



## **LANTRA AWARDS POLICIES**

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## **EQUAL OPPORTUNITIES POLICY**

Lantra Awards is committed to equal opportunities in all aspects of its own working practices. Lantra Awards will work with centres, training providers and contractors (such as instructors, examiners and external verifiers) to eradicate unfair and discriminatory practices wherever they occur and to encourage a culture of fairness, dignity and respect, in which individuals may reach their full potential. Lantra Awards seeks to positively influence those with whom it works.

Staff, contractors, candidates and trainees will be treated solely on the basis of their merits, abilities and potential, regardless of gender, colour, ethnic or national origin, race, disability, age, sexual orientation, gender reassignment, socio-economic background, religious or political beliefs, trade union membership, family circumstances, or other irrelevant distinction.

### **Implementation**

Lantra Awards will apply this equal opportunities policy to ensure that:

- All trainees and candidates have open access to its awards.
- Centres and training providers apply their equal opportunities policy to the selection, training and assessment of candidates.
- Activities carried by candidates at home, work and in a voluntary capacity are valued for the purposes of accreditation of prior achievement.
- Reasonable adjustments are made so that unnecessary barriers can be eliminated for candidates with particular requirements.
- Printed materials, including assessment materials, aim to reflect diversity in the community and are non-discriminatory in style and content.
- Contractors are selected and recruited fairly and receive high quality training for the roles they will be undertaking, including the application of this equal opportunities policy to their work with centres, training providers, candidates or trainees.
- Complaints and appeals are dealt with promptly and fairly.

Comprehensive guidance is available (see Annex 1) which gives specific details on each of these points, including the alternative assessment arrangements which can be made for candidates with particular requirements (Annex 2).

### **Monitoring**

The policy and its implementation is monitored by the Quality Committee, which meets at least twice a year, reporting to the Lantra Awards Board of Directors. Equal opportunities practice is demonstrated and monitored through:

- Centre approval procedures
- External verifier visits and report forms.
- Training sessions for examiners, external verifiers and other contractors.
- Statistical monitoring of the number of candidates with special needs
- Statistical analysis of achievement or pass rates by gender, ethnic origin, age or special needs.
- Scrutiny of training, assessment or promotion materials by authors, editors, technical advisers and Lantra awards staff.

## **Equal Opportunities Policy – Implementation and Monitoring**

Lantra Awards is committed to equal opportunities in all aspects of its own working practices and in providing open access to the awards it offers. Lantra Awards centres, training providers, instructors and staff, including contractors such as external verifiers or examiners, are fully aware of this equal opportunities policy.

The following guidance describes how Lantra Awards operates its equal opportunities policy in relation to centres, candidates and contractors, and its expectations from centres. The Appendix gives specific information about the reasonable adjustments which can be made to give access to assessment for candidates with particular requirements.

### **Recruitment and training of external personnel**

Lantra Awards operates an equal opportunities recruitment policy for all external personnel such as examiners and external verifiers. For each vacancy, Lantra Awards produces terms of reference for the post and a person specification. Applicants are invited to submit CVs which demonstrate that they have the relevant qualifications and experience for the post, as defined in the terms of reference, and that they meet the requirements of the person specification. Applicants who meet the criteria will be interviewed by a representative from Lantra Awards and at least one other person with appropriate technical expertise (e.g. chief verifier or chief examiner).

Lantra Awards is committed to the development of external personnel as well as its own staff and holds at least one training session each year for all external verifiers. Where a qualification includes written assessments, examiners will receive training on the marking of candidate examination papers, including the fair and consistent application of mark schemes.

### **Access to qualifications**

Lantra Awards expects its training providers/centres to enable candidates to have equal access to qualifications. Lantra Awards does not place any entry requirements for candidates wishing to undertake a qualification, unless otherwise specified. Entry requirements may be specified where industry codes of practice require trainees to hold particular qualifications (e.g. certificates of competence for people working with pesticides).

NVQ/SVQs are competence-based and are free from barriers which restrict access. Some institutions will apply entry requirements as a means of ensuring that candidates will be able to cope with the demands of the qualification. However, entry requirements must not, in any way, prevent a candidate with special needs from working towards an otherwise appropriate qualification.

Centres requiring assessment materials in Welsh, Scottish Gaelic or Irish Gaelic should contact Lantra Awards.

### **Access to training courses**

Lantra Awards recognises that training providers have a responsibility to advise potential candidates on the most appropriate course and to maximise the potential of all students. If a trainee with a physical disability wishes to undertake a practical training course, the provider should consult with the instructor to determine whether there are any parts of the course which could not be made accessible to the trainee. If the trainee is able to complete the training and assessment, they will be awarded a Lantra Awards certificate and skills identity card. In all cases, trainees with special needs will be assessed against the same criteria as any other candidate.

Provided that they have declared their special need on the certificate claim form, Lantra Awards will issue a letter to the trainee to remind them of the need to inform an employer of their special need as this may affect the tasks they can be allocated in the workplace.

Candidates whose first language is not English may undertake Lantra Awards courses, although they may need language support in order to do so. A Lantra Awards certificate/skills card indicates that the trainee has reached the standard of practical skill expected after training. It is not a certificate of employability and employers will need to make their own decisions as to whether the certificate holder is suitable for employment in the workplace.

