



Level 3 Award in
Emergency First Aid at Work

Level 3 Award in First Aid at Work

Qualification Specification

Version 1.1

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Registered Office: Lantra, Lantra House, Stoneleigh Park, Coventry, Warwickshire CV8 2LG

Registered no: 2823181 • Charity no: 1022991 • Scottish charity no: SC039039

Web: www.lantra.co.uk

Tel: 02476 69 69 96

Fax: 02476 69 67 32

E-mail: sales@lantra.co.uk

Write: Lantra, Lantra House, Stoneleigh Park, Coventry, Warwickshire CV8 2LG

Qualification Specification

Lantra Awards Level 3 Award in Emergency First Aid at Work

Lantra Awards Level 3 Award in First Aid at Work

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1 Why have these qualifications been developed?

These qualifications have been developed in conjunction with the First Aid Awarding Organisation Forum to comply with UK and European Resuscitation and First Aid Guidelines 2015.

Employers are responsible for making sure that their employees receive immediate attention if they are taken ill or are injured at work. They must carry out a first-aid needs workplace assessment, which will help them decide what first-aid arrangements are appropriate for their workplace. Where this assessment has identified that a trained first aider is required, these qualifications satisfy the requirement for suitable training.

The Lantra Awards Level 3 Award in Emergency First Aid at Work and the Lantra Awards Level 3 Award in First Aid at Work are nationally recognised and based on National Occupational Standards (NOS).

2 Who are the qualifications for?

These qualifications are designed for learners who wish to develop their knowledge, understanding and skills in first aid, enabling them to work safely, effectively and efficiently in the workplace. It provides an opportunity to achieve a recognised national qualification which reflects the national standards for the role(s) they perform.

The qualifications are aimed at appointed first aiders in the workplace and will suit many different needs, including those learners looking to progress into work and onto an apprenticeship and it will also suit those currently in employment looking to enhance/update their skills and/or undertake further study.

The qualifications are available for learners aged 16+.

There are no specific entry requirements and learners will be able to progress onto further programmes.

The qualifications are suitable for learners from 16+ who wish to develop knowledge, understanding and skills in first aid.

Training will prepare learners for further learning and instruction and develop their knowledge. It is also designed to prepare learners for employment.

3 What do these qualifications cover?

Learners undertaking this training will be able to demonstrate their knowledge of first aid in the workplace.

Lantra Awards Level 3 Award in Emergency First Aid at Work

This qualification aims to assess the learner's knowledge and understanding of:

- The role and responsibilities of a first aider
- How to assess an incident
- How to provide first aid to an unresponsive casualty
- How to provide first aid to a casualty who is choking
- How to provide first aid to a casualty with external bleeding
- How to provide first aid to a casualty who is in shock
- How to manage a casualty with minor injuries.

Lantra Awards Level 3 Award in First Aid at Work

This qualification aims to assess the learner's knowledge and understanding of:

- How to conduct a secondary survey
- How to provide first aid to a casualty with suspected injuries to bones, muscles and joints
- How to provide first aid to a casualty with suspected head and spinal injuries
- How to provide first aid to a casualty with suspected chest injuries
- How to provide first aid to a casualty with burns and scalds
- How to provide first aid to a casualty with an eye injury
- How to provide first aid to a casualty with sudden poisoning
- How to provide first aid to a casualty with anaphylaxis
- How to provide first aid to a casualty with suspected major illness.

Following regulatory requirements for qualifications to have a distinct purpose, these qualifications are identified and approved with Ofqual to have the following:

B. Prepare for further learning or training and/or develop knowledge

4 Lantra Awards Level 3 Award in Emergency First Aid at Work

4.1 Qualification overview

		Where to look for further details		
Qualification title	Lantra Awards Level 3 Award in Emergency First Aid at Work			
Qualification number	603/2272/X			
Qualification aim	To satisfy the requirement for suitable training to meet the HSE's minimum requirements for first aiders dealing with emergencies in the workplace.			
Qualification purpose	To assess the knowledge, understanding and skills required to deal with a range of emergencies requiring first aid in the workplace.	Ofqual's Register of Regulatory Qualifications http://register.ofqual.gov.uk/		
Qualification start date	1 August 2017			
Level	3			
Credits	1			
GLH	6			
TQT	7			
Quartz ID numbers	Unit 10728 – Emergency First Aid in the Workplace Programme- 5781 Qualification- 294			
Unit numbers and titles	A/504/4517 – Emergency First Aid in the Workplace	Page 7		
Qualification structure	This qualification comprises one mandatory unit.			
Age group	Pre-16	16-18	18+	19+
	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Entry requirements	Learners must be able to read and interpret information which is provided in English. It is recommended that learners have a basic knowledge of first-aid procedures.			
Prerequisites	There are no formal prerequisites for these qualifications.			

Assessment methodologies	Practical observation of assessment activities Verbal questioning	
Assessment model	These qualifications are internally assessed with external verification. This means that providers will appoint assessors and an IQA is required to provide internal quality assurance prior to EQA sign-off.	
Grading	Pass/Fail	
Is there a skills card available?	No	Guidance handbook for providers
Fees	Registration and certification fees can be found in the product directory. Prices are subject to review on an annual basis so please contact the sales team if you do not have an up-to-date copy (sales@lantra.co.uk).	Product directory; sales team
Related documents	An instructor guide is available for providers and assessors which can be found on the Lantra Awards website. Other assessment-related paperwork can be located within Quartzweb.	www.lantra.co.uk
How do I register learners?	Via Quartzweb https://ordering.lantra.co.uk/Login.aspx	Quartzweb user guide

4.2 Content of qualification

This qualification comprises one mandatory unit.

Unit title	M/O	GLH	Credits
Emergency First Aid in the Workplace	M	6	1

4.3 Unit

Unit title	Emergency First Aid in the Workplace
Unit level	3
Unit credit value	1
Unit reference number	A/504/4518

Learning outcomes	Assessment criteria
The learner will:	The learner can:
1. Understand the role and responsibilities of a first aider.	1.1. Identify the role and responsibilities of a first aider.
	1.2. Minimise the risk of infection to self and others.
	1.3. Identify the need for consent to provide first aid.
2. Be able to assess an incident.	2.1. Conduct a scene survey.
	2.2. Conduct a primary survey of a casualty.
	2.3. Summon appropriate assistance when necessary.
3. Be able to provide first aid to an unresponsive casualty.	3.1. Identify when to administer cardiopulmonary resuscitation (CPR).
	3.2. Demonstrate CPR with an automated external defibrillator (AED) on a manikin.
	3.3. Justify when to place a casualty in the recovery position.
	3.4. Place a casualty in the recovery position.
	3.5. Administer first aid to a casualty experiencing a seizure.
4. Be able to provide first aid to a casualty who is choking.	4.1. Identify when choking is: <ul style="list-style-type: none"> • Mild • Severe.
	4.2. Demonstrate how to administer first aid to a casualty who is choking.
5. Be able to provide first aid to a casualty with external bleeding.	5.1. Identify the severity of external bleeding.
	5.2. Demonstrate control of external bleeding.
6. Know how to provide first aid to a casualty who is in shock.	6.1. Recognise a casualty who is suffering from shock.
	6.2. Administer first aid to a casualty who is suffering from shock.

Learning outcomes	Assessment criteria
The learner will:	The learner can:
7. Know how to manage a casualty with minor injuries.	7.1. Administer first aid to a casualty with: <ul style="list-style-type: none"> • Small cuts • Grazes • Bruises • Small splinters.
	7.2. Administer first aid to a casualty with minor burns and scalds.

