

# Specification

Edexcel  
NVQ/competence-based

## Edexcel Level 2 NVQ Certificate in Custodial Care (QCF)

First registration November 2011

Issue 3



Edexcel, a Pearson company, is the UK's largest awarding organisation offering vocational and academic qualifications and testing, to employers, training providers, colleges, schools, and other places of learning in the UK, and in over 85 countries worldwide.

Our specialist suite of qualifications include NVQs, Apprenticeships, WorkSkills, Functional Skills, Foundation Learning, as well as our exclusive range of BTECs, from entry level right through to Higher National Diplomas.

This specification is Issue 3. Key changes are sidelined. We will inform centres of any changes to this issue. The latest issue can be found on the Edexcel website: [www.edexcel.org.uk](http://www.edexcel.org.uk).

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## Qualification title covered by this specification

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This specification gives you the information you need to offer the Edexcel Level 2 NVQ Certificate in Custodial Care (QCF):

<b>Qualification title</b>	<b>Qualification Number (QN)</b>	<b>Accreditation start date</b>
Edexcel Level 2 NVQ Certificate in Custodial Care (QCF)	600/3548/1	01/11/2011

This qualification has been accredited within the Qualifications and Credit Framework (QCF) and is eligible for public funding as determined by the Department for Education (DfE) under Section 96 of the Learning and Skills Act 2000.

The qualification title listed above features in the funding lists published annually by the DfE and the regularly updated website. It will also appear on the Learning Aim Reference Application (LARA), where relevant.

You should use the QCF Qualification Number (QN), when you wish to seek public funding for your learners. Each unit within a qualification will also have a unique QCF reference number, which is listed in this specification.

The QCF qualification title and unit reference numbers will appear on the learners' final certification document. Learners need to be made aware of this when they are recruited by the centre and registered with Edexcel.

This title replaces the following qualification from January 2011:

<b>Qualification title</b>	<b>Qualification Accreditation Number (QAN)</b>	<b>Accreditation start date</b>	<b>Accreditation end date</b>
Edexcel Level 2 NVQ in Custodial Care	500/2247/7	01/08/2007	31/12/2010

# Key features of the Edexcel Level 2 NVQ Certificate in Custodial Care (QCF)

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This qualification:

- is nationally recognised
- is based on the custodial care National Occupational Standards (NOS). The NOS, assessment requirements/strategy and qualification structure(s) are owned by Skills for Justice.

The Edexcel Level 2 NVQ Certificate in Custodial Care (QCF) has been approved as a component for the Custodial Care Apprenticeship framework.

## What is the purpose of this qualification?

The Edexcel Level 2 NVQ Certificate in Custodial Care (QCF) is for prison staff employed on officer support grades, who do not have direct contact with prisoners. Typical roles include staffing prison gates, searching visitors, operating electronic monitoring equipment, and escorting contractors on prison premises.

## Who is this qualification for?

This qualification is for all learners aged 18 and above who are capable of reaching the required standards.

Edexcel's policy is that the qualification should:

- be free from any barriers that restrict access and progression
- ensure equality of opportunity for all wishing to access the qualification(s).

## What are the benefits of this qualification to the learner and employer?

This qualification will form part of the Apprenticeship in Custodial Care at Level 2.

## What are the potential job roles for those working towards this qualification?

- Prison Officer.

## What progression opportunities are available to learners who achieve this qualification?

Learners who have completed the Edexcel Level 2 NVQ Certificate in Custodial Care (QCF) could progress into further employment as prison officers after undergoing Prison Officer Entry Level Training, at which point they will be able to take the Edexcel Level 3 NVQ Diploma in Custodial Care (QCF). They could also take the:

- BTEC Level 3 Diploma in Knowledge of Custodial Care (QCF)
- BTEC Level 3 Award in the Delivery of Conflict Management
- BTEC Level 3 Certificate in Public Services (QCF)
- BTEC Level 3 Subsidiary Diploma in Public Services (QCF)
- BTEC Level 3 Diploma in Public Services (Uniformed) (QCF)
- BTEC Level 3 Extended Diploma in Public Services (Uniformed) (QCF).

Further information is available in *Annexe A*.

## What is the qualification structure for the Edexcel Level 2 NVQ Certificate in Custodial Care (QCF)?

To achieve the Edexcel Level 2 NVQ Certificate in Custodial Care (QCF) learners must achieve four mandatory units and at least four optional units for a total minimum credit value of 23.

Individual units can be found in the *Units* section.

