, required preparation time, out-of-session work, and attendance requirements.

Modes of delivery could relate to how the programme is delivered for example, face-to-face or virtually or a combination. If training is delivered in-person, it could also relate to the physical location (s) where training sessions will be delivered.

IT requirements could relate to software which participants may be expected to download to access programme materials or whether they will be required to have a camera enabled on their laptop or computer.

Trainees' rights and responsibilities could be documented in the:

i.   code of conduct

ii. complaints policy

iii. appeals policy

The rights and responsibilities of the training organisation could also be set out in a code of conduct and in policies/procedures such as complaints or appeals policies/procedures.

They may also be outlined in information such as a handbook/brochure provided to trainees in advance of undertaking the surveyor training programme or may be made publicly available on the organisation's website.

Assessment arrangements refers to how the trainees' competence will be assessed for each training session undertaken and how their overall performance will be assessed. For example, it would be expected that trainees would be provided with information on how their performance/competence would be assessed for a training session on communication involving a role play exercise versus a training session relating to the content of the standards underpinning the external evaluation programme.

Programme outcomes could relate to the competencies that surveyors are expected to have on successful completion of the programme. See also criterion 1.5.

Suggested Evidence

▸ Examples of information provided to trainees

Criterion 3.2

Trainees are informed and give consent for the following information to be maintained in an individual record once they are accepted for training as a surveyor:

a) personal data including name, address, email address, date of birth, educational qualifications, and details of next of kin and employer

b) recognition of prior learning

c) participation/attendance

d) completion of assessment activities

e) assessment results

f) overall outcome

Guidance

Recognition of prior learning refers to the consideration of an individual's existing qualifications, skills, knowledge, and experience.

Overall outcome refers to the trainees' overall level of achievement in the training programme.

Learning awards/certificates may be issued to those trainees who successfully meet the surveyor training programme requirements.

Suggested Evidence

▸ Policies and/or procedures

▸ Trainee records

▸ Examples of communication/information provided to trainees regarding the creation of an individual record for them once accepted for training as a surveyor

▸ Records of consent obtained from trainees

Criterion 3.3

Trainee records are managed in line with the organisation's information management policy to ensure they are:

a) confidential and secure

b) accessible to the individual trainee

c) retained and/or destroyed in accordance with any relevant legislation

Guidance

The management of information includes the generation, collection and use of data. The information management policy may describe how and why information is generated, collected and used in the organisation including for surveyor training purposes. It may specify the national and/or regional legislation which guides the generation, collection and use of data. The national and/or regional legislation may specify requirements that organisations are expected to adhere to in terms of obtaining consent for the collection, storage and use of personal data, the security and confidentiality of data and how long trainee records may be kept for.

Suggested Evidence

▸ Information management policy

▸ Trainee records

Criterion 3.4

A complaints process is available which:

a) is communicated to trainees

b) ensures complaints about the surveyor training programme are acknowledged in writing and managed within specific timeframes

c) is in line with the organisation's overall policy and procedures on receiving, investigating and resolving complaints

Guidance

Trainees may be provided with a copy of the complaints process or advised where to find it (for example, on website or intranet) prior to or on commencement of the surveyor training programme.

Organisations may provide examples of complaints received in relation to the surveyor training programme and how these were responded to, to demonstrate the practical application of the complaints process.

Suggested Evidence

▸ Complaint policy/process

▸ Evidence of how trainees are informed about the complaints process

▸ Examples of any complaints received in relation to the surveyor training programme and how these were responded to

Standard 4
Training Programme Delivery

Surveyor training programme learning strategies are aligned with the learning outcomes, trainees' needs and the surveyor competency requirements.

Criterion 4.1

All trainees undergo an initial training programme which includes:

a) planning and preparation for a survey

b) conducting a survey

c) report writing

d) post-survey activities

Guidance

Training on the planning and preparation for a survey could include the roles and responsibilities of each member of the survey team, documentation review, and logistical arrangements.

Training on the conducting of a survey could include the process for validating compliance, the survey methodology, interview techniques and the use of any survey tools.

Training on post-survey activities could include quality assurance activities and any follow up activities with client organisations which may be required.