4.4 Taught content

Session	Content
Introduction	<ul style="list-style-type: none"> • Reception, registration and risk assessment • The role and responsibilities of the first aider • Aims of first aid • First aid kit and reporting • Cross infection.
Incident management	<ul style="list-style-type: none"> • Conduct a scene survey • Priorities of treatment • DRAB (danger, response, airway, breathing).
Unresponsive casualty	<ul style="list-style-type: none"> • Cardiopulmonary resuscitation (CPR) • Automated external defibrillator (AED) use • Other causes of unconsciousness • Levels of response • The recovery position • Casualty management: secondary survey • Seizures (epilepsy).
Airway and breathing problems	<ul style="list-style-type: none"> • Choking adult.
Circulation problems (Wounds and bleeding)	<ul style="list-style-type: none"> • Circulatory system • Shock (hypovolaemic) • Hygiene • Types of wound • Blood loss • Treatment of bleeding.
Minor burns and scalds	<ul style="list-style-type: none"> • How burns are caused • Severity of burns: factors to consider • Treatment of burns.
Minor injuries	<ul style="list-style-type: none"> • Fractures and dislocations • Strains and sprains • Small splinters.

5 Lantra Awards Level 3 Award in First Aid at Work

5.1 Qualification overview

		Where to look for further details		
Qualification title	Lantra Awards Level 3 Award in First Aid at Work			
Qualification number	603/2273/1			
Qualification aim	To satisfy the requirement for suitable training to meet the HSE's minimum requirements for first aiders dealing with emergencies in the workplace.			
Qualification purpose	To assess the knowledge, understanding and skills required to deal with a range of emergencies requiring first aid in the workplace.		Ofqual's Register of Regulatory Qualifications http://register.ofqual.gov.uk/	
Qualification start date	1 August 2017			
Level	3			
Credits	2			
GLH	18			
TQT	22			
Quartz ID numbers	Unit 10728 – Emergency First Aid in the Workplace Unit 10729 - Recognition and Management of Illness and Injury in the Workplace Programme- 5179 Qualification- 295			
Unit numbers and titles	A/504/4517 – Emergency First Aid in the Workplace F/504/4518 – Recognition and Management of Illness and Injury in the Workplace		Page 11 Page 13	
Qualification structure	This qualification comprises two mandatory units.			
Age group	Pre-16	16-18	18+	19+
	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
Entry requirements	Learners must be able to read and interpret information which is provided in English. It is recommended that learners have a basic knowledge of first-aid procedures.			

Prerequisites	There are no formal prerequisites for these qualifications.	
Assessment methodologies	Practical observation of assessment activities Verbal questioning	
Assessment model	These qualifications are internally assessed with external verification. This means that providers will appoint assessors and an IQA is required to provide internal quality assurance prior to EQA sign-off.	
Grading	Pass/Fail	
Is there a skills card available?	No	Guidance handbook for providers
Fees	Registration and certification fees can be found in the product directory. Prices are subject to review on an annual basis so please contact the sales team if you do not have an up-to-date copy (sales@lantra.co.uk).	Product directory; sales team
Related documents	An instructor guide is available for providers and assessors which can be found on the Lantra Awards website. Other assessment-related paperwork can be located within Quartzweb.	www.lantra.co.uk
How do I register learners?	Via Quartzweb https://ordering.lantra.co.uk/Login.aspx	Quartzweb user guide

5.2 Content of qualification

This qualification comprises two mandatory units.

Unit title	M/O	GLH	Credits
Emergency First Aid in the Workplace (see pages 8 and 9)	M	6	1
Recognition and Management of Illness and Injury in the Workplace	M	12	2

5.3 Units

Unit title	Emergency First Aid in the Workplace
Unit level	3
Unit credit value	1
Unit reference number	A/504/4518

Learning outcomes	Assessment criteria
The learner will:	The learner can:
1. Understand the role and responsibilities of a first aider.	1.1. Identify the role and responsibilities of a first aider.
	1.2. Minimise the risk of infection to self and others.
	1.3. Identify the need for consent to provide first aid.
2. Be able to assess an incident.	2.1. Conduct a scene survey
	2.2. Conduct a primary survey of a casualty.
	2.3. Summon appropriate assistance when necessary.
3. Be able to provide first aid to an unresponsive casualty.	3.1. Identify when to administer cardiopulmonary resuscitation (CPR).
	3.2. Demonstrate cardiopulmonary resuscitation, including using an AED on a manikin.
	3.3. Justify when to place a casualty in the recovery position.
	3.4. Place a casualty in the recovery position.
	3.5. Administer first aid to a casualty experiencing a seizure.
4. Be able to provide first aid to a casualty who is choking.	4.1. Identify when choking is: <ul style="list-style-type: none"> • Mild • Severe.
	4.2. Demonstrate how to administer first aid to a casualty who is choking.
5. Be able to provide first aid to a casualty with external bleeding.	5.1. Identify the severity of external bleeding.
	5.2. Demonstrate control of external bleeding.
6. Know how to provide first aid to a casualty who is in shock.	6.1. Recognise a casualty who is suffering from shock.
	6.2. Administer first aid to a casualty who is suffering from shock.

Learning outcomes	Assessment criteria
The learner will:	The learner can:
7. Know how to manage a casualty with minor injuries.	7.1. Administer first aid to a casualty with: <ul style="list-style-type: none"> • Small cuts • Grazes • Bruises • Small splinters.
	7.2. Administer first aid to a casualty with minor burns and scalds.

Unit title	Recognition and Management of Illness and Injury in the Workplace
Unit level	3
Unit credit value	2
Unit reference number	F/504/4518

Learning outcomes	Assessment criteria
The learner will:	The learner can:
1. Know how to conduct a secondary survey.	1.1. Identify the information to be collected when gathering a casualty history.
	1.2. Conduct a head-to-toe survey.
2. Know how to provide first aid to a casualty with suspected injuries to bones, muscles and joints.	2.1. Recognise suspected: <ul style="list-style-type: none"> • Fractures and dislocations • Sprains and strains.
	2.2. Administer first aid for: <ul style="list-style-type: none"> • Fractures and dislocations • Sprains and strains.
	2.3 Demonstrate the application of: <ul style="list-style-type: none"> • A support sling • An elevated sling.
	2.3. Recognise a suspected: <ul style="list-style-type: none"> • Head injury • Spinal injury.
3. Know how to provide first aid to a casualty with suspected head and spinal injuries.	3.2 Administer first aid for a suspected: <ul style="list-style-type: none"> • Head injury • Spinal injury.
	3.1. Recognise a suspected: <ul style="list-style-type: none"> • Flail chest injury • Penetrating chest injury.
4. Know how to provide first aid to a casualty with suspected chest injuries.	4.1. Administer first aid for a: <ul style="list-style-type: none"> • Flail chest injury • Penetrating chest injury.
	4.2. Recognise the factors that affect the severity of burns and scalds.

Learning outcomes	Assessment criteria
The learner will:	The learner can:
5. Know how to provide first aid to a casualty with burns and scalds.	5.1. Administer first aid for burns involving: <ul style="list-style-type: none"> • Dry heat • Wet heat • Electricity • Chemicals.
	5.2. Administer first aid for eye injuries involving: <ul style="list-style-type: none"> • Dust • Chemicals.
6. Know how to provide first aid to a casualty with an eye injury.	6.1. Administer first aid for eye injuries involving: <ul style="list-style-type: none"> • Embedded objects.
	6.2. Identify the routes that poisons can take to enter the body.
7. Understand how to provide first aid to a casualty with sudden poisoning.	7.1. Administer first aid to a casualty affected by sudden poisoning.
	7.2. Identify sources of information for treating a casualty affected by sudden poisoning.
	7.3. Identify common triggers for anaphylaxis.
8. Know how to provide first aid to a casualty with anaphylaxis.	8.1 Recognise suspected anaphylaxis.
	8.2 Administer first aid for a casualty suffering from anaphylaxis.
	8.3 Recognise suspected major illnesses, including: <ul style="list-style-type: none"> • Heart Attack • Stroke • Epileptic seizure • Asthma attack • Diabetic emergency.
9. Know how to provide first aid to a casualty with suspected major illness.	9.1 Administer first aid to a casualty suffering from: <ul style="list-style-type: none"> • Heart Attack • Stroke • Epileptic seizure • Asthma attack • Diabetic emergency.