### Mandatory units

Unit reference	Unit title	Credit	Level
1	Equality and diversity (Y/601/5312)	6	3
2	Contribute to the quality of team working (F/601/2419)	3	3
3	Ensure your own actions reduce risks to health and safety (K/502/7986)	2	3
4	Minimise and deal with disruptive and obstructive behaviour (F/602/5736)	3	2

### Optional units

Unit reference	Unit title	Credit	Level
5	Search vehicles in a custodial context (L/601/3668)	2	2
6	Search individuals, premises and surrounding areas (M/602/5716)	3	2
7	Maintain security at entry and exit points (D/503/3753)	3	2
8	Contribute to the security of the custodial environment (T/602/5717)	5	2
9	Drive vehicles to carry out custodial duties (F/602/2643)	2	2
10	Assist in the control of incidents and emergencies (F/602/5719)	3	2
11	Contribute to the adjudication process (F/602/5722)	3	2
12	Contribute to planning the installation and decommissioning of electronic monitoring equipment (L/602/5724)	3	2
13	Install and decommission electronic monitoring equipment (R/602/5725)	3	2

<b>Unit reference</b>	<b>Unit title</b>	<b>Credit</b>	<b>Level</b>
14	Help people to comply with electronic monitoring requirements (Y/602/5726)	3	2
15	Identify electronic monitoring incidents and initiate a response (H/602/5728)	3	2
16	Follow up electronic monitoring incidents in the field (K/602/5729)	3	2
17	Maintain security using screening equipment (H/602/5731)	2	2
18	Contribute to preparing and implementing voice verification monitoring (M/602/5733)	3	2
19	Establish and maintain voice verification monitoring in the field (A/602/5735)	3	2
20	Research, prepare and present information from a variety of sources (R/602/5739)	2	2
21	Provide effective customer service (J/602/5740)	2	2
22	Enter and find data using a computer (L/602/5741)	2	2

## How is the qualification graded and assessed?

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The overall grade for the qualification is a 'pass'. The learner must achieve all the required units within the specified qualification structure.

To pass a unit the learner must:

- achieve **all** the specified learning outcomes
- satisfy **all** the assessment criteria by providing sufficient and valid evidence for each criterion
- show that the evidence is their own.

The qualifications are designed to be assessed:

- in the workplace or
- in conditions resembling the workplace, as specified in the assessment requirements/strategy for the sector, or
- as part of a training programme.

### Assessment requirements/strategy

The assessment requirements/strategy for this qualification has been included in *Annexe D*. It has been developed by Skills for Justice in partnership with employers, training providers, awarding organisations and the regulatory authorities. The assessment strategy includes details on:

- criteria for defining realistic working environments
- roles and occupational competence of assessors, expert witnesses, internal verifiers and standards verifiers
- quality control of assessment
- evidence requirements.

Evidence of competence may come from:

- **current practice** where evidence is generated from a current job role
- a **programme of development** where evidence comes from assessment opportunities built into a learning/training programme whether at or away from the workplace
- the **Recognition of Prior Learning (RPL)** where a learner can demonstrate that they can meet the assessment criteria within a unit through knowledge, understanding or skills they already possess without undertaking a course of learning. They must submit sufficient, reliable and valid evidence for internal and standards verification purposes. RPL is acceptable for accrediting a unit, several units or a whole qualification
- a **combination** of these.

It is important that the evidence is:

<b>Valid</b>	relevant to the standards for which competence is claimed
<b>Authentic</b>	produced by the learner
<b>Current</b>	sufficiently recent to create confidence that the same skill, understanding or knowledge persist at the time of the claim
<b>Reliable</b>	indicates that the learner can consistently perform at this level
<b>Sufficient</b>	fully meets the requirements of the standards.

## Types of evidence

To successfully achieve a unit the learner must gather evidence which shows that they have met the required standard in the assessment criteria. Evidence can take a variety of different forms including the examples below. Centres should refer to the assessment strategy for information about which of the following are permissible.

- direct observation of the learner's performance by their assessor (O)
- outcomes from oral or written questioning (Q&A)
- products of the learner's work (P)
- personal statements and/or reflective accounts (RA)
- outcomes from simulation, where permitted by the assessment strategy (S)
- professional discussion (PD)
- assignment, project/case studies (A)
- authentic statements/witness testimony (WT)
- expert witness testimony (EPW)
- evidence of Recognition of Prior Learning (RPL).

The abbreviations may be used for cross-referencing purposes.

Learners can use one piece of evidence to prove their knowledge, skills and understanding across different assessment criteria and/or across different units. It is, therefore, not necessary for learners to have each assessment criterion assessed separately. Learners should be encouraged to reference the assessment criteria to which the evidence relates.

Evidence must be made available to the assessor, internal verifier and Edexcel standards verifier. A range of recording documents is available on the Edexcel website [www.edexcel.com](http://www.edexcel.com). Alternatively, centres may develop their own.

# Centre recognition and approval

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## Centre recognition

Centres that have not previously offered Edexcel qualifications need to apply for and be granted centre recognition as part of the process for approval to offer individual qualifications. New centres must complete both a centre recognition approval application and a qualification approval application.

Existing centres will be given 'automatic approval' for a new qualification if they are already approved for a qualification that is being replaced by the new qualification and the conditions for automatic approval are met. Centres already holding Edexcel approval are able to gain qualification approval for a different level or different sector via Edexcel online.

## Approvals agreement

All centres are required to enter into an approvals agreement which is a formal commitment by the head or principal of a centre to meet all the requirements of the specification and any linked codes or regulations. Edexcel will act to protect the integrity of the awarding of qualifications, if centres do not comply with the agreement. This could result in the suspension of certification or withdrawal of approval.