### **NVQ/SVQ and VRQ assessment**

Centres are expected to identify any candidates with particular assessment requirements and to provide the necessary resources to facilitate the assessment of these candidates wherever possible for all types of qualifications.

NVQ/SVQs and VRQs are assessed against a set of detailed specifications, all of which must be achieved by candidates. The specifications may not be reworded in any way and none of the contents can be omitted. Candidates with special needs will be issued certificates in the usual way, provided that the evidence they present meets the requirements of the NVQ/SVQ or VRQ specifications in full.

Assessment must be undertaken without discrimination. Centres are encouraged to make available a wide range of assessment methods including, where appropriate, accreditation of prior achievement. Assessments should be monitored to ensure that they do not demand literacy, numeracy and verbal skills beyond those required to demonstrate occupational competence and that all assessment decisions are free from discrimination and made purely on the grounds of competence. Centres must keep records of any reasonable adjustments made and show these to the external verifier when he/she visits.

### **Accreditation of prior achievement**

Centres are expected to have a system for identifying what skills candidates already have and whether they can provide any evidence towards the NVQ/SVQ from their prior achievements. Centres are encouraged to recognise the contribution that experience from paid employment, voluntary or community work, work within the home and family responsibilities can make towards the achievement of an NVQ/SVQ.

### **Access to assessment**

See Annex 1.

### **Assessment materials**

Where Lantra Awards produces assessment materials (e.g. written tests), they will be valid and reliable, free from any bias, non-discriminatory, strictly relevant to the syllabus content and marked in a consistent and non-discriminatory way. All examiners will receive training to ensure that their marking is strictly in accordance with a pre-defined mark scheme. The administration arrangements relating to these types of qualification will ensure that no examiner marks a test answer paper where he/she knows the candidate or has any link to the examination centre.

### **Monitoring equal opportunities**

As part of the centre approval process for all qualifications, centres are encouraged to consider how their own equal opportunities policy will be applied to the programme they wish to offer and how to ensure that candidates and assessors are aware of the policy and its implementation.

Through the external verifier visit report form, external verifiers check that NVQ/SVQ centre records allow for equal opportunities monitoring and they monitor the arrangements made for any candidates with special needs.

External verifiers represent Lantra Awards and are expected to provide an independent and impartial service to their centres. External verifiers are required to inform Lantra Awards of circumstances which could compromise their independence and will not be allocated to centres where such circumstances exist.

### **Printed materials**

Lantra Awards produces a range of materials (e.g. candidate workbooks) to support its provision. These and all other printed materials, including assessment materials, will be non-discriminatory in style and content. For specific guidance about test materials please refer to the section on access to assessment above.

### **Appeals**

All appeals to Lantra Awards will be followed up in accordance with the documented appeals procedure and will be dealt with promptly and fairly.

## ANNEX 1

### REASONABLE ADJUSTMENTS

Reasonable adjustments arrangements are intended to:

- Provide candidates with the opportunity to demonstrate their skills or knowledge without being disadvantaged by the method of assessment
- Do not give the candidate an unfair advantage over other candidates
- Do not affect the assessment demands of the qualification
- Do not mislead anyone as to the candidate's achievements

The head of centre may authorise a senior member of staff to use his/her discretion as to the most appropriate reasonable adjustments for the candidate(s) for the particular test(s) concerned. With the exception of Braille papers, the reasonable adjustments listed below can be made without applying to Lantra Awards for prior approval. In all other cases centres must write to the Quality Assurance Manager at Lantra Awards at least 6 weeks in advance of the assessment to request approval. Lantra Awards will give approval in writing and all such correspondence must be retained with the centre's records.

Centres must keep records of all reasonable adjustments made together with supporting evidence using the *Reasonable Adjustments Form* in this booklet for this purpose. The records must be made available to the Lantra Awards inspector during test inspections (VRQs) or at the next external verifier visit (NVQ/SVQs). Records must be kept for 3 years from the date of the assessment.

If the guidance that follows does not cover the requirements for a particular candidate, centres should contact Lantra Awards for advice and approval.

#### **a) NVQ/SVQs**

For NVQ/SVQs, candidates may use mechanical, electronic and other aids in order to demonstrate their competence, provided that they are commercially available and could, therefore, be used in the workplace. Candidates may take as much time as necessary in order to complete their portfolio of evidence.

The holder of an NVQ/SVQ must have sufficient English, Welsh or Irish Gaelic to be able to carry out the competencies of an NVQ/SVQ in a workplace where only these languages are spoken. A portfolio may contain some evidence and assessment material in a language that is not English, Welsh or Irish Gaelic providing there is sufficient commentary in one of these languages for an external verifier and other external parties to make judgements without knowledge of the given language.

#### **b) Integrated training and assessment courses**

Candidates may use mechanical, electronic and other aids during training courses and during assessments, provided that they are commercially available and could, therefore, be used in the workplace.

#### **c) Written tests**

Some qualifications (e.g. VRQs) include written tests and the following guidance may also apply to NVQ/SVQs if written tests form part of the assessment strategy.