Taught Content

Session	Content
Introduction	<ul style="list-style-type: none"> • Reception, registration and risk assessment • The role and responsibilities of the first aider • Aims of first aid • First aid kit and reporting • Cross infection.
Incident management	<ul style="list-style-type: none"> • Incident management • Priorities of treatment • DRAB (danger, response, airway, breathing).
Unresponsive casualty	<ul style="list-style-type: none"> • Cardiopulmonary resuscitation (CPR) • Automated external defibrillator (AED) use • The main causes of unconsciousness • Levels of response • The recovery position • Casualty management: secondary survey • Seizures (epilepsy).
Airway and breathing problems	<ul style="list-style-type: none"> • The respiratory system • Choking adult.
Circulation problems (Wounds and bleeding)	<ul style="list-style-type: none"> • Circulatory system • Shock (hypovolaemic) • Blood loss • Hygiene • Types of wound • Treatment of bleeding • Fainting • Anaphylactic shock • Small splinters • Insect bites and stings.

Level Descriptors

These qualifications have been accredited at Level 3. This means that upon achieving the qualification it can be relied upon that the learner possesses skills or knowledge appropriate to the following descriptors:

Level	Knowledge descriptor (the learner ...)	Skills descriptor (the learner can ...)
3	Has factual, procedural and theoretical knowledge and understanding of a subject or field of work to complete tasks and address problems that, while well defined, may be complex and non-routine; can interpret and evaluate relevant information and ideas; recognises the nature of the area of study or work; recognises different perspectives or approaches within the area of study or work.	Identify, select and use appropriate cognitive and practical skills, methods and procedures to address problems that, while well defined, may be complex and non-routine; use appropriate investigation to inform actions; review how effective methods and actions have been.

6 How are these qualifications delivered?

Taught content, that has been developed to underpin the Learning Outcomes (LOs) and Assessment Criteria (AC) of the qualification, must be delivered by a Lantra-approved instructor. Once the instructor is satisfied that the learner has met the required standard, the learner will then be assessed against the LOs and AC as stipulated in the relevant units by a Lantra-approved assessor. This can be the same person as the instructor, providing the approval requirements for both roles are met. Reference must be made to the Assessment Team section of the Assessment Principles for First Aid document for further details. Each member of the assessment/delivery team will need to complete an application form and provide the supporting evidence which will be reviewed by an External Quality Assurer (EQA) prior to approval being given or not.

The learner must be made aware of when they are being assessed and must complete all the necessary elements of the assessment to achieve the qualification.

Depending upon the AC for each unit, methods of assessment will include a combination of oral and/or written questions for testing underpinning knowledge, observed practical demonstration and group activities. Where the assessment is undertaken as part of a group, the assessor must satisfy them self that every learner in the group has contributed and has met all LOs and AC.

The assessor must record all assessment decisions, whether the learner has met the criteria or not. A sample Assessment Report Form will be provided for this purpose; however, providers can produce their own recording documentation, but it must be mapped to the AC and a Lantra-approved EQA must determine if the document is fit for purpose.

The assessment decisions must then be internally quality assured by a Lantra-approved Internal Quality Assurer (IQA). Refer to section 7.4 for more details.

External quality assurance will then take place by prior arrangement between Lantra, the EQA and the provider. Refer to section 7 for more details.

Learners must be registered via Quartzweb. Details of this process are available in the Quartzweb user guide. Providers must submit the required information for learner registration. Learners should be registered on the qualification once they have been enrolled with the provider. Failure to register learners may result in assessments not taking place. Sanctions may be imposed on providers if learners are not registered before the assessment takes place.

Where a qualification is running well within a provider, Lantra may award direct-claims status, which enables certificates to be claimed in advance of external quality assurance taking place. Further details are available in section 7.6.4.

6.1 Delivery in the UK

The specification for these qualifications is approved for delivery in the United Kingdom. Ofqual regulates the qualifications in England, and they are accredited qualifications on the Regulated Qualifications Framework (RQF). They have been accredited with the following Qualification Accreditation Numbers (QANs):

- 603/2272/X – Lantra Awards Level 3 Award in Emergency First Aid at Work
- 603/2273/1 – Lantra Awards Level 3 Award in First Aid at Work.

Regulated qualifications are subject to regular reviews to ensure their ongoing regulatory compliance and to ensure that throughout the life cycle of the qualification the content remains relevant and current.

When the qualification is deemed to be no longer suitable, for example technology has moved on and working practices are no longer relevant, Lantra will advise providers of a qualification end date. The end date is for the end of registrations; any learners registered before this date will be allowed time to complete the qualification. For these qualifications, that period will stand as six months.

Although RQF qualifications are not regulated in Scotland, they are available to anyone who wishes to take them. Lantra makes no distinction between providers and learners in Scotland and those elsewhere.

6.2 Who can deliver these qualifications?

Only approved Lantra providers can deliver these qualifications. For information on becoming approved, please contact Lantra via sales@lantra.co.uk or call on 024 7669 6996.

6.3 Provider Resources

The minimum resources you will need to deliver these qualifications are:

- At least one occupationally competent and approved instructor (this can be the same person as the assessor)
- At least one occupationally competent and approved assessor
- At least one occupationally competent and approved IQA (this must be a different person to the assessor)
- A room suitable for carrying out learner inductions and assessments, with lighting and power points
- Suitable welfare facilities
- Projector, laptop
- Flip chart and pens
- Suitable and correct PPE for the task(s) being assessed, for example:

- Disposable gloves
 - Face shields
- Resuscitation manikins (ratio 1:4 learners)
- Hygiene wipes for manikin
- First-aid kit
- Variety of dressings/bandages (including eye dressings)
- Triangular bandages
- Samples of adrenalin injectors
- AED with pads
- Tough-cut scissors and razor.

7 Quality Assurance

Lantra provides robust quality assurance of these qualifications by ensuring assessment is scrutinised and confirmed through rigorous quality-assurance arrangements and standardisation activities.

7.1 Definitions of key roles

Assessor – Person who makes the judgement about a learner's competence.

IQA – Checks that judgements made by assessors are consistent and checks that quality-assurance procedures are followed.

EQA – Independent person appointed by Lantra to assist with monitoring internal quality assurance and to check that assessments are in line with national standards.

Learner – Person whose competence is being judged.

Providers, assessors and IQAs are all subject to the tariff of sanctions.

7.2 Instructors

7.2.1 Skills and experience

Those involved in delivering the training of these qualifications must have knowledge and competency in first aid as well as adequate knowledge and competency to deliver training, based on qualifications and experience. An acceptable portfolio must therefore show:

i. Occupational knowledge and competence in first aid – evidenced by:

- Holding a first aid at work qualification/medical registration, as detailed in Appendix 1 of the Assessment Principles for Regulated First Aid Qualifications document

ii. Knowledge and competency in teaching/training first aid – evidenced by:

- Holding an acceptable teaching/training qualification, as detailed in Appendix 2 of the Assessment Principles for Regulated First Aid Qualifications document

AND either:

- Providing an acceptable log of teaching first aid within the last three years
- or***

Providing an acceptable record of competently teaching theoretical and practical first-aid sessions under the supervision of a suitably qualified trainer/assessor.

7.3 Assessors

7.3.1 Skills and experience

Assessors must be approved by Lantra and have knowledge and competency in first aid and be able to make valid judgements about the competence of learners they assess against a qualification.

Those involved in the assessment of these qualifications must have knowledge and competency in first aid as well as knowledge and competency to assess, based on qualifications and experience. An acceptable portfolio must therefore show:

i. Occupational knowledge and competence in first aid – evidenced by:

- Holding a first aid at work qualification/medical registration, as detailed in Appendix 1 of the Assessment Principles for Regulated First Aid Qualifications document

ii. Knowledge and competency in assessing first aid – evidenced by:

- Holding an acceptable assessing qualification/Continual Professional Development (CPD) Training, as detailed in Appendix 2 of the Assessment Principles for Regulated First Aid Qualifications document

AND either:

- Providing an acceptable log of first-aid assessments conducted within the last three years
or
- Providing an acceptable record of competently assessing theoretical and practical first-aid qualifications under the supervision of a suitably qualified assessor.

Instructors/assessors should provide a detailed, chronological list of evidence to show that they have regularly provided Emergency First Aid at Work (EFAW)/First Aid at Work (FAW) assessments during the previous three years. If this is limited, evidence of other first-aid assessments may be provided.