## Quality assurance

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Detailed information on Edexcel's quality assurance processes is given in *Annexe B*.

## What resources are required?

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Each qualification is designed to support learners working in the custodial care sector. Physical resources need to support the delivery of the qualifications and the assessment of the learning outcomes and must be of industry standard. Centres must meet any specific resource requirements outlined in *Annexe D: Assessment requirements/strategy*. Staff assessing the learner must meet the requirements within the overarching assessment strategy for the sector.

# Unit format

Each unit in this specification contains the following sections.

<b>Unit title:</b>					The unit title is accredited on the QCF and this form of words will appear on the learner's Notification of Performance (NOP).
<b>Unit reference number:</b>					This code is a unique reference number for the unit.
<b>QCF level:</b>					All units and qualifications within the QCF have a level assigned to them, which represents the level of achievement. There are nine levels of achievement, from Entry level to level 8. The level of the unit has been informed by the QCF level descriptors and, where appropriate, the NOS and/or other sector/professional.
<b>Credit value:</b>					All units have a credit value. The minimum credit value is one, and credits can only be awarded in whole numbers. Learners will be awarded credits when they achieve the unit.
<b>Guided learning hours:</b>					A notional measure of the substance of a qualification. It includes an estimate of the time that might be allocated to direct teaching or instruction, together with other structured learning time, such as directed assignments, assessments on the job or supported individual study and practice. It excludes learner-initiated private study.
<b>Unit summary:</b>					This provides a summary of the purpose of the unit.
<b>Assessment requirements/evidence requirements:</b>					The assessment/evidence requirements are determined by the SSC. Learners must provide evidence for each of the requirements stated in this section.
<b>Assessment methodology:</b>					This provides a summary of the assessment methodology to be used for the unit.
<b>Learning outcomes:</b>	<b>Assessment criteria:</b>	<b>Evidence type:</b>	<b>Portfolio reference:</b>	<b>Date:</b>	
			The learner should use this box to indicate where the evidence can be obtained eg portfolio page number.	The learner should give the date when the evidence has been provided.	
Learning outcomes state exactly what a learner should know, understand or be able to do as a result of completing a unit.		The assessment criteria of a unit specify the standard a learner is expected to meet to demonstrate that a learning outcome, or a set of learning outcomes, has been achieved.		Learners must reference the type of evidence they have and where it is available for quality assurance purposes. The learner can enter the relevant key and a reference. Alternatively, the learner and/or centre can devise their own referencing system.	

# Units



## **Unit 1: Equality and diversity**

**Unit reference number:** Y/601/5312

**QCF level:** 3

**Credit value:** 6

**Guided learning hours:** 30

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### **Unit summary**

To develop understanding of the promotion of equality and diversity with regards to learners, the organisation and the sector.

### **Assessment methodology**

This unit is assessed in the workplace or in conditions resembling the workplace. Learners can enter the types of evidence they are presenting for assessment and the submission date against each assessment criterion. Alternatively, centre documentation should be used to record this information.

## Learning outcomes and assessment criteria

Learning outcomes	Assessment criteria	Evidence type	Portfolio reference	Date
1 Understand the key features of a culture which promotes equality and values diversity	1.1 explain the meaning and benefits of diversity and the promotion of equality 1.2 explain forms of inequality and discrimination and their impact on individuals, communities and society 1.3 identify and outline the relevant legislation, employment regulations and policies and codes of practice relevant to the promotion of equality and valuing of diversity			
2 Understand the importance of the promotion of equality and valuing of diversity for effective work in the sector	2.1 explain how the promotion of equality and diversity can protect people from risk of harm 2.2 explain action taken to value individuals and its impact 2.3 explain good practice in providing individuals with information			

<p>3 Understand and demonstrate behaviour appropriate to the promotion of equality and valuing of diversity</p>	<p>3.1 explain and demonstrate ways of communication and behaviour which support equality and diversity</p> <p>3.2 explain impact of own behaviour on individuals and their experience of the organisation's culture and approach</p> <p>3.3 explain how own behaviour can impact on own organisation's culture</p> <p>3.4 explain how working with other agencies can promote diversity</p>			
<p>4 Understand how to actively help others in the promotion of equality and valuing of diversity</p>	<p>4.1 describe actions by individuals which can undermine equality and diversity and review strategies for dealing with these effectively</p> <p>4.2 explain strategies for dealing with systems and structures which do not promote equality and diversity</p>			
<p>5 Understand how to review own contribution to promoting equality and valuing diversity</p>	<p>5.1 identify own strengths and areas for development in promoting equality and valuing diversity, using reflection and feedback from individuals</p> <p>5.2 identify and use appropriate sources for support in promoting equality and valuing diversity, explaining why this is necessary</p>			

Learner name: \_\_\_\_\_

Date: \_\_\_\_\_

Learner signature: \_\_\_\_\_

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Assessor signature: \_\_\_\_\_

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*(if sampled)*

**Unit 2:** **Contribute to the quality of team working**

**Unit reference number:** F/601/2419

**QCF level:** 3

**Credit value:** 3

**Guided learning hours:** 15

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### **Unit summary**

This unit is about contributing to the quality of team working. The learner must contribute to the ongoing work of the team and also the development of the team so that it can improve its effectiveness and respond to changes in legislation, policies and practice.