Suggested Evidence

▶ Training plan/agenda

▶ Examples of training material

Criterion 4.2

All trainees undergo an initial training programme which includes:

a) standards interpretation

b) legal requirements (if applicable)

Guidance

Training could include case study scenarios to assist in interpreting standards consistently.

Suggested Evidence

▶ Training plan/agenda

▶ Examples of training material

Criterion 4.3

All trainees undergo an initial training programme which includes:

a) interpersonal skills

b) professional practice

Guidance

Training on interpersonal skills could include communication and negotiation skills, teamwork, and conflict resolution.

Training on professional practice could include code of conduct, confidentiality, conflicts of interest and the reporting of ethical concerns.

Suggested Evidence

▸ Training plan/agenda

▸ Examples of training material

Criterion 4.4

The initial and ongoing surveyor training includes training on:

a) diversity and equity in the local setting

b) how these concepts are addressed in the standards which underpin the external evaluation programme(s) they are being trained for

c) how to assess these concepts for the specific external evaluation programme(s) they are being trained for

Guidance

Please see glossary for relevant definitions such as diversity and equity.

It is recognised that the concepts of diversity and equity may be addressed in the standards underpinning the external evaluation programme and that the extent to which they are addressed may depend on the scope of the standards.

If these concepts are not explicitly addressed in the standards element b) may be rated as not-applicable. General training on the concepts and what they mean in the local setting for the external evaluation programme (for example, an external evaluation programme assessing acute care hospital services, or primary care services or dental services) and how to assess these concepts for the respective external evaluation programme(s) may be provided. The organisation may provide examples of how this is undertaken as part of the initial training provided to trainees and the ongoing training provided to surveyors.

Suggested Evidence

▸ Training plan/agenda

▸ Examples of training material for initial surveyor training programme for trainees and for ongoing training sessions for surveyors

Criterion 4.5

All trainees undergo an initial training programme which includes a practical onsite element.

Guidance

It is recognised that there may be phases to the practical/onsite training. For example, trainees may first observe a survey and then participate in a survey under supervision.

Suggested Evidence

▸ Training plan/agenda
▸ Examples of materials used for practical onsite training

Criterion 4.6

Update training sessions are held for surveyors which:

a) are based on identified training needs and

b) include updates on relevant national and / or regional legislation and guidance that impacts on the survey process.

Guidance

Training needs may be identified in several ways including survey evaluations by surveyors or client organisations.

Update sessions could address the interpretation of standards, the survey methodology, new or revised standards or sharing the learning from difficult scenarios which may have arisen during surveys. It could include specific training for those taking on team leader roles or commencing work on a new evaluation programme.

Suggested Evidence

▸ Information/report on identified training needs
▸ Schedule for ongoing training
▸ Examples of agendas and/or training materials

Criterion 4.7

Each training session within the programme is designed, in accordance with the surveyor competencies and has defined:

a) learning objectives

b) expected outcomes

Guidance

A training session refers to an individual session with defined learning objectives.

A training programme is the overarching programme and may comprise of a series of individual training sessions. A training programme may take place over one day or several days.

See guidance for criterion 1.5 for more information on surveyor competencies.

The learning objectives specify the knowledge, skills, competencies, and attitudes trainees are expected to acquire or develop while undertaking an individual training session or overall training programme.

The expected outcomes relate to what the trainee is expected to know after completing a specific training session or the overall training programme.

For example, the learning objectives for a training session on the standards underpinning the external evaluation programme could be as follows:

On completion of the training session trainees will understand:

i.   the structure of the standards,

ii. the language of the standards,

iii. the concepts addressed in the standards,

iv. the significance of core or mandatory criteria, and

v. the type of evidence that services may provide to demonstrate their compliance with individual criteria.

The outcome for the training session on the standards underpinning the external evaluation programme could be that trainees are knowledgeable of the standards and are able to interpret them appropriately.

Suggested Evidence

▸ Examples of learning objectives or lesson plans for individual training sessions and the overall initial and ongoing surveyor training programme

▸ Examples of learning outcomes for individual training sessions and the overall initial and ongoing surveyor training programme

Criterion 4.8

The learning methodology for initial and ongoing surveyor training is based on the principles of adult learning theory and caters for a range of learning styles by using different methods, including (but not limited to):

a) case studies

b) role play

c) problem-based learning

d) self-reflection

Guidance

Adult learning principles could include:

i.   self-directed/autonomous learning

ii. using knowledge and life experiences

iii. goal-oriented learning

iv. relevancy-oriented learning: relating assigned tasks to identified learning goals or outcomes

v.   highlighting practicality: helping participant to apply the theoretical concepts learned to real-life situations

vi. encouraging collaboration

It is recognised that some organisations may incorporate all methods into their initial and ongoing surveyor training whereas others may consider some methods such as self-reflection more appropriate for ongoing surveyor training when individuals have experience of working as surveyors in the field.