It is recognised that assessors may not hold formal qualifications but may have significant experience in undertaking these roles. It is expected that the assessor be registered and working towards formal qualifications within one year and that the qualifications are gained within two years.

During this period, a portfolio should be maintained to include details of knowledge and experience gained and the time period over which they were applied, as well as any contributing training undertaken and the LOs achieved.

7.3.2 Delivery in Northern Ireland

The Health and Safety (First-Aid) Regulations (Northern Ireland) 1982 have been amended to remove the requirement for Health and Safety Executive Northern Ireland (HSENI) to approve first aid at work training and qualifications. These new arrangements bring HSENI into line with procedures implemented by the Health and Safety Executive (HSE) in Great Britain. However, the HSENI will continue to set the standards for training.

As part of these changes, the Approved Code of Practice (ACOP) has been replaced by HSE's guidance. The advice in the guidance sets out clearly the recommended practical actions needed, and the standards to be achieved, to ensure compliance with duties under the HSENI 1982 Regulations as amended in 2017.

Until 30 October 2017, HSENI stipulates that for the delivery of First Aid training and qualifications in Northern Ireland, that two suitably qualified assessors **who have not been involved in the teaching** must conduct the final assessment for each learner. It will be acceptable to have one assessor **who has not been involved in the teaching** where there are fewer than seven learners.

From 31 October 2017, First Aid Regulations in Northern Ireland will change, removing the requirement for HSENI to approve first aid at work training and qualifications. From this date the assessment can be carried out by one assessor, and this can be the same person that has been involved in the training. The maximum number of learners will remain at 12.

7.3.3 Making assessment decisions

Assessors must be familiar with the unit(s) and the additional information about the unit(s).

Assessors also need to ensure the assessment decisions are reliable; would they reach the same decisions based on the same evidence for all learners?

Assessors judge the learner to be competent when the learner has met all the AC for the unit(s).

The assessment should determine a learner's ability to act safely, promptly and effectively when an emergency occurs at work and to deal with a casualty. All AC in the units must be achieved.

UK assessment

Summative assessment may take place at any time during the delivery of the qualification and does not need to be done as a final assessment. However, it is a requirement for the learner to be aware that assessment is taking place. You may use formative assessment during delivery of the qualification but this is not to be used in the assessment decisions of competence against the AC.

Northern Ireland – Final practical assessment: FAW only

The assessment should include evidence of competency in relevant theoretical aspects of first aid as well as in practical skills. Two suitably qualified assessors, who have not been involved in the teaching, must conduct the final assessment for each learner. Where the numbers are fewer than seven, it is acceptable to use one assessor provided that the quality of the assessment is not compromised. You must provide a waiting area which is separate from where the assessments are being conducted.

Note: Continuous assessment is acceptable for EFAW.

Note: If undertaking the FAW qualification, the Recognition and Management of Illness and Injury in the Workplace unit must be completed within ten weeks of achievement of the Emergency First Aid in the Workplace unit.

7.3.4 Assessment Methods

It is important to use a variety of assessment methods and types of evidence to obtain a rounded picture of the learner's competence.

Evidence for these units/qualifications can come from:

- Observations of learners performing a task
- Learner reports of an activity
- Video or audio
- Notes of discussions with assessor(s)
- Formal questioning
- Knowledge tests.

Where these activities still do not cover all the requirements of the units, supplementary evidence can be produced, for example from oral questioning and/or professional discussion. The latter can supplement evidence as it gives the learner the opportunity to explain in more depth what they did and why they did it in the way that they did. It can also help to extend the evidence by asking what the learner would do in a particular set of circumstances.

Standards of First-Aid Practice

EFAW and FAW skills and knowledge should be taught and assessed in accordance with current UK and European Resuscitation and First Aid Guidelines. HSE accepts the first-aid management of injuries and illness, in as far as it relates to the topics covered in an EFAW and FAW training course, as laid down:

- By the Resuscitation Council (UK) guidelines
- In other publications, provided they are in line with those above or are supported by a responsible body of medical opinion.

7.3.5 When is the evidence sufficient?

The evidence is sufficient when the assessor judges that the requirements of the unit(s)/qualification(s) have been met.

Providers may wish to set guidelines for the length of time or amount of tuition offered to learners for financial or logistical reasons, and it is helpful to learners to have a target date for completion.

Providers must provide the opportunity for learners to claim certificates of unit credit so that they can receive a certificate for the credit(s)/unit(s) they have been able to achieve. Assessors should always consider the provider's equality and diversity policy in relation to the unit(s)/qualification they are assessing and ensure that their own practice complies with

it. There may be occasions when a learner has a particular requirement, which means that reasonable adjustments have to be made in order to give them access to assessment opportunities. Providers must apply to Lantra for approval of reasonable adjustments to be made. Please refer to the Lantra Equality and Diversity Policy which includes full details of what arrangements can be made for various types of qualifications.

7.3.6 Feedback to Learners

Throughout the process of collecting evidence it is important that learners receive feedback, not only to motivate them, but to help them identify when they have collected sufficient evidence for each unit and where further sources of evidence might be found.

Where feedback is given, assessors should ensure that it is positive and constructive and use the opportunity for future planning.

7.3.7 Records

Providers are advised to retain copies of associated assessment documentation to enable monitoring of learners' progress through the unit(s)/qualification, primarily when elements and/or units were achieved and to keep records of feedback given from assessments and action plans negotiated as a result. All assessment records should be retained until at least an EQA visit after learners have completed the programme. Providers should adhere to funding arrangements where appropriate. All records must be kept securely so that there is no opportunity for them to be falsified or for fraudulent claims to be made.

There is no prescribed format for these records and providers may wish to incorporate them into documentation they already maintain within their own organisation. If the provider already works to quality management systems such as ISO 9000, or is required to maintain records for government-funded training schemes, that documentation will almost certainly provide the basis for assessor records.

7.3.8 Summary

Assessors are expected to:

- Be familiar with the requirements of the unit(s) they are assessing, including any associated assessment strategies
- Use a range of appropriate assessment methods
- Give constructive feedback to learners
- Ensure fair assessment and equal opportunities for all
- Maintain accurate records for each learner

- Endorse all assessments as the authentic work of each learner (countersigned by the learner). SMALL LETTERS HERE

7.4 Internal Quality Assurer (IQA)

IQAs need to have the authority to carry out their role effectively. For example, they will be responsible for recommending improvements or amendments to systems and for identifying training needs for assessors. The support of senior management is essential to the success of the programme and internal quality assurance.

7.4.1 Skills and experience

IQAs must have knowledge and competency in first aid as well as knowledge and competency in internal quality assurance. An acceptable portfolio must therefore show:

- i. **Occupational knowledge and competence in first aid – evidenced by:**
 - Holding a first aid at work qualification/medical registration, as detailed in Appendix 1 of the Assessment Principles for Regulated First Aid Qualifications document
- ii. **Knowledge and competency in internal quality assurance – evidenced by:**
 - Holding an acceptable internal quality-assurance qualification/CPD training, as detailed in Appendix 3 Assessment Principles for Regulated First Aid Qualifications document

IQAs must:

- Have knowledge of the requirements of the qualification they are quality assuring at the time any assessment is taking place
- Have knowledge and understanding of the role of assessors
- Visit and observe assessments
- Carry out other related internal quality assurance.

IQAs are responsible for the induction and development of assessors so that they understand how the qualifications work, the contents of the qualification units including the assessment strategies, awarding organisation (AO) requirements, appropriate methods of assessment and types of evidence and records which need to be kept.

IQAs can act as assessors if they are an approved Lantra assessor; however, they cannot be the assessor and the IQA for the same assessment decisions. If an IQA acts as an assessor to make an assessment decision, that assessment decision must then be internally quality assured by someone else.

7.4.2 Sampling

The IQA will check some of the assessments made by assessors to make sure that they agree that the learner is competent (or not) and to make sure that all assessors in the provider would have reached the same decision, based on the evidence provided. Where assessment decisions have been sampled, it is recommended that the IQA initial the record sheets to show that sampling has taken place. Sampling must include some direct observation of assessments taking place.