### **Assessment requirements/evidence requirements**

There are no assessment requirements for this unit.

### **Assessment methodology**

This unit is assessed in the workplace or in conditions resembling the workplace. Learners can enter the types of evidence they are presenting for assessment and the submission date against each assessment criterion. Alternatively, centre documentation should be used to record this information.

## Learning outcomes and assessment criteria

Learning outcomes	Assessment criteria	Evidence type	Portfolio reference	Date
<p>1 Know and understand the principles that underpin effective team working</p>	<p>1.1 explain why effective team working is important</p> <p>1.2 describe the nature and limits of own role and how it relates to the work of others in the team and the wider organisation</p> <p>1.3 explain the importance of working within the limits of own competence, responsibility and accountability</p> <p>1.4 identify the factors that can contribute to effective team working</p> <p>1.5 identify the factors that can hinder effective team working and ways of addressing them</p> <p>1.6 explain why it is important to contribute to the review and evaluation of the team's work and to any changes that are made as a result</p> <p>1.7 identify relevant legislation, organisational policies and procedures and explain the impact they have on team working</p>			

<p>2 Be able to contribute to effective team working</p>	<p>2.1 organise own work to meet agreed team priorities</p> <p>2.2 use and maintain resources efficiently and effectively</p> <p>2.3 contribute to effective team working by communicating effectively, maintaining good working relationships, offering support, and dealing constructively with any issues that arise</p> <p>2.4 review and evaluate the team's work in conjunction with other team members</p> <p>2.5 monitor the quality of work and alert others to quality issues</p>			
<p>3 Be able to contribute to the development of team working</p>	<p>3.1 identify constructive ways in which own work and that of the team can be improved</p> <p>3.2 inform the relevant people promptly about any issues affecting team working and service effectiveness</p> <p>3.3 identify, in discussion with the team, any changes that need to be made and how these will be done</p> <p>3.4 make agreed changes to own work in a constructive and timely manner</p> <p>3.5 seek appropriate support when unsure about how to change own practice</p>			

Learner name: \_\_\_\_\_

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Assessor signature: \_\_\_\_\_

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Internal verifier signature: \_\_\_\_\_

Date: \_\_\_\_\_

*(if sampled)*



## Learning outcomes and assessment criteria

Learning outcomes	Assessment criteria	Evidence type	Portfolio reference	Date
<p>1 Understand legal and organisational requirements in relation to health and safety</p>	<p>1.1 describe the key features of the legislation, policies, procedures, codes of practice and guidelines in relation to duties for health and safety in the workplace</p> <p>1.2 explain the reasons why it is important to take action to reduce risks to health and safety in accordance with relevant legal and organisational requirements</p> <p>1.3 identify the risks to health and safety that may arise in the workplace, and describe the actions required to deal with them</p> <p>1.4 identify the 'responsible persons' to whom health and safety matters should be reported</p> <p>1.5 explain the importance of personal conduct and personal presentation in maintaining own health and safety and that of others</p>			

<p>2 Be able to identify hazards and evaluate risks in the workplace</p>	<p>2.1 identify aspects of the workplace and working practices which pose potential risks to self and others</p> <p>2.2 evaluate potentially harmful working practices identifying those which present the highest risk to self or others</p> <p>2.3 report high risk hazards to the 'responsible person'</p>			
<p>3 Be able to reduce risks to health and safety in the workplace</p>	<p>3.1 take action to deal with health and safety issues</p> <p>3.2 make suggestions for reducing risks to health and safety to the 'responsible persons'</p>			

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## **Unit 4: Minimise and deal with disruptive and obstructive behaviour**

**Unit reference number:** F/602/5736

**QCF level:** 2

**Credit value:** 3

**Guided learning hours:** 15

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### **Unit summary**

This unit is about acting in a way that does not provoke disruptive and obstructive behaviour, for example by use of language, actions and gestures. It also covers defusing situations and protecting yourself when dealing with people who become disruptive and obstructive, by withdrawing, if necessary, from a threatening situation.

This unit applies to operational staff working with individuals who may become disruptive or obstructive.

### **Assessment requirements/evidence requirements**

This unit requires the workplace assessment of occupational competence wherever practicable. For the knowledge and understanding component of the unit, assessment from a learning and development environment is allowed.

Individuals must demonstrate they have minimised and dealt with disruptive and obstructive behaviour within any legal and organisational guidelines.

### **Assessment methodology**

This unit is assessed in the workplace or in conditions resembling the workplace. Learners can enter the types of evidence they are presenting for assessment and the submission date against each assessment criterion. Alternatively, centre documentation should be used to record this information.