Organisations may specify the different approaches/methods which are used for initial and ongoing surveyor training.

Suggested Evidence

▸ Training plan/agenda

▸ Examples of teaching materials for initial and ongoing training

Criterion 4.9

Feedback on each training session within the programme is:

a) collected from trainees and trainers

b) analysed

c) used to identify and plan improvements to the overall surveyor training programme

Guidance

This relates to feedback for each training session within the initial and ongoing surveyor training programme.

It is recognised that the feedback data may indicate that the training sessions are appropriate, and no specific changes/improvements are required. Organisations may provide information such as feedback reports and minutes of meetings demonstrating that the feedback has been discussed and it has been agreed that no changes need to be made to specific training sessions.

Suggested Evidence

▸ Feedback forms

▸ Collated feedback data for each training session

▸ Feedback report outlining feedback received and any identified trends

▸ Minutes of meetings where feedback was discussed and changes/improvements to sessions or the programme agreed (if applicable)

▸ Examples of improvements to the surveyor training programme

Standard 5
Assessment of Competence

Trainees' performance and achievements are measured against the expected outcomes of the surveyor training programme.

Criterion 5.1

Each of the training sessions which has an assessed element is detailed in an assessment plan which includes:

a) defined assessment tasks

b) criteria for scoring and grading

c) resources for assessment

Guidance

Assessment tasks allow trainees to demonstrate that they have achieved the required standard for a training session. The collated assessment task results can be used to ascertain if a trainee has met the required overall standard to work as a surveyor with an external evaluation organisation.

It is recognised that a variety of assessment tasks may be used depending on the learning objectives and outcomes of each individual training session.

Assessment tasks may be undertaken as part of a session (for example, role play), or trainees may be required to complete an assessment task after completion of a training session (for example, a report writing or evidence evaluation exercise) and to return their completed work to the trainer within a defined timeframe.

An assessment plan may outline which training sessions on the initial or ongoing surveyor training programme have an assessed component and the specific assessment tasks that will be used to assess performance and how these tasks will be scored.

For example, the outcome of a training session on the standards underpinning the external evaluation programme could be that trainees are knowledgeable of the standards and are able to interpret them appropriately. In this situation, trainees may be required to undertake a multiple-choice questionnaire to ascertain their knowledge of the standards and the interpretation of them in specific situations.

Trainees may be advised of the pass rate for the multiple-choice questionnaire in advance.

Assessment tasks may be online and/or face-to-face. For example, trainees may complete an online multiple-choice questionnaire, or they may complete a paper-based questionnaire which can then be marked or scored electronically using specific software.

The resources for assessment could include staff and any physical and/or technological requirements.

Suggested Evidence

▸ Assessment plan detailing the assessment tasks for each training session

▸ Examples of assessment tasks for training sessions with assessed elements

▸ Criteria for scoring and grading performance on each assessment task

▸ Examples of assessment resources

Criterion 5.2

There is a documented procedure for assessing trainee and surveyor performance on initial and ongoing surveyor training programmes.

Guidance

The assessment procedure may outline how performance is assessed for trainees undertaking their initial training and for surveyors undertaking ongoing training. It may also outline how this information is recorded in the trainee or surveyor's file and the steps to be taken if a trainee or surveyor performs poorly on an identified assessment task.

For example, trainees' ability to deal with conflict or difficult communication situations onsite may be assessed via a role-play exercise and the procedure may outline the steps to be taken if a trainee does not perform well in this exercise including whether they can do the exercise again or whether their performance can be assessed another way.

Suggested Evidence

▸ Assessment policy and/or procedure

Criterion 5.3

Assessment results are provided in writing to trainees.

Guidance

Assessment results may be provided via email or post to trainees. They may be provided after each assessment task completed or all results may be collated and provided together to the trainee or surveyor.