Sampling will need to be planned to make sure that evidence selected is representative and includes evidence selected from different:

- Units
- Assessment methods
- Types of evidence
- Assessors
- Learners
- Geographical sites/assessment locations.

While it may not be possible to cover all of the above in one sample, over a period of time IQAs must ensure that all the above are sampled. The IQA should therefore devise and make available to the EQA a strategy to ensure that the above are covered. The strategy should take into account the number of assessors and new assessors and include mechanisms to deal with assessors whose assessment practices are not completely in line with those of other assessors, where these are found to exist.

Internal verification is not a process which is left until the learner has completed their unit(s)/qualification(s). IQAs should be sampling evidence in progress to ensure that they have identified possible problems early on and that appropriate feedback is given to assessors.

The purpose of the sample is to ensure that learners are being assessed fairly and consistently. The size of the sample selected depends on how confident the IQA is about the consistency of assessment practice.

As a rough guide, the sample of assessments should be at least 10% or 10, whichever is larger. Lantra suggests the following sampling:

Size of sample	Content of sample
4% or 4	entire assessment
3% or 3	a unit
3% or 3	an AC

The sample would be larger for a new programme; if assessors are new to the programme or if the IQA has already identified potential problems (for example, in interpreting the unit(s)), the EQA will want to see records showing how the sample was selected.

7.4.3 Consistency of assessment

Standardisation meetings should be held for assessors and IQAs to compare and standardise their judgements so that everyone involved in the assessment process has a common understanding of the standards required and is assessing to the standards specified for the unit(s)/qualification(s).

Ideally, all team members should have the opportunity to look at samples of evidence and compare judgements made on them. IQAs could also present evidence of differing quality to act as benchmarks for future reference. The meetings provide an opportunity to check on the progress of individual learners, particularly if they are in contact with a number of assessors.

It is important that assessors based at other locations have an opportunity to be included in the meetings, or at least receive a copy of the agenda beforehand so that they can comment and receive a copy of the meeting notes afterwards.

Keeping minutes of the meetings is helpful, not only for disseminating information to members of the programme team, but also to discuss with the EQA if necessary. Meetings are important for maintaining the quality and consistency of assessment within individual providers.

7.4.4 Records

Records must include the following as a minimum:

- Learner's name
- Date of birth
- Contact address
- Workplace address and contact details
- Copies of the learner unit tracking sheet
- Assessor(s) name
- IQA(s) name
- Date of registration with Lantra
- Learner registration number.

Learner assessment records must include details of who assesses what and when, the assessment decision, feedback, the type of evidence used and the location of supporting evidence.

Lantra recommends the following referencing should be used to indicate the type of evidence provided:

Code	Assessment method
O	Observation of learner
WP	Work product
WT	Witness testimony
CH	Case history
PS	Personal statement
FQ	Formal questioning
PD	Professional discussion

Assessments must be endorsed by both learner and assessor(s) to state that the evidence is the authentic work of the learner.

Records must be stored securely so that there is no opportunity for records to be falsified (for example, altering assessment decisions) or for fraudulent claims to be made.

Internal verification records must show who internally verified what and when, details of the sample selected and the basis upon which the sample was selected. IQAs must keep records of standardisation meetings, meetings with assessors, observation of assessors and feedback given, as well as records of induction and training of new assessors or IQAs and their progress towards assessor and Quality Assurer qualifications.

Again, there is no prescribed format for these records and providers may wish to incorporate them into documentation they already maintain within their own organisation. If the provider already works to quality management systems such as ISO 9000 or is required to maintain records for government-funded training schemes, that documentation will provide the basis for internal verification records. A Unit Tracking Sheet is an example of a record which could be used by IQAs.

Records must be retained by providers for at least three years after the learner has completed the programme, unless government-funded training schemes stipulate longer. Records must be made available to EQAs and to the regulatory authorities. If a provider fails to maintain auditable records, and so is unable to substantiate claims for certificates, AOs are required to apply sanctions.

7.4.5 Changes within providers

IQAs are responsible for notifying Lantra of any changes within the providers, particularly those that may affect provider approval. Lantra must always be informed of any changes to the assessor or IQA team.

7.4.6 EQA visits

The EQA will notify the provider of what the verification will cover and who should be present. The (lead) IQA is expected to be present during an external verification. The provider is responsible for ensuring that action points agreed with the EQA during the visit are followed up. Further guidance is given in the next section about the role of EQAs.

Lantra welcomes feedback from providers about any aspect of its service and there will be an opportunity to pass comments to Lantra via the EQA visit report form.

In addition, Lantra actively seeks comments about any aspect of the standards. Any such comments are collated and passed on to the relevant standards-setting body so that when the standards are reviewed, feedback from providers can be incorporated.

7.4.7 Regulatory authorities

From time to time, Ofqual may wish to visit providers and will require access to premises, meetings, learner assessment records, internal verification records, documents, data, learners and staff. Providers are required to provide access when requested. Providers may have certificate claims suspended if they do not comply.

7.4.8 Summary

IQAs are expected to:

- ensure that the provider's internal quality assurance systems are effective
- liaise with the EQA appointed by Lantra, including being present during provider approval and/or external verification visits
- ensure action plans agreed during the visit are carried out
- provide support and advice to assessors, including identifying training, development, updating and disseminating information to team members
- sample assessment decisions made by assessors, including direct observation, and provide constructive feedback
- countersign assessment decisions and learner achievement records, where appropriate
- ensure Lantra is informed of any changes within the provider including changes to the IQA team
- monitor equal opportunities practice and achievement
- ensure that records of learners' achievements are maintained accurately and are available for the EQA to see
- Ensure any selected sample of assessment is available at the time of the external verification
- Meet with assessors and other IQAs (if applicable) to discuss assessment

- Ensure that learners receive appropriate support (induction, planning of learning and assessment, monitoring and review of progress, access to information about progression routes)
- Deal with appeals and refer them to Lantra, if necessary
- Provide feedback to the EQA
- Report suspected malpractice and co-operate fully with investigations.

7.5 External Quality Assurer (EQA)

EQAs are appointed and allocated to regulated qualification providers by Lantra to ensure that each provider's quality-assurance systems are operating to maintain national standards. The EQA will ensure that assessment decisions are consistent with the national standards and will sample assessments and learners' evidence in order to make this judgement.

7.5.1 Skills and experience

EQAs must have knowledge and competency in first aid as well as knowledge and competency in external quality assurance. An acceptable portfolio must therefore show:

i. Occupational knowledge and competence in first aid – evidenced by:

- Holding a first aid at work qualification/medical registration, as detailed in Appendix 1

ii. Knowledge and competency in external quality assurance – evidenced by:

- Holding an acceptable external quality-assurance qualification, as detailed in Appendix 4

EQAs must:

- Have knowledge of the requirements of the qualification they are quality assuring at the time any assessment is taking place
- Have knowledge and understanding of the role of assessors and IQAs.

Note: It is understood that not all EQAs will be qualified initially, and that sufficient time should be allowed to achieve these qualifications. During this time, AOs must ensure that EQAs are following the principles set out in the current Learning and Development NOS 12 *Externally Monitor and Maintain the Quality of Assessment*.

In addition, EQAs must:

- have no vested interest in the assessment provider, to maintain objectivity
- Have sufficient and relevant technical/occupational understanding in the unit(s) being verified
- Be familiar with the standards and AC in the units to be assessed
- Understand the AO's quality-assurance systems for the qualification(s)
- Meet the requirements of Lantra Awards' EQA job specification
- Maintain CPD and attend updates as required.

All EQAs go through a training process with Lantra, which includes being mentored by an experienced Quality Assurer.

Lantra EQAs carry out their duties in accordance with assessment strategies and regulatory requirements.

7.5.2 Arranging EQA visits

EQAs must have access to the provider's systems and processes and copies of learner and assessor/IQA records and locations where assessments take place. The IQA must make sure that the required evidence is available for the visit and that EQAs are informed if they need to travel to other sites. If the provider operates across several sites, the EQA will require the necessary evidence to be made available at whichever site the EQA nominates for the visit to take place.