## Learning outcomes and assessment criteria

Learning outcomes	Assessment criteria	Evidence type	Portfolio reference	Date
<p>1 Understand the requirements and procedures for minimising and dealing with disruptive and obstructive behaviour</p>	<p>1.1 explain the importance of showing respect for people, their property and their rights, and how to do so</p> <p>1.2 give examples of behaviour and language that may inflame a situation</p> <p>1.3 explain the interpretation and use of body language</p> <p>1.4 describe the principles of risk assessment and its application to own work context</p> <p>1.5 explain the importance of planning how you will leave a situation if there is a physical risk, and how to do so</p> <p>1.6 give examples of the main signs that a situation could lead to disruptive and obstructive behaviour, and how to recognise these</p> <p>1.7 give examples of the types of constructive behaviour to take to defuse situations</p> <p>1.8 identify own organisation's procedures in regard to dealing with disruptive and obstructive behaviour</p>			

	<p>1.9 describe own legal responsibilities in regard to dealing with disruptive and obstructive behaviour</p> <p>1.10 describe the implications for own working environment of someone becoming disruptive and obstructive</p> <p>1.11 describe safe and appropriate defensive, withdrawal or intervention techniques</p> <p>1.12 identify the reports that have to be made and records that have to be kept when someone becomes disruptive and obstructive</p>			
<p>2 Be able to help to prevent disruptive and obstructive behaviour</p>	<p>2.1 communicate with people in a way that</p> <ul style="list-style-type: none"> <li>▪ shows respect for them, their property and their rights</li> <li>▪ is appropriate to them</li> <li>▪ is free from discrimination and oppressive behaviour</li> </ul> <p>2.2 explain clearly what is expected of them</p> <p>2.3 explain clearly own role and what has to be done</p> <p>2.4 minimise all actions or words that could trigger disruptive and obstructive behaviour</p>			

<p>3 Be able to deal with disruptive and obstructive behaviour</p>	<p>3.1 establish when a situation is leading to disruptive and obstructive behaviour</p> <p>3.2 establish as far as possible the cause of the behaviour</p> <p>3.3 assess whether there are immediate actions that can be taken to reduce the risk of disruptive and obstructive behaviour</p> <p>3.4 take action that</p> <ul style="list-style-type: none"> <li>▪ is unlikely to make the situation worse</li> <li>▪ is consistent with your organisation's policies and procedures, and your legal responsibilities</li> </ul> <p>3.5 take appropriate action to deal with a situation if there is a risk of disruptive and obstructive behaviour</p> <p>3.6 take action in a way that minimises the risk of injury to yourself and others</p> <p>3.7 report action and account for your intervention</p>			
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Learner name: \_\_\_\_\_

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*(if sampled)*



## **Unit 5: Search vehicles in a custodial context**

**Unit reference number:** L/601/3668

**QCF level:** 2

**Credit value:** 2

**Guided learning hours:** 10

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### **Unit summary**

This unit is about searching all types of passenger and goods vehicles using manual and electronic equipment.

### **Assessment requirements/evidence requirements**

This unit requires the workplace assessment of occupational competence wherever practicable. For the knowledge and understanding component of the unit, assessment from a learning and development environment is allowed.

### **Assessment methodology**

This unit is assessed in the workplace or in conditions resembling the workplace. Learners can enter the types of evidence they are presenting for assessment and the submission date against each assessment criterion. Alternatively, centre documentation should be used to record this information.

## Learning outcomes and assessment criteria

Learning outcomes	Assessment criteria	Evidence type	Portfolio reference	Date
1 Understand the requirements for searching vehicles	1.1 identify the legal and organisational requirements relating to carrying out vehicle searches  1.2 explain the procedures for recording and checking information about the vehicle, driver, passengers, contents, origin, destination and purpose  1.3 identify the signs of suspicious behaviour by drivers or passengers that could be suspicious  1.4 explain how to assess risks to security and safety posed by different kinds of vehicles and contents  1.5 describe the range of search methods and equipment that could be used to search a vehicle  1.6 describe the operation and maintenance of equipment used in vehicle searches  1.7 explain the procedures for dealing with unauthorised items and people discovered during searches			

<p>2 Be able to prepare to search vehicles</p>	<p>2.1 confirm and record the vehicle, its driver, passengers, contents, origin, destination and purpose</p> <p>2.2 carry out a preliminary check of the vehicle and the conduct of the people inside</p> <p>2.3 assess the risks presented by the vehicle</p> <p>2.4 select the most effective and efficient method of searching the vehicle</p>			
<p>3 Be able to search vehicles for unauthorised items and people</p>	<p>3.1 ensure the vehicle is parked in a designated search area</p> <p>3.2 select and use equipment and techniques appropriate to the type of vehicle and the assessed level of risk</p> <p>3.3 search the vehicle and its contents thoroughly in accordance with organisational procedures</p> <p>3.4 deal with unauthorised items and people according to legal and organisational requirements</p> <p>3.5 complete and process documentation relating to completed searches</p>			

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*(if sampled)*

## **Unit 6: Search individuals, premises and surrounding areas**

**Unit reference number:** M/602/5716

**QCF level:** 2

**Credit value:** 3

**Guided learning hours:** 10

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### **Unit summary**

This unit is about searching areas, premises and surrounding areas. The unit also covers carrying out rub-down searches and using electronic equipment to search people. Those with whom searches are being conducted may have special needs, be uncooperative and/or present varying levels of security risk. Also, they may have language or other communication difficulties.