**All candidates with particular requirements may be allowed extra time of up to 25% of the total examination time.**

### **Candidates with visual impairment**

Candidates who are visually impaired may be allowed to:

- sit an alternatively-presented test paper (e.g. large type, coloured paper)
- have a reader or amanuensis
- use a word processor with a Braille keyboard
- use a speech synthesiser

Candidates who wish to work through the medium of Braille may be provided with Braille paper. Requests for Braille papers must be made in writing to the Quality Assurance Manager at Lantra Awards at least **10 weeks** before the date of the examination in order to allow sufficient time for Braille papers to be prepared.

Where papers are alternatively presented, centres are responsible for ensuring that test papers remain secure and that the wording of the questions is exactly the same as in the original version. Centres must retain copies of alternatively-presented papers for at least 12 weeks from the date of the test.

Candidates may produce their answers by means of:

- word processed documents
- braille
- handwriting
- through an amanuensis (writing from dictation or copying from manuscript)

Where applicable, a responsible person at the centre must then transfer the answers onto Lantra Awards answer sheets.

### **Candidates with auditory impairment**

Candidates who are deaf or hard of hearing may be allowed to:

- sit overwritten test papers (i.e. modify the non-technical carrier language of a test paper)
- have questions communicated in sign language
- have questions communicated by oral rephrasing
- have questions communicated by lip speaking

A centre may appoint an appropriate person to modify the written language of test papers so that candidates with auditory impairment can understand the instructions and questions, ensuring that they are expressed as simply and directly as possible. Questions must not be altered in such a way as to advantage or disadvantage the candidate. The technical language must not be interpreted or explained (i.e. alterations must be confined to carrier language only). A copy of the altered test paper must be sent to Lantra Awards at least one week before the test takes place.

Communicators may alter only the carrier language, and must not interpret or explain the technical language. They must not give factual help to the candidate or give any clues to the answer when communicating questions. They should communicate only as requested by the candidate and at the candidate's own pace. The candidate must complete the Lantra Awards answer sheets.

Centres are responsible for ensuring that test papers remain secure and that the person overwriting the papers or acting as a communicator is a qualified teacher of those with an auditory impairment or be appointed by a qualified teacher of those with an auditory impairment.

### **Candidates with permanent physical impairment**

Candidates with permanent physical impairments may be allowed to:

- use a reader or amanuensis
- use a word processor
- use a speech synthesiser
- use any mechanical or electronic aids that they normally use
- sit alternatively presented tests (e.g. on audio tape or via a computer)
- take supervised rest periods
- take the test in a non-standard location, away from other candidates

### **Candidates with specific learning difficulty/dyslexia**

Candidates with dyslexia may be allowed:

- a reader
- questions on audio tape or via a computer
- a separate room
- an amanuensis

Supporting evidence is required for candidates with specific learning difficulty/dyslexia making use of reasonable adjustments. The evidence must confirm that the candidate has specific learning difficulty/dyslexia. The candidate must have been assessed by a chartered or educational psychologist or by a qualified teacher for learners with specific learning difficulties. The qualification must be accredited by a national awarding body and be nationally available, encompassing diagnostic skills in specific learning difficulty/dyslexia.

The assessor must prepare a report detailing the nature and effects of the difficulties, together with an indication of the candidate's particular requirements. The report must not be more than three years old. The report must be sent to Lantra Awards at least one month before the date of the test.

### **Candidates for whom English is an additional language**

Candidates for whom English is an additional language and who are not fluent in English will be entitled to special assessment arrangements and may use bilingual dictionaries which do not contain definitions. Electronic dictionaries are not permitted.

### **Candidates with temporary impairment**

Candidate with temporary impairment may be allowed to:

- sit alternatively presented tests
- use a reader or amanuensis
- use a word processor
- use a speech synthesiser
- use any mechanical or electronic aids they normally use
- answer questions presented on audio tape or via a computer
- take supervised rest periods
- take the tests in a non-standard location, away from other candidates

### **Special consideration**

Special consideration may be given to candidates who were temporarily ill, injured or indisposed at the time of taking a test. Candidates may be eligible for special consideration if:

- any part of a test is missed due to circumstances beyond the candidate's control (eg recent personal illness, accident, bereavement)
- performance in a test is affected by unforeseen circumstances (eg recent injury, illness, indisposition, bereavement, serious disturbance during the test)
- alternative assessment arrangements made for a candidate with a permanent or long-term disability proved inappropriate or inadequate

Special consideration will not be given if any part of the test is missed due to personal arrangements such as holidays or unauthorised absence. Lantra Awards reserves the right to require a candidate to retake the test on the next occasion that it is available where there is any doubt as to whether special consideration should be given or where the candidate's performance was so badly affected that it is impossible to make a judgement about whether they should be awarded a pass.

To apply for special consideration, centres should complete a 'Request for special consideration form' (Annex 3) and return it within 5 days of the date of the test.

A request for special consideration must be accompanied by medical evidence where appropriate, an estimated mark for the candidate concerned and details of other candidates within the group who are, in the centre's estimation, at a comparable standard. If an application for special consideration is accepted, Lantra Awards will review the candidate's performance in the part(s) of the test(s) which have been completed, taking into account all the available evidence to compensate for the adverse circumstances. Where the candidate has also compiled a portfolio of evidence (ie for qualifications which include both tests and portfolios), Lantra Awards may require the portfolio to be submitted for comparison and to help form a judgement about the candidate's standard of work.