Requests to see assessors may be made before the visit takes place. Using a standard visit planner, the EQA will inform the provider around ten days in advance of their visit, which evidence they wish to see and for which learners. They may also request access to evidence for other learners during the visit, without prior notification. EQAs may wish to observe assessments taking place and to meet learners. EQAs will sample the completed evidence for learners who have claimed certificates. Providers must make sure that these are retained for this purpose until after the EQA's visit.

Where a learner selected by the EQA for interview is not available at the time of the visit, Lantra will require proof that the learner exists. Where this cannot be substantiated, Lantra will notify the regulatory authorities, suspend the provider from registering learners or claiming certificates and will instigate formal investigation proceedings.

The EQA will expect to see the IQA, where applicable/appropriate, and some of the assessors, a sample of learner and assessor records together with a sample of different assessment methods used within the provider. A room should be available for the EQA to look at evidence and to interview learners, where applicable.

7.5.3 During the EQA visit

EQAs monitor the information given when provider approval was granted and need to be informed when any of those details change, particularly where there could be a significant effect on the programme. For example, EQAs need to be informed of changes in roles and responsibilities within the programme team, and new team members.

EQA visits may review learner evidence, the judgements made by assessors and the IQA and the support systems required to deliver the unit(s)/qualification(s). EQAs will want to see that learner action plans and targets are monitored and that learners are given access to certificates of unit credit.

7.5.4 Sampling

EQAs are required to record the evidence they have sampled using the sampling record sheet that forms part of the EQA report form. This record ensures that EQAs can build up a record of what they have sampled over the course of several visits to ensure that they are sampling across all the different variables.

EQAs will plan their sample to ensure that the evidence selected is representative and, that over time, their sampling includes evidence selected from different:

- Units
- Assessment methods
- Types of evidence
- Assessors and IQAs, including those who are inexperienced
- Learners
- Geographical sites
- Learners at different stages of completion.

EQAs' sample of assessments should be at least 10% or 10, whichever is larger. Lantra suggests the following sampling:

Size of sample	Content of sample
4% or 4	entire assessment
3% or 3	a unit
3% or 3	an AC

Where there are concerns about the consistency of assessment decisions and practices, a higher level of sampling will be undertaken. If this involves any additional units, an additional visit fee will be charged. EQAs will sample assessment and internal verification records.

7.5.5 Sanctions

Lantra will implement sanctions, including suspension of direct-claims status (DCS) and withdrawal of provider approval, where providers are found not to be operating these units/qualifications in accordance with the guidance in this document and the regulatory requirements. If provider approval is withdrawn, the regulatory authorities will be informed. Lantra works to the regulatory requirements in its management of these qualifications. Lantra will support providers when approval requirements are not met by implementing sanctions, developing action plans and/or providing recommendations.

7.5.6 Feedback from EQA Visits

Providers will receive feedback from the EQA on the day of the visit. The feedback may include examples of good practice they have observed. There will likely be some action points which will be discussed and agreed during the visit to help the provider work towards best practice wherever possible. Copies of the report are sent to Lantra so that they can monitor the units/qualifications nationally.

If providers are not able to meet the requirements, then the EQA will state in writing what improvements are to be made and the date by which they are to be completed. The EQA may then return to the provider on an agreed date to confirm that the provider has remedied the non-compliance.

The provider must ensure that action points are followed up, otherwise provider approval may be suspended or even withdrawn. The EQA will make a recommendation to Lantra after every visit about whether provider approval can be continued. If you are not satisfied with the EQA's judgement, you can appeal to Lantra according to its published appeals policy.

7.5.7 Number of Visits

Providers will receive periodical EQA monitoring activities, depending on number of learners, assessments and activity. Providers may request additional visits, for which they will be charged the standard visit fee. Additional visits must be requested through Lantra and not directly to the EQA.

Where the EQA has identified that a provider is not operating the unit(s)/qualification(s) in accordance with the guidance in this document, they may recommend to Lantra that one or more additional visits will be required. A charge will be made for all additional visits.

Where a provider cancels a prearranged EQA activity at short notice, Lantra will contact the provider for an explanation and a full external verification charge may be incurred. If there is any doubt as to the reason for cancellation, Lantra may suspend DCS or withhold certification until a visit has taken place. Lantra reserves the right to carry out EQA visits at

short notice or without prior notice to minimise the risk of unsubstantiated claims for certificates being made. The regulatory authorities may also make monitoring visits at short notice or without prior notice.

7.5.8 Summary

EQAs are expected to:

- monitor the sufficiency of staff and physical resources
- check that assessment decisions reflect national standards
- monitor the assessment process and learners' achievement
- check that appropriate sources of evidence are used
- ensure that there is access to fair and reliable assessment
- check that accurate records are being maintained
- Recommend sanctions where appropriate.

7.6 Quality Assurance and Certification

7.6.1 Quality Assurance of Assessment Decisions

These qualifications are internally assessed, internally quality assured and externally quality assured. This means that providers will need to appoint occupationally competent qualification assessors to assess learners and complete assessment paperwork. An occupationally competent IQA will also need to be appointed and this person will need to sample assessment decisions across the assessors. They will need to create a sampling plan that will include a cross section of assessors, learners, levels and progress, considering any mandatory IQA requirements. They will need to carry out internal standardisation of assessors to ensure that each assessor can apply the AC consistently and accurately. The IQA will be responsible for putting this programme into place.

An EQA will be appointed to the provider and this person will be responsible for sample-checking assessment recommendations from the assessors. The suggested sample size is 10% or ten learners, whichever is the greater number; however, this can be anything up to and including 100%, e.g. new providers, assessors and IQAs will be monitored more closely initially, or if issues have been identified as part of the quality-assurance process, closer scrutiny will be required. The EQA will identify which work they want to see at each visit or for Distance Monitoring activities. The sample may include a cross section of assessors, learners, levels, progress and, where applicable, IQAs if there are more than one. It is important to note that although the EQA will view only a sample of work, they may wish to widen the sample, therefore all learner work should be available for inspection.

Lantra operates both on-site and postal external quality assurance for these qualifications. You may not always have a visit from the EQA; a sample may be requested for despatch via

post. The principle of quality assurance is the same either way; the EQA will review a sample of work and make a recommendation on the assessment decisions of the entire cohort.

Your EQA will contact you to make the necessary arrangements regarding the visit (date, venue etc.) or the despatch of a sample of work.

Where the EQA agrees with the findings of the IQA, this decision is communicated to Lantra and certificate claims are processed. Where the EQA is not in agreement, the reasons will be communicated to the provider with feedback to help with future assessment decisions. This may result in the need for learners to retake the assessment.

Occasionally, as part of Lantra's ongoing quality-assurance strategy, an EQA may be accompanied by either Lantra staff or another EQA. This is to ensure that integrity is assured throughout this part of the process.

Where DCS is in place, then providers will be able to claim certificates before a quality-assurance visit has taken place. Lantra will support providers when requirements are not met by assisting in the development of action plans, providing recommendations and, where required, implementing sanctions.

Occasionally, as part of Lantra's ongoing quality-assurance strategy, an EQA may accompany an assessor to observe an assessment taking place and monitor the assessment processes used to ensure that the EQA is following the correct procedures.

7.6.2 Claiming Certification

Certificates can only be claimed for learners who are registered on Quartzweb. All certificate claims are checked against provider approval records and learner registration records, (unless DCS is in place). Where DCS is in place, the certificates will be issued prior to quality assurance taking place.

Certificates will not be issued for learners who are not registered prior to the assessment taking place.

Once a learner has completed the assessment requirements and quality assurance has taken place, certificates will be issued by Lantra for the provider to distribute to the learner.

7.6.3 Replacement Certification

If a learner loses the original certificate, Lantra can issue a replacement. The learner will need to provide proof of identity (for example passport or driving licence) and the details of the provider they were registered with. Lantra will check all claims for replacement certificates against the original certificate claim. The provider may be contacted for authentication. The certificate will be marked as a replacement. A fee is payable for replacement certificates; please contact Lantra for the current fee.