This applies to operational staff who have to carry out straightforward searches as part of their duties.

### **Assessment requirements/evidence requirements**

This unit requires the workplace assessment of occupational competence wherever practicable. For the knowledge and understanding component of the unit, assessment from a learning and development environment is allowed.

Individuals must demonstrate they have searched individuals, premises and surrounding areas within any legal and organisational guidelines.

### **Assessment methodology**

This unit is assessed in the workplace or in conditions resembling the workplace. Learners can enter the types of evidence they are presenting for assessment and the submission date against each assessment criterion. Alternatively, centre documentation should be used to record this information.

## Learning outcomes and assessment criteria

Learning outcomes	Assessment criteria	Evidence type	Portfolio reference	Date
<p>1 Understand the principles and procedures for searching individuals, premises and surrounding areas</p>	<p>1.1 list the legal and organisational requirements for carrying out searches of people, areas and property</p> <p>1.2 give examples of how to recognise and deal with unidentified and unauthorised items that you may find during searches</p> <p>1.3 describe how to correctly complete the different types of documentation</p> <p>1.4 define the reasons and methods used to inform the individual about the search procedure</p> <p>1.5 explain the procedures for dealing with:</p> <ul style="list-style-type: none"> <li>• unauthorised individuals, ensuring respect for their rights</li> <li>• correspondence and written materials claimed to be confidential</li> </ul> <p>1.6 give examples of methods that can be used to hide items:</p> <ul style="list-style-type: none"> <li>• about the body</li> <li>• in clothing</li> </ul>			

	<ul style="list-style-type: none"> <li>• in footwear</li> </ul> <p>1.7 explain the importance and procedures for:</p> <ul style="list-style-type: none"> <li>• defining the search area</li> <li>• moving individuals to a secure area for the duration of searches</li> </ul> <p>1.8 give examples of how to obtain suitable types of search equipment to search premises and surrounding areas</p> <p>1.9 give examples of how to obtain different types of expert assistance</p> <p>1.10 describe how to identify problems individuals have with language and communication</p> <p>1.11 define the correct conditions for searching individuals when:</p> <ul style="list-style-type: none"> <li>• same sex searching</li> <li>• authorisation may be needed</li> <li>• having other personnel present</li> <li>• distance is required from other individuals</li> </ul> <p>1.12 explain the procedures and limitations of correctly:</p> <ul style="list-style-type: none"> <li>• carrying out a rub-down search with due respect for the individual's rights, dignity and comfort</li> </ul>			
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	<ul style="list-style-type: none"> <li>• using electronic search equipment</li> </ul> <p>1.13 explain your organisation's health and safety procedures for:</p> <ul style="list-style-type: none"> <li>• searching premises and surrounding area</li> <li>• for searching individuals</li> </ul> <p>1.14 explain the reasons for asking the individual to declare any unauthorised items</p> <p>1.15 give examples of how to effectively identify and search areas and spaces that may be used to conceal:</p> <ul style="list-style-type: none"> <li>• people</li> <li>• items</li> <li>• substances</li> </ul>			
<p>2 Be able to carry out rub-down and electronic searches</p>	<p>2.1 check the conditions for the search meet legal and organisational requirements</p> <p>2.2 check any equipment being used is operational and correctly calibrated</p> <p>2.3 take appropriate action if there are communication difficulties identified</p> <p>2.4 inform individuals clearly about the search procedure</p> <p>2.5 ask individuals to declare any unauthorised items that they may have</p>			

	<p>2.6 apply the appropriate techniques to carry out the search thoroughly and efficiently</p> <p>2.7 conduct the search in a way that respects individuals' rights, dignity and comfort</p> <p>2.8 deal correctly with unauthorised items</p>			
<p>3 Be able to search premises and surrounding areas</p>	<p>3.1 demonstrate the application of organisational procedures before and during searches</p> <p>3.2 establish the search areas correctly</p> <p>3.3 conduct a search of areas and spaces with the potential for hiding unauthorised people, items and substances</p> <p>3.4 arrange for expert assistance as required to access potential hiding places</p> <p>3.5 use the correct search equipment for the areas being searched</p> <p>3.6 deal correctly with unauthorised items and substances</p> <p>3.7 complete all relevant records and documentation accurately</p> <p>3.8 maintain confidentiality regarding the search and the location</p>			

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## **Unit 7: Maintain security at entry and exit points**

**Unit reference number:** D/503/3753

**QCF level:** 2

**Credit value:** 3

**Guided learning hours:** 12

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### **Unit summary**

This unit is about following security procedures when controlling the entry and exit of visitors, other people and vehicles.

### **Assessment requirements/evidence requirements**

This unit requires the workplace assessment of occupational competence wherever practicable. For the knowledge and understanding component of the unit, assessment from a learning and development environment is allowed.

### **Assessment methodology**

This unit is assessed in the workplace or in conditions resembling the workplace. Learners can enter the types of evidence they are presenting for assessment and the submission date against each assessment criterion. Alternatively, centre documentation should be used to record this information.