Requests for special consideration will not be accepted after test results have been issued.

### **Monitoring and evaluation**

Lantra Awards monitors the use of reasonable adjustments within centres through its test inspectors and external verifiers. The external verifier visit report form allows external verifiers to comment on how the centre meets the needs of candidates with particular requirements. If inspections and/or external verification reveal that centres have made reasonable adjustments without maintaining records as specified above, or without requesting approval from Lantra Awards where necessary, this will be recorded as a non-compliance which may lead to sanctions.

Where requests are received for reasonable adjustments which are not specifically covered in the guidance above, these will be reviewed by the Quality Committee to determine whether the guidance should be revised.

Periodically, centres will be contacted to request feedback on how well the provision for reasonable adjustments meets their needs. Again, suggestions for improvement will be put to the Quality Committee.

**ANNEX 2**

**REASONABLE ADJUSTMENTS NOTIFICATION FORM**



**Please complete this section in BLOCK CAPITALS**

Centre name: .....

Candidate name: .....

Qualification title: .....

Unit number: .....

Date of test: .....

**Nature and degree of particular requirement(s) of candidate**

Please give details: .....

.....

.....

.....

.....

**Supporting documentation held by centre**

Please give details: .....

.....

.....

.....

Using the tick boxes overleaf, please indicate all alternative assessment arrangements made for this candidate.

<p><b>THE CANDIDATE HAD:</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Additional time (up to 25%)</li> <li><input type="checkbox"/> Supervised rest periods.</li> <li><input type="checkbox"/> Large or otherwise modified type question papers.</li> <li><input type="checkbox"/> Papers on computer</li> <li><input type="checkbox"/> A speech synthesiser</li> <li><input type="checkbox"/> Braille papers</li> <li><input type="checkbox"/> Papers on audio tape</li> <li><input type="checkbox"/> Large type answer sheets</li> <li><input type="checkbox"/> Answers dictated and transferred to answer sheet</li> <li><input type="checkbox"/> Answers on computer</li> <li><input type="checkbox"/> A reader</li> <li><input type="checkbox"/> An amanuensis</li> <li><input type="checkbox"/> A communicator</li> <li><input type="checkbox"/> A lip speaker or oral rephraser</li> <li><input type="checkbox"/> Overwritten test papers</li> <li><input type="checkbox"/> A computer or word processor</li> <li><input type="checkbox"/> A non-standard location</li> <li><input type="checkbox"/> A separate room</li> <li><input type="checkbox"/> A bi-lingual dictionary</li> <li><input type="checkbox"/> Transcription</li> </ul>	<p>This form must be retained at the centre, together with supporting evidence. The form and evidence must be made available to a Lantra Awards test inspector and/or external verifier.</p> <p>I certify that:</p> <ul style="list-style-type: none"> <li>• the details I have given are accurate</li> <li>• additional special arrangements were approved by Lantra Awards in advance of the test (attach a copy of the approval letter and give details of what these arrangements were below )</li> </ul> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <p>.....</p> <ul style="list-style-type: none"> <li>• the signatory is a senior member of staff who has been authorised by the head of centre to make special arrangements</li> </ul> <p>Name: .....</p> <p>Position: .....</p> <p>Signature: .....</p> <p>Date: .....</p>
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**ANNEX 3**

**REQUEST FOR SPECIAL CONSIDERATION**



**Please complete this section in BLOCK CAPITALS**

Centre/training provider: .....

Candidate's full name: .....

Qualification title: .....

Unit number: .....

**Estimate of candidate performance**

Estimated test result (please circle):      Pass                      Fail

Candidates considered to be of comparable standard in the test concerned:

Candidate name: .....

Candidate name: .....

Candidate name: .....

**Reason for request**

.....  
.....  
.....  
.....

I certify that:

- the details provided are accurate and fair
- the centre will abide by Lantra Awards' decision
- the signatory is senior member of staff who has been authorised by the head of centre

Name: ..... Position: .....

Signature: ..... Date: .....

Please send this form to Lantra Awards immediately after the test concerned.

## **MALPRACTICE PROCEDURE**

### **Introduction**

Awarding bodies have rigorous quality assurance procedures to ensure that certificates are only issued to candidates who have reached the standards required and deserve to achieve the qualification. It is important to protect the credibility and quality the qualifications and, for this reason, Lantra Awards has developed a procedure for dealing cases where any kind of malpractice is suspected. It is designed to ensure that any malpractice cases are thoroughly investigated and that appropriate action is taken where necessary.