7.6.4 Direct-Claims Status (DCS)

DCS enables providers to claim certification directly before external quality assurance has taken place. A claim for DCS can only be made after an EQA has conducted a visit, which may be approximately six months following provider approval to deliver the qualification and enough learners have been progressed by the provider.

Where an EQA has identified that a programme is running successfully and the provider has effective internal controls, a recommendation may be made to award DCS to the provider. Where this is granted, the provider must retain all assessment evidence until the EQA has quality assured the work as meeting national standards. DCS will be withdrawn if access is not given to completed learners' evidence where certificates have already been claimed.

A system must operate within the provider to ensure all assessors evaluate to the required standard. The IQA will be required to observe each assessor, retaining evidence of observations which must be made available during EQA visits. The EQA may request to sample the process and observe assessors. If the EQA is not confident with how the provider is operating, they may recommend the suspension or withdrawal of DCS.

DCS does not mean that all claims are certificated without further quality-assurance checks. Quality assurance of claims will still take place, and where this suggests that certificates have been incorrectly issued, may lead to them being revoked. Providers are required to make all reasonable efforts to recover certificates which have been revoked.

Should a provider be imposed with a Level 2 sanction, DCS will be removed automatically. Further information on sanctions can be found in the provider handbook.

7.7 Enquiries about Results and Appeals

Lantra has an 'enquiries about results' policy and an appeals procedure which can be used under circumstances where a learner or provider has reason to believe that there has been an error in either the administrative processes leading to an incorrect qualification award or there has been an issue in the assessment of the learner. Fees payable for enquiries about results will be refunded in full if the enquiry is upheld or if a learner's results are changed as a result of an enquiry.

Appeals can be made following the outcome of an enquiry about results if the learner/provider remains unhappy with the outcome or has further grounds to query the decision. Please note that appeals will not be accepted without a paid result enquiry being submitted first.

Providers must ensure that learner consent is obtained prior to an enquiry about a result being submitted. Learners must be informed that assessment outcomes can change both positively and negatively.

Please refer to the provider handbook for further details.

7.8 Malpractice and Maladministration

Where malpractice is suspected, especially where there is doubt about the integrity of the assessment process, Lantra will immediately suspend further certification claims while an investigation is carried out. The regulatory authorities will be notified of any investigations and their outcome.

The claimant will be required to provide information about the suspected malpractice and the circumstances surrounding the matter. If found, malpractice may result in sanctions being imposed on the provider, certificates being revoked or even providers being barred from Lantra membership and reported to regulatory authorities.

Maladministration is linked to malpractice and can result in a malpractice investigation being launched where the maladministration could impact on the credibility of the assessment taking place or the outcomes achieved; for example, the failure to investigate suspected malpractice when asked to do so by Lantra.

Typical examples of malpractice and maladministration are:

- Falsifying records
- Cheating during an assessment
- Failing to carry out assessments as required
- Cutting short tests or giving learners answers to tests
- Loss or theft of assessment evidence, including copying or plagiarising of assessment materials
- Making changes to assessment materials without prior approval from Lantra
- Failing to carry out adequate internal quality assurance
- Submitting false claims
- Failing to co-operate with quality-assurance checks
- Misusing the Lantra logo or materials
- Copying Lantra copyright materials.

Please refer to the Lantra Malpractice and Maladministration Policy for further details.

7.9 Safeguarding – young people and vulnerable adults

These qualifications can be offered to learners in the 16-19 age group, as well as learners aged 19+. The Health and Safety at Work Act 1974 requires employers to ensure the health, safety and welfare at work of their employees and for providers to safeguard learners. Young people under the age of 18 and vulnerable adults can be exposed to risk when using work equipment due to immaturity, lack of experience or lack of awareness of existing or potential risks. Therefore, young people and vulnerable adults may need closer supervision.

For more information about young people at work, see Management of Health and Safety at Work Regulations 1999.

7.10 Additional requirements and reasonable adjustments

Providers are expected to make appropriate arrangements, including reasonable adjustments; these are detailed in the Equality and Diversity Policy within the provider handbook, to ensure that learners with additional needs can access assessment wherever possible. The Equality and Diversity Policy covers alternative assessment arrangements which can be made for learners.

However, reasonable adjustments must not result in a change to the LOs and AC; for example, within these qualifications, learners must understand product information which includes being able to interpret product labels which will be written in English.

A provider must apply for reasonable adjustments to Lantra using the Reasonable Adjustments Request Form. Lantra recommends that reasonable adjustment requests are submitted no later than six weeks prior to the assessment taking place to allow a decision on their suitability to be made before the assessment. However, Lantra recognises that this may not always be possible, and will do its best to process requests received after this point. Please note that no reasonable adjustment should be implemented without the prior approval of Lantra.

8 What does a Provider need to do?

8.1 Management support

Experience has shown that qualification programmes run more effectively when given support by senior management. This can be achieved by appointing a person from the senior management team, or a designated Qualification Manager, and ensuring they are given the authority to monitor the quality management systems for the programme and to implement any required changes. This role is separate from the required role of IQA.

Management support can be demonstrated by ensuring that appropriate team members are allocated to the programme and given sufficient time and resources to carry out their role(s) effectively.

8.2 Provider records

Providers are required to retain learner records, which include the details listed below. Providers may already have their own systems which could be used to store records. Provided that the information required is accessible and conforms to the requirements below, then no further records will need to be created. Lantra does not prescribe the format in which records are kept.

Provider records must include:

- Data about individual learners, including any reasonable adjustments
- Assessment and action plans
- Learner registration
- Learner induction plan
- Achievement of units
- Feedback given to learners by assessors
- Evidence sampled by IQA
- Feedback given to assessors by IQA
- Actions plans provided by EQA.

All records must be stored securely to avoid being falsified or fraudulent claims made. All assessment records must be retained at the provider for at least **three years** after the learner has completed the assessment. If the programme is subject to an EQA quality-assurance visit/approval sign-off, then the records should be retained for three years after that date. It is the responsibility of the provider to ensure that data is cleansed at the appropriate time.

There is no prescribed format for these records and providers may wish to incorporate them into documentation they already maintain within their own organisation. If the provider already works to quality management systems such as ISO 9001 or is required to maintain

records for government-funded training schemes, that documentation will almost certainly provide an adequate basis for assessor records.

Providers may also need to adhere to separate requirements, where appropriate, with regard to the retention of records, such as funding applications. Please refer to the specific requirements of the funding agency.

8.3 Support for learners

Learners will need to follow an induction programme when enrolled on the qualification. This should be designed around a particular element or unit of the qualification so that they become familiar with the way the qualification operates.

Many learners, particularly if they are mature adults, will already have pre-existing skills and knowledge. A system will need to be introduced to identify these skills and how evidence from prior achievements can be recorded.

Throughout the programme, tutors and/or instructors should aim to provide feedback to learners on how they are progressing through the qualification to ensure that on the day of the assessment they are ready for the requirements of the question paper and the practical assessment. Feedback should be positive, constructive and used for future planning.

Some providers will have staff working in education support; in others, assessors may offer this support. It is important each learner has appropriate guidance and is directed towards additional information as required. Guidance on career opportunities may also be appropriate.

Learners with particular characteristics may need additional support from the provider/instructor. Refer to Lantra's Equality and Diversity Policy for further information relating to reasonable adjustments/special considerations. Learners with certain protected characteristics should not be discriminated against or prohibited from assessment where adjustments can be made to the assessment evidence requirements which would allow them to demonstrate competence or knowledge in different ways.

Learners must be informed when they have been registered on a qualification. It is also a regulatory requirement that Lantra is informed if a learner withdraws from the qualification after they have started. Providers must also ensure that learners are informed when they have been withdrawn from a qualification for any reason and retain evidence of this.

Learners will not be recognised by Lantra until they have been registered and Lantra will have no obligation to the learners if there is a problem with them completing the qualification, such as the provider ceasing operations.