Assessment results may clearly state the trainee's own result and whether their result has met the required pass rate for an individual training session or the overall training programme.

Suggested Evidence

▸ Assessment policy and/or procedure
▸ Examples of how assessment results are communicated to trainees
▸ Examples of assessment results

Criterion 5.4

There are documented arrangements for participants who are:

a) unable to complete the surveyor training programme

b) unsuccessful in meeting the requirements of the training programme

Guidance

Documented arrangements could address what happens if a trainee / surveyor is unable to attend a specific training session or a number of training sessions or they start but are unable to complete the training programme.

Trainees/surveyors may not be able to complete the training programme due to:

i.   illness

ii. unforeseen circumstances which could include work or family issues, adverse weather conditions, natural disasters, internet connectivity, or traffic disruption among others.

The arrangements may be documented in a policy or procedure and could include who makes the decision, the criteria considered, and any reassessment arrangements.

Trainees or surveyors who do not meet the requirements of the initial or ongoing surveyor training programme may be provided with an opportunity to discuss their result or to appeal their overall result.

It is recognised that in some organisations the arrangements may be documented in one policy or procedure whereas in other organisations they may be documented in more than one policy or procedure. Organisations may provide all the applicable policies and procedures as evidence indicating the specific policies/procedures or sections thereof which address the requirements of the criterion.

Suggested Evidence

▸ Policies and/or procedures

Criterion 5.5

Assessment results are collated and reviewed after each training programme to assess whether learning objectives have been met.

Guidance

The collated assessment results and the associated analysis may be presented in a report. The report may be reviewed on an annual basis by the relevant committee/individual with responsibility or oversight of the surveyor training programme.

Suggested Evidence

▸ Policy and/or procedure

▸ Examples of assessment results

▸ Report with collated results

▸ Minutes of meetings where assessment results are discussed

Comparative Table

3rd Edition to 4th Edition

The table below shows the current criterion number and its comparative in the 3rd Edition. Where the criterion is new to the 4th Edition the reference to the 3rd is noted as New.

Standard/Criterion 4th Edition	4th Edition Reference	3rd Edition Reference
Standard 1 Programme Development and Planning		**Programme Planning**
Objectives	1.1	1.2
Planning to include activities, resources and timeframes	1.2	1.2
Risk factors to consider in planning	1.3	1.3
Planning to meet legal and ethical requirements	1.4	1.7
Surveyor competencies	1.5	1.4
Continuing Professional Development Points	1.6	1.5
Standard 2 Programme Management		**Programme Management**
Governance arrangements	2.1	2.1
Skilled and qualified staff manage the programme	2.2	2.2
Skilled and experienced individuals deliver the training	2.3	**New**
Evaluation and training of trainers	2.4	**New**
Policies and procedures	2.5	1.6
Principle of equal opportunity	2.6	2.5
Resourcing	2.7	2.3
Training programme evaluation	2.8	**New**
Standard 3 Trainee Management		**Trainee Management**
Information for trainee surveyors	3.1	3.1
Recording trainee information	3.2	3.2
Protecting trainee information	3.3	3.3
Trainee complaints	3.4	3.4
Standard 4 Training Programme Delivery		**Training Programme Delivery**
Initial training – planning and conducting a survey	4.1	4.1
Initial training – standards interpretation and legal requirements	4.2	4.1
Initial training – interpersonal skills	4.3	4.1
Training on diversity and equity	4.4	**New**
Initial training – practical onsite	4.5	**New**
Training based on identified needs and including updates on relevant legislation and guidance	4.6	4.2
Learning objectives	4.7	4.3
Learning methodology	4.8	4.4
Evaluation of training sessions and improvement planning	4.9	4.5 and 4.6

Standard/Criterion 4th Edition	4th Edition Reference	3rd Edition Reference
Standard 5 Assessment of Competence		**Assessment of competence**
Assessment plan	5.1	5.1
Documented assessment procedure	5.2	5.1 and 5.2
Assessment results	5.3	5.4
Assessment arrangements – special circumstances	5.4	5.3
Assessment of learning objectives	5.5	**New**

Change in Scale

	4th Edition	3rd Edition
Standard	5	5
Criteria	32	28

Review Committee

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International Society for Quality in Health Care
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