## Learning outcomes and assessment criteria

Learning outcomes	Assessment criteria	Evidence type	Portfolio reference	Date
<p>1 Understand the security requirements and entry and exit points in the custodial environment</p>	<p>1.1 describe the organisation's security procedures for controlling entry and exit points</p> <p>1.2 explain the different states of alert and their effect on the control of security</p> <p>1.3 identify the organisation's contingency plans for security alerts</p> <p>1.4 describe the procedures for dealing with requests from visitors</p> <p>1.5 explain the organisation's procedures for escorting individuals</p> <p>1.6 explain the types and uses of communications and security equipment used in the organisation</p>			

<p>2 Be able to maintain security while people are entering and leaving</p>	<p>2.1 confirm the authorisation of people wishing to enter or leave the premises</p> <p>2.2 inform visitors of the security procedures and any conditions and restrictions relevant to their visit</p> <p>2.3 issue the correct passes and retrieve them when visitors leave</p> <p>2.4 arrange escorts for visitors as appropriate</p> <p>2.5 monitor the security of areas outside the entry point</p> <p>2.6 deal with unauthorised and uncooperative visitors in accordance with the organisation's procedures</p> <p>2.7 maintain security in a way that is consistent with the current state of alert</p>			
<p>3 Be able to maintain security while vehicles are entering and leaving</p>	<p>3.1 confirm the authorisation of vehicles and any conditions applying to passengers and items</p> <p>3.2 ensure that people and items not authorised to enter the secure area are transferred to an appropriate area</p> <p>3.3 carry out searches of vehicles in a manner consistent with laid down procedures and current state of alert</p> <p>3.4 deal with any unauthorised vehicles, people and items in accordance with organisational procedures</p>			

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## Learning outcomes and assessment criteria

Learning outcomes	Assessment criteria	Evidence type	Portfolio reference	Date
<p>1 Understand the requirements and procedures for contributing to the security of the custodial environment</p>	<p>1.1 describe the importance and procedures of ensuring physical security in the custodial environment</p> <p>1.2 describe the procedures to check the condition of parts of the environment that could present a security risk</p> <p>1.3 identify those authorised and not authorised to be in the security areas in area of own work</p> <p>1.4 explain how temporary structures can present a particular security risk and how to monitor them effectively</p> <p>1.5 explain the importance and procedures for:</p> <ul style="list-style-type: none"> <li>• minimising disruption while dealing with security risks</li> <li>• monitoring the activities of people in the custodial environment</li> </ul> <p>1.6 explain your organisation's contingency plans for dealing with security risks and breaches</p>			

	<p>1.7 describe the correct procedures to follow when they identify that events present a security risk</p> <p>1.8 give examples of situations in which they may and may not monitor communications</p> <p>1.9 explain how to use CCTV and other types of technology to monitor individuals</p> <p>1.10 give examples of the types of faults that may occur with equipment</p> <p>1.11 explain the importance of reporting faults immediately</p> <p>1.12 explain the authorisation required to move people within the custodial environment(s), when it is necessary, and how to obtain it</p> <p>1.13 explain own organisation's procedures to use during routine and emergency movements of individuals</p> <p>1.14 explain the importance of maintaining order and discipline, especially during an emergency</p> <p>1.15 explain how to check the individuals are present at all stages of the procedure and what to do if they are not</p> <p>1.16 explain your organisation's reporting procedures during the movement of individuals, and for incidents</p>			
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	<p>and emergencies</p> <p>1.17 explain own organisation's procedures for:</p> <ul style="list-style-type: none"> <li>• identifying visitors and confirming the nature and purpose of their visit</li> <li>• procedures for searching individuals and visitors</li> </ul> <p>1.18 give examples of when it may be necessary to search visitors and the procedures to follow for each type of visitor</p> <p>1.19 explain the procedures that individuals and visitors must follow during visits, and how to provide them with the necessary information and guidance</p> <p>1.20 explain how to deal with the types of behaviour that would be unacceptable or present a security risk</p> <p>1.21 give examples of items that people should not exchange during visits, methods they could use to do so and how to identify and deal with these</p> <p>1.22 explain the rights of individuals and visitors and how to uphold these</p>			
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<p>2 Be able to maintain the physical security of the custodial environment</p>	<p>2.1 conduct routine and non-routine security checks correctly</p> <p>2.2 demonstrate they remain constantly alert to possible security risks</p> <p>2.3 check that all security areas are clear of unauthorised individuals and items</p> <p>2.4 take action appropriate to the level of risk for security risks, if they identify or suspect a breach in security</p> <p>2.5 respond correctly to emergency situations</p> <p>2.6 take action to minimise disruption to normal operations while an emergency or security risk is dealt with</p> <p>2.7 produce and distribute all required documentation correctly within required timescales</p>			
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<p>3 Be able to monitor and maintain the security of individuals during normal activities</p>	<p>3.1 report and take action for faults they identify with the monitoring systems</p> <p>3.2 use surveillance systems to monitor the activity of individuals and the movement of vehicles in the custodial environment</p> <p>3.3 identify suspicious events, investigate and assess their level of risk, and take correct action</p> <p>3.4 monitor and report individuals' communications ensuring this does not affect individuals' rights</p> <p>3.5 identify and report changes in individuals' behaviour, routines and circumstances promptly to the responsible colleague</p> <p>3.6 demonstrate that individuals are treated courteously and their rights are upheld at all times</p> <p>3.7 produce and store accurate, complete and legible records</p>			
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<p>4 Be able to maintain security during the movement of individuals within the custodial environment</p>	<p>4.1 obtain the required authorisation for the movement of individuals</p> <p>4.2 check you have the sufficient resources available for the movement of individuals</p> <p>4.3 seek advice from senior management where they have concerns over resources</p> <p>4.4 suggest improvements clearly, constructively and at an appropriate time and place</p> <p>4.5 maintain order and discipline while upholding the rights of individuals</p> <p>4.6 maintain the safety and security of the individuals, self and other staff during the movement of individuals</p> <p>4.7 confirm all individuals are present at each key stage of the movement and take appropriate corrective action if they are not</p> <p>4.8 report any notifiable incidents and events to the responsible colleague promptly</p> <p>4.9 produce and distribute required documentation accurately within correct timescales</p>			
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<p>5 Be able to maintain security during visits</p>	<p>5.1 identify individuals and confirm your information about the purpose of their visit is complete and accurate</p> <p>5.2 search individuals and visiting areas correctly</p> <p>5.3 provide individuals with accurate and complete information and guidance about the procedures they must follow</p> <p>5.4 deal with behaviour that is unacceptable or presents a security risk</p> <p>5.5 deal with any attempts to exchange unauthorised items</p> <p>5.6 deal correctly with any visits exceeding the agreed period</p> <p>5.7 demonstrate you treat individuals courteously, upholding their rights at all times</p> <p>5.8 produce and distribute required documentation accurately within agreed timescales</p>			
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## **Unit 9: Drive vehicles to carry out custodial duties**