If for any reason a provider is not intending to renew its membership while it still has uncertified learners registered on a qualification, regulatory requirements stipulate that the learner's interests must be maintained. The provider may choose to transfer learners to another AO or the provider will still be required to complete the assessment of learners with Lantra and pay any fees which are due for quality assurance or certification.

9 Administration and other important information

9.1 Administration process for registration and certification

The Quartzweb user guide contains instructions on how to register learners.

Learners may transfer registration from one unit/qualification to another, provided they are both offered by Lantra. This will incur an administrative fee; if the registration fee is higher for the subsequent qualification, providers will be invoiced for the difference. No refunds will be made if the registration fee for the subsequent qualification is lower. Learners transferring to a different provider must re-register with the new provider. Lantra may need to charge an administration fee to the learner's new provider.

Learners must be informed when they have been registered onto the qualification.

9.1.1 Registering the learner

Learners **must** be registered for the qualification prior to an assessment taking place. Please refer to the Quartzweb user guide for details on how to register learners.

For each learner, the surname/family name, first name, date of birth and postcode are mandatory. The date of birth is important to distinguish between learners with the same name. AOs are required to provide data to the regulatory bodies about learner characteristics, which is why Lantra asks you to provide details of their gender, ethnic origin and whether they have requested any reasonable adjustments. This is so that achievements can be monitored for equal opportunities purposes and to ensure fair access to training and qualifications.

9.1.2 Certificate claims

Certificates can only be claimed for learners who are registered on Quartzweb. All certificate claims are checked against provider approval records and learner registration records, (unless DCS is in place). Certificates will not be issued for learners who are not registered prior to the assessment taking place.

The learner name entered on Quartzweb is how it will appear on the certificate.

9.1.3 Regulatory authorities

Occasionally, Ofqual (the qualification regulator) may visit providers and require access to premises, meetings, learner assessment records, internal verification records, documents,

data, learners and staff. If providers refuse access, Lantra will be required to suspend all future certificate claims until the requirements of the regulatory visit have been satisfied.

9.2 Assessment strategy

Refer to the Assessment Principles for First Aid document for details on specific criteria for assessing these qualifications.

Access to assessment:

- Learners should not be put forward for an assessment until they are deemed ready to be assessed
- This can be evidenced by conducting an evaluation of the learner's previous training and experience
- This underpins the assumption that the learner has sufficient technical expertise, knowledge, skill and maturity to meet the assessment requirements
- Key considerations for evaluation of the learner's previous training and experience include health and safety considerations.

9.2 Funding

Approved qualifications may be eligible for funding from either the Education and Skills Funding Agency (ESFA) or the Skills Funding Agency (SFA), or equivalent bodies in Wales and Northern Ireland. The qualification is listed on the Ofqual Register of Regulated Qualifications and the Learning Records Service (LRS). Funding may be available to organisations which meet the requirements of the relevant agency.

In order that the funding may be linked to the learner, a Unique Learner Number (ULN) must be provided. The ULN should be entered in the ULN field when registering the learner on Quartzweb. For information on how to obtain ULNs for your learners, please refer to the LRS guidance at www.gov.uk/government/publications/lrs-unique-learner-numbers

9.3 Feedback, compliments and complaints

Lantra recognises that from time to time providers, learners, assessors and other personnel may have reason to provide feedback on a process, or have grounds for a complaint. Lantra also welcomes compliments when aspects of its courses have been well received so that it can seek to implement 'best practice' across its suite of products. The Lantra Feedback, Compliments and Complaints Procedure is published on the Lantra Awards website.

Appendix 1 - Glossary of Terms

Knowledge	Factual information that can be recalled as required. For example, individual can 'identify' and/or 'describe' key information which is relevant to the subject area.
Understanding	The application and extension of knowledge allowing organised thought; the generation of original ideas and critical thinking. For example, individual can 'explain', 'analyse' and/or 'evaluate'.
Skill	The application of knowledge and/or understanding in a practical context, demonstrating practical competency. For example, individual can 'operate', 'use' and/or 'carry out'.
Learning outcome	How the learner will be changed by the learning/assessment process; that which the learner will, due to learning experiences, newly know, understand or be able to do.
Assessment criteria	Discreet criteria which holistically deliver on the promised objective of the qualification and which must all be evidenced to a unified (and/or graded) standard.
Breadth (exemplification)	Presents the provider with exemplar teaching content which helps define the minimum required breadth of learning; guides but does not prescribe; learning should always be broader than any potential assessment.
Depth (amplification)	Presents the provider with required minimum teaching content and defines the depth of understanding required for the level and objective of the qualification.
Qualification objective	A succinct summation of the overarching development of the learner in terms of tangible work or further developmental opportunities available as a result of achieving these qualifications.
Qualification aim	A succinct summation of why these qualifications are of value to the learner (without reference to assessment).
Transferable	Knowledge, understanding or skills that can be applied beyond the context in which they were taught to benefit the learner in different job roles, industries, contexts and/or personal situations.
Assessment guidance	Guidance used to advise providers on a general level of expectation rather than to prescribe a definitive list of evidence.
Delivery guidance	Guidance that, without reference to assessment, illustrates opportunities for evidence which might: <ul style="list-style-type: none"> • Be naturally generated through the learning process • Offer innovative examples of delivery gathered through provider/learner consultation • Minimise the burden of assessment on providers and learners.

Guided learning hours (GLH)	Approximate number of hours under immediate guidance or supervision of a lecturer, supervisor, tutor or teacher.
Total qualification time (TQT)	<p>Guided learning hours + directed study</p> <p>An estimate of the number of hours a learner will reasonably be likely to spend in preparation, study or any other form of participation in education or training, including assessment, which is directed by (but not under immediate guidance or supervision of) an instructor, assessor, supervisor, tutor or teacher.</p>
Arrangements for Reasonable Adjustments	Adjustments made to an assessment for a qualification to enable a learner with additional requirements to demonstrate their attainment of the level required.
Arrangements for Special Consideration	<p>Special consideration might be given to a learner who has temporarily experienced:</p> <ul style="list-style-type: none"> • An illness or injury • Some other event outside of their control <p>that has had a material effect on their ability to take an assessment or demonstrate their attainment.</p>
Recognition of Prior Learning	A method of assessment that considers whether a learner can demonstrate that they can meet the assessment requirements for a unit through knowledge, understanding or skills they already possess and do not need to develop through a course of learning.

Appendix 2 - Census Ethnic Group Classifications (2011)

Please use the following code(s) to indicate ethnicity when completing the learner registration:

England and Wales		Northern Ireland		Scotland	
01	White: English/Welsh/Scottish/ Northern Irish/British	19	White: White	30	White: Scottish
02	Irish	20	Irish Traveller	31	British
03	Gypsy or Irish Traveller	21	Asian/Asian British: Indian	32	Irish
04	Any other White background	22	Pakistani	33	Any other White background
05	Mixed/multiple ethnic groups: White and Black Caribbean	23	Bangladeshi	34	Mixed: Any mixed/multiple Ethnic background
06	White and Black African	24	Chinese		Asian, Asian Scottish or Asian British:
07	White and Asian	25	Black, Black Irish or Black British: Black Caribbean	35	Indian
08	Any other Mixed/multiple ethnic background	26	Black African	36	Pakistani
09	Asian/Asian British: Indian	27	Black other	37	Bangladeshi
10	Pakistani	28	Mixed: Mixed ethnic group	38	Chinese
11	Bangladeshi	29	Other ethnic group: Any other ethnic group	39	Any other Asian background
12	Chinese			40	Black, Black Scottish or Black British: Caribbean
13	Any other Asian background			41	African
	Black/African/Caribbean/ Black British:			42	Any other Black background
14	African			43	Other ethnic group: Any other ethnic group
15	Caribbean				
16	Any other Black/African/ Caribbean background				
17	Other ethnic group: Arab				
18	Any other ethnic group				

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Lantra House, Stoneleigh Park,
Coventry, CV8 2LG

t +44 (0)2476 696996

e sales@lantra.co.uk

w www.lantra.co.uk

Registered no: 2823181

Charity no: 1022991

Scottish charity no: SC039039

VAT no: 585 3815 08