### **Malpractice**

Malpractice might vary from one qualification to another, depending on its purpose and structure. For NVQs/SVQs malpractice is defined in the NVQ Code of Practice (NVQs) and the SVQ Accreditation Criteria and Guidance (April 1999). The following list is not exhaustive, but is intended to give an indication of what the term malpractice means in the context of training, assessment and certification. Malpractice includes:

### **Candidates/trainees**

- falsifying records
- pretending to be someone else
- failing to disclose a medical condition which might jeopardise the safety of themselves or other people
- selling, lending or otherwise misusing skills identity cards
- cheating during tests

### **Centres, training providers, instructors or assessors**

- giving deliberately misleading information
- falsifying records
- allowing blank or unsigned certificate or skills identity card request forms to be issued to another party
- failing to carry out assessments as required for the qualification concerned
- copying test papers without authorisation
- failing to carry out adequate internal quality assurance procedures
- submitting false claims for certificates or skills identity cards
- regularly failing to settle accounts within the time specified without good reason
- failing to co-operate with anyone carrying out quality assurance checks
- misusing the Lantra Awards logo or Lantra Awards materials
- failing to act in accordance with the conditions of approval as an instructor, trainer, assessor, centre or training provider

## **Investigation**

If an instructor, assessor, centre or training provider suspects any form of malpractice, this must be reported to Lantra Awards for investigation.

Where malpractice is suspected, it is essential that all relevant information is gathered and that the circumstances are fully investigated. All parties are, therefore, expected to co-operate fully with investigations into any suspected cases of malpractice.

As soon as Lantra Awards suspects that a case of malpractice has been identified, we will notify the parties concerned and ask for a written account of the circumstances surrounding the case. It may be necessary to consult with other people in order to get a full picture.

As far as possible, investigations will be carried out discreetly and in the context of a routine quality assurance check. Those who need to know about the suspected malpractice (for example the external verifier for a particular centre, the Lantra Awards Quality Strategy and Monitoring Group, the Lantra Awards Board of Directors) will be informed of the situation and will be updated as matters progress.

## **Sanctions**

Where investigations show that malpractice has occurred, Lantra Awards will take appropriate action. This could include:

- a temporary or permanent ban on attending Lantra Awards courses or registering for other qualifications
- a temporary or permanent suspension of approval as an instructor, trainer or assessor
- suspension or withdrawal of approval as a training provider or as a centre
- temporary or permanent suspension from the Lantra Professional Register
- withdrawal of certificates or cards
- cancellation of test results

Trainees, instructors, assessors, training providers or centres may appeal against the sanction(s) imposed, using the Lantra Awards appeals procedure. Other matters may be handled using the complaints procedure.

## QUERIES PROCEDURE

The queries procedure may be used by Lantra Awards approved centres. The procedure applies to the results of assessments for National/Scottish Vocational Qualifications (NVQs/SVQs) and Vocational Related Qualifications (VRQs). Candidates who want to query results must do so through the centre at which they were registered for the assessment results that are under query.

Lantra Awards will make every effort to resolve any query quickly and will make at least an initial response within 5 working days. A written response will be given to all queries within a further 10 working days from the receipt of the query. Lantra Awards may contact the centre for clarification and/or additional details.

There is a fee per query per candidate. See the current Lantra Awards Fees List. The fee per candidate is reduced where an query refers to 10 or more candidates from the same centre. Where an query results in changes to the assessment results then any fees paid as part of the appeals process will be refunded.

Please return the query form, the query fee (cheques made payable to Lantra Awards Ltd) and any supporting information to:

The Quality Assurance Manager  
Lantra Awards  
Lantra House  
Stoneleigh Park  
Coventry  
Warwickshire  
CV8 2LG.

**ANNEX 1**



**QUERY FORM**

Please complete the attached form in block capital letters  
Attach additional paper as required

Centre Name	
Centre Number	
Title of qualification to which the query refers	
Date of assessment to which the query refers	
Full name of candidate to which the query refers (please attach list for group enquiry)	
Detail nature of query	

**For internal use only:**

Date query received	(Date)
Date acknowledged (within 5 working days)	(Date)
Date referred to assessor	(Date)
Date report issued	(Date)
Date referred to Quality Committee	(Date)

## COMPLAINTS PROCEDURE

### Introduction

The complaints procedure may be used by centres, training providers, instructors, assessors or candidates. The procedure applies to any of Lantra Awards' qualifications or training programmes. Complaints may be made about any aspect of the service provided by Lantra Awards (or its representatives, such as instructors or external verifiers). Occasionally, candidates/trainees may wish to complain to Lantra Awards about the service they have received from their centre/training provider. Where appropriate centres' internal processes should be exhausted before a complaint is raised with Lantra Awards.

If, in the view of Lantra Awards, the complaint is purely an internal matter, the correspondence will be copied to the relevant parties for comment and the action taken to resolve the matter. Where the complaint relates to the quality of training, the assessment process, raises questions about the continuation of the centre's approval, or any other matter that is of direct concern to Lantra Awards, the complaint will be investigated.

Under its ISO 9001:2000 procedures, a log of all complaints is maintained to make sure that appropriate action is taken. The log is monitored to identify shortcomings in our service to customers. The Lantra Awards Quality Committee receive a report on complaints at each meeting, and may require additional action to be taken, especially if any particular trends are identified.

### Procedure

A complaint will be logged as such if:

- the customer is clearly stating either verbally or in writing that they want to make a complaint OR
- the customer is unhappy that a member of staff is unable to resolve an enquiry to their satisfaction and the member of staff asks the customer if they wish to make a formal complaint

Complaints made in writing must be sent to the Quality Assurance Manager, Lantra Awards, Lantra House, Stoneleigh Park, Coventry, Warwickshire CV8 2LG or emailed as a complaint to [awards@lantra.co.uk](mailto:awards@lantra.co.uk). The feedback from at Annex 1 can be used to feedback to Lantra Awards, including complaints.

Lantra Awards will make every effort to resolve any complaint quickly and will make at least an initial response within 5 working days. A written response will be given to all written complaints (letter or email) within a maximum of 10 working days from the receipt of the complaint.

The relevant parties will be contacted to give an account of the matters that are the subject of the complaint. In cases where a complaint cannot be resolved to the satisfaction of all parties concerned, the final decision will rest with the Lantra Awards Quality Committee.

There is no fee for submitting a complaint.

If, at any point, any of the parties involved wish to place the matter in the hands of their solicitors, Lantra Awards will make no further attempt to resolve the issue and will wait for legal action to take its course. This does not, of course, prevent any of the parties seeking legal advice.

## **APPEALS PROCEDURE**

### **Introduction**

The appeals procedure applies to any of Lantra Awards qualifications or training courses (including technical evaluations, technical standards courses or re-certification events for instructors).

### **Appeals**

Appeals can only be made to Lantra Awards where Lantra Awards has the power to change a decision, for example where:

- Approval as a centre or registration as a training provider or instructor has been refused, withdrawn or suspended
- There is disagreement with the action points recorded by the external verifier (NVQ/SVQ and sector schemes)
- The candidate has failed a test

**All other matters may be addressed through the Lantra Awards complaints procedure.**

Appeals can be made by centres, training providers, instructors or candidates. Where a candidate's appeal relates to the result of a test which is set and marked by Lantra Awards, the appeal can be made direct to Lantra Awards. Where an appeal is made by a candidate for NVQ/SVQs or sector schemes, the appeal must be made to the centre or training provider in the first instance using the centre's internal appeals procedures. Candidates can only appeal to Lantra Awards if the centre or training provider's internal appeals procedures have been exhausted. The candidate should provide Lantra Awards with as much detail as possible relating to the internal appeals procedure, copies of correspondence, minutes of meetings and any other relevant materials.

### **Making an appeal**

Lantra Awards will make every effort to resolve any appeal quickly and will make at least an initial response within 5 working days.

All appeals must be submitted to the Quality Assurance Manager at Lantra Awards together with the fee (see Lantra Awards Fees List). The appeal must be made on the appeal form (Annex 1), including reasons why the appeal is being made, the dates of relevant visits/events and the names of the people involved.

### **Investigating an appeal**

#### **a) Staff review**

Lantra Awards will make every effort to resolve any appeal quickly and will acknowledge receipt of an appeal within 5 working days. On receipt of an appeal and supporting documentation, the information will be reviewed by the Quality Assurance Manager of Lantra Awards (or a Lantra Awards Manager), who has had no previous involvement with the case.

Lantra Awards may contact the parties involved for further information where necessary, for example a Chief Verifier (NVQ/SVQs), Chief Examiner (VRQs), the relevant sector scheme sub training committee (sector schemes) or to the instructor delivering an instructor training course.

It may be necessary to arrange one or more meetings to resolve the matter. Lantra Awards may invite a chief verifier (or other subject specialist) to be present if appropriate. Legal representatives (acting on behalf of centres/training providers, candidates or Lantra Awards) will not be permitted to attend such meetings. Meetings will be held at a mutually convenient location. Reasonable travel expenses will be refunded if the appeal is upheld. Lantra Awards will not normally pay accommodation expenses unless, in exceptional circumstances, this has been agreed in advance. Attendance fees will not be paid.

The person or organisation making the appeal will be notified in writing of the outcome of the appeal within 10 working days. If further information is required or meetings need to be arranged so that the review cannot be concluded within this timescale, the appellant will be notified of a date, no more than one calendar month from the date the appeal was received by Lantra Awards, when the review will be concluded. Where appropriate, the appeal fee will be refunded at this stage.

**b) Referred to Quality Committee**

If the person or organisation making the appeal is not satisfied with the outcome, the matter will be referred to the Lantra Awards Quality Committee. The committee normally meets every 4-6 months, so it may be necessary for Lantra Awards to arrange an extraordinary meeting which will meet no more than one calendar month from the date the appeal was referred to the committee. To hear an appeal, there must be at least 3 Committee members at the extraordinary meeting.

An Appeals Consultant will also attend any committee meetings at which appeals are referred to. This person is entirely independent therefore is not a member of the Lantra Awards board or other committees, or a Lantra Awards employee, examiner, external verifier, instructor, training provider or centre either now or within the last 7 years. The Appeals Consultant will be present to hear the appeal and will be involved in the decision making process to resolve the appeal.

The person making the appeal may attend the committee meeting in person if they wish. Legal representatives for any party will not be allowed to attend. Reasonable travel expenses will be refunded if the appeal is upheld. Lantra Awards will not normally pay accommodation expenses unless, in exceptional circumstances, this has been agreed in advance. Attendance fees will not be paid.

The person or organisation making the appeal will be notified in writing of the outcome of the committee meeting within 5 working days of the committee meeting date. Where appropriate, the appeal fee will be refunded at this stage.

**c) Independent adjudication**

If the person or organisation making the appeal is still not satisfied, the matter will be referred to an independent adjudicator. This person will not be a member of the Lantra Awards board or other committees, or a Lantra Awards employee, examiner, external verifier, instructor, training provider or centre either now or within the last 7 years. The independent adjudicator will review all the materials connected with the case and will provide a written decision within 10 working days from the date the appeal was referred to him/her. The independent adjudicator's decision concludes the Lantra Awards appeals procedure.

### **Action after the appeal**

In some instances, it is possible that the appeal may provide evidence to suggest that other candidates, centres, training providers or instructors could have been affected in the same way as the person or organisation making the original appeal. Lantra Awards would take this into account to ensure that, wherever possible, the effect of any such errors were eliminated.

For example, if it is shown that a test paper was incorrectly marked, the work of the examiner(s) involved would be reviewed to ensure that other candidates were not affected. If similar errors were discovered, Lantra Awards would remark all the relevant test papers and, where necessary, issue fresh results to any candidates affected.

### **Monitoring**

The details of all appeals are reported to the next Quality Committee and the number of appeals received in each year are monitored. The Committee will evaluate each appeal to identify any improvements which could be made to Lantra Awards practices to avoid similar circumstances arising again in the future.



**ANNEX 1**

**APPEALS FORM**

**Your name:** \_\_\_\_\_

**Your address:** \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

- 1 Are you making your appeal as a:  
Candidate / instructor / training provider / centre / (please circle)  
Other .....
- 2 If you are a candidate and your appeal is about an NVQ/SVQ or a sector scheme, did you refer your appeal to the centre first?  
**YES / NO** (please delete as applicable)
- 3 Have you attached the appeal fee (cheques made payable to Lantra Awards Ltd)  
**YES / NO** (please delete as applicable)
- 4 Have you attached as much information as you can about the following:
  - Exactly what you are appealing against
  - The circumstances surrounding the appeal
  - The dates of key events
  - The names and contact details for key people involved
  - Copies of any relevant correspondence or other materials

Please return this cover sheet, the appeal fee and the supporting information to:

The Quality Assurance Manager,  
Lantra Awards, Lantra House, Stoneleigh Park, Coventry, Warwickshire CV8 2LG.

**For internal use only:**

Date received	(Date)
Date acknowledged (within 5 working day)	(Date)
Date staff review concluded	(Date)
Report issued* (within 10 working days)*	(Date)

*\*If review cannot be concluded within this timescale, the appellant will be notified of a conclusion date, no more than one calendar month from the date the appeal was received.*

Appeal fee returned (tick)	Yes	No
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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Date referred to Quality Committee	(Date)
Date of Quality Committee	(Date)
Date report issued (Within 5 working days of committee meeting)	(Date)

Appeal fee returned (tick)	Yes	No
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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Date referred to independent adjudicator	(Date)
Date report issued (within 10 working days)	(Date)

Appeal fee returned (tick)	Yes	No
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## CHILDREN AND VULNERABLE ADULTS PROTECTION POLICY

This policy is designed to protect children, young people under the age of 18 and vulnerable people of all ages from any form of unacceptable behaviour including sexual misbehaviour, physical acts, inappropriate remarks, suggestive gestures, pictures or other material, or other forms of abuse such as physical violence or bullying.

Training providers, instructors, assessors, external verifiers must:

- Take all reasonable steps to ensure the health, safety and welfare of any child or vulnerable person
- Ensure that the activities which they direct are appropriate to the age, maturity and ability of children participating.
- Consistently display high standards of personal behaviour and appearance. Remember that children regard adults as role models and ensure your behaviour, language, gestures etc. are appropriate and above reproach
- Avoid spending time alone with children, including car journeys. Meetings with individual children should take place as openly as possible and always with the full knowledge of another responsible person.
- Not make any unnecessary physical contact with children. If you accidentally hurt a child, or cause distress in any way, report the incident as soon as possible. Parents/carers should also be informed of the occurrence.
- Record any allegations

To minimise opportunities for children to suffer harm of any kind whilst participating in Lantra Awards courses you should ensure that school/organisation staff and/or parents/carers are given full information about the course programme and the supervision arrangements (including ratio of the number of instructors to children). Written parental consent for the child's participation must be obtained.

You should take appropriate action if you become aware of anyone physically, emotionally or sexually abusing a child. Report any evidence or reasonable suspicion that a child has been physically, emotionally or sexually abused whether by an adult or another child to the people or agencies whose role is to protect them (e.g. parents, police or social services).

Training providers should familiarise themselves with the terms of the Protection of Children Act 1999. A copy of 'A Practical Guide to the Act for all Organisations Working With Children can be found on the Criminal Records Bureau website ([www.crb.gov.uk](http://www.crb.gov.uk)). If Training Providers are regularly running courses where there is substantial unsupervised access to children they are strongly advised to visit the website for information on disclosure and registration procedures.

## **ACCIDENT REPORTING PROCEDURE**

1. All accidents, however minor, must be reported to Lantra Awards. This includes accidents involving personal injury or significant damage to equipment or property.
2. The accident must be reported by the instructor or training provider on the day by phone or fax to the Customer Services Manager, to the relevant Development Manager or the Managing Director.
3. If the accident is reportable under RIDDOR, the training provider must inform the employer who will report the accident to HSE.
4. The training provider or instructor must complete the attached Accident Report Form (Annex 1) and send it to the Customer Services Manager within 3 days of the date of the accident.
5. In the case of a reportable accident, contact details for other course participants must be included. If they saw what happened, other course participants should produce a written account of what happened.
6. If any treatment was given at the scene, details should be recorded on the form.
7. It is helpful to attach relevant photographs (e.g. of equipment and venue) to the Accident Report Form.
8. Lantra Awards will forward a copy of all Accident Report Forms to the Finance Department, who will issue insurance claim forms where appropriate.

### **Investigation**

9. If the accident is reportable and HSE decide to investigate, they will contact Lantra Awards for confirmation that the course was registered and that the instructor was approved for that course. A copy of the relevant instructor manual will be supplied.
10. The relevant Technical Adviser will review the Accident Report Form, accompanying documentation and photographs. They will also contact the training provider and the instructor concerned to offer support and to seek clarification or further information where necessary.
11. Depending on the outcome of the Technical Adviser's review, the following actions may be taken by Lantra Awards:
  - Quality audit visit by a Technical Standards Verifier or Technical Adviser
  - Information which may help to avoid similar accidents occurring in the future being disseminated to providers, instructors or other interested parties (e.g. manufacturers, industry groups) through the appropriate channels
  - Amendments to instructor manuals
  - Changes to risk assessment procedures
  - Logging as an Opportunity to Improve (in accordance with Lantra Awards ISO 900:2000 procedures)



**Injuries**

Details of injury (if any):

What action was taken?

Was any treatment given at the scene (if so what materials were used in treatment)?

If hospital treatment was needed, which hospital did the injured person go to?

How did they get there?

**Details of other course participants (reportable accidents only)**

**Please sign and date** (the person filling in the form)

Signature ..... Date .... / .... / .....

The person who has had the accident should sign and date if they have not filled in the form (as confirmation that they agree the accident recorded is a true and accurate record)

Signature..... Date .... / .... / .....

Copy to: Injured person  
Employer

Return within 3 days of the accident to: Customer Services Manager  
Lantra Awards  
Lantra House  
Stoneleigh Park  
Coventry  
Warwickshire  
CV8 2LG

## HEALTH AND SAFETY STATEMENT

Lantra Awards considers that it has a duty to help reduce accidents and ill health in the land-based industry. It aims to fulfil this duty by creating a greater understanding of health and safety matters in all of its training programmes. Safe systems and safe methods of work must form an integral part of all training activities, providing a cornerstone on which to build health and safety awareness.

The Health and Safety at Work Act 1974 places a general duty on employers to ensure the health, safety and welfare of their employees. A similar obligation is placed on training establishments to safeguard trainees. The Act requires employers to provide a safe working environment, safe access to and from the workplace, safe equipment and machinery. In addition, they must provide all employees and trainees with information, instruction, training and supervision, together with adequate facilities and arrangements for their welfare.

Legislation also places general duties on employees who must take reasonable care for health and safety of themselves and other who may be affected by their actions or omissions. Employees must co-operate with their employer in health and safety matters; and not interfere with, or misuse anything provided under the various regulations in the interest of health and safety. A similar obligation is placed on trainees attending a Lantra Awards training course.

The correct and safe use of plant and equipment is of utmost importance. Employers and employees should never attempt to use the items of plant or equipment outside of its design purpose and must comply in full with manufacturer's instructions at all times. The general approach to using plant and equipment should be to create a safe and productive environment, therefore reducing the risk of injury whilst maintaining production outputs. Within the training environment health and safety issues should always be of paramount importance and productivity is not a priority.

Employers must ensure that supervisors responsible for overseeing the use of plant and equipment have received adequate training and are competent, thus providing a safe working environment. This will enable the employer to reduce the risk of accidents happening as a result of supervisors not understanding the limitations placed on plant and equipment. Additional requirements in health and safety and the use of plant and equipment are placed upon employers to regularly review the performance of employees. This could lead to refresher and familiarisation training resulting from a changing working environment, technical advancements, skill fade, issue of new equipment or attachments and amendments to legislation. Quality assurance arrangements ensure that all instructors delivering Lantra Awards training courses are suitably trained and competent and are subject to regular updating and training audit visits.

To maintain a trained and competent workforce, the employer should carry out risk assessments to identify the competence needs of their employees and determine the aims, objectives and extent of any training to meet competence requirements. Risk assessments should be revised regularly. In addition, site-specific risk assessments should be completed for all practical training events.

The training environment must provide close and continuous supervision of trainees. This is particularly important for young and inexperienced trainees who need to gain a better understanding of health and safety matters associated with land-based plant/equipment and general land-based activities.

As well as general health and safety issues associated with plant and equipment, special attention should be given to working at heights, confined spaces, manual handling, hazardous substances and the use of personal protective equipment (PPE). The need to follow all given instructions must be strongly emphasised.