**Unit reference number:** F/602/2643

**QCF level:** 2

**Credit value:** 2

**Guided learning hours:** 10

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### **Unit summary**

This unit is about driving a vehicle safely, legally and efficiently. It covers route planning, checking the vehicle and its associated equipment for condition before a journey and parking. It also covers dealing with contingencies including: vehicle malfunction or breakdown, adverse driving conditions, congestion, aggressive road users, accidents and emergencies and other significant delays.

This unit applies to custodial care staff who drive official vehicles. This includes field staff working for an electronic monitoring organisation or operational support staff.

### **Assessment requirements/evidence requirements**

This unit requires the workplace assessment of occupational competence wherever practicable. For the knowledge and understanding component of the unit, assessment from a learning and development environment is allowed.

Individuals must demonstrate they have driven vehicles to carry out custodial duties within their organisational guidelines.

### **Assessment methodology**

This unit is assessed in the workplace or in conditions resembling the workplace. Learners can enter the types of evidence they are presenting for assessment and the submission date against each assessment criterion. Alternatively, centre documentation should be used to record this information.

## Learning outcomes and assessment criteria

Learning outcomes	Assessment criteria	Evidence type	Portfolio reference	Date
<p>1 Understand the principles of driving vehicles to carry out custodial duties</p>	<p>1.1 explain the principles of defensive driving</p> <p>1.2 explain the importance of reporting significant delays</p> <p>1.3 explain why it is necessary to drive the vehicle in a way that is fuel efficient and minimises damage and wear</p>			
<p>2 Know and understand responsibilities and procedures in driving vehicles to carry out custodial duties</p>	<p>2.1 identify the vehicle safety requirements that are the responsibility of the driver under the law</p> <p>2.2 describe the vehicle and other records that need to be kept up-to-date, and how to do so</p> <p>2.3 identify who to seek additional directions from when necessary</p> <p>2.4 give examples of the main warning signs that the vehicle is not operating correctly and how to deal correctly with these</p> <p>2.5 give examples of your responsibilities:</p> <ul style="list-style-type: none"> <li>• in the event of an accident and other types of emergencies</li> </ul>			

	<ul style="list-style-type: none"> <li>for parking, valeting and securing the vehicle when they have finished using it</li> </ul>			
3 Know how to drive vehicles to carry out custodial duties	<p>3.1 describe the key principles of the Highway Code as it applies to different types of vehicles driven</p> <p>3.2 describe how to lift and handle materials safely</p>			
4 Be able to check the vehicle and prepare for the journey	<p>4.1 ensure you maintain:</p> <ul style="list-style-type: none"> <li>possession of a valid license to drive the vehicle</li> <li>the correct authorisation to use the vehicle</li> </ul> <p>4.2 make sure all relevant aspects of the vehicle meet legal and organisational requirements</p> <p>4.3 carry out any minor maintenance correctly, according to own role and responsibilities</p> <p>4.4 report any maintenance needs that cannot be dealt with, according to own role and responsibilities</p> <p>4.5 load the vehicle and stow tools and equipment safely and correctly</p> <p>4.6 establish the destination and plan the most efficient route, taking account of the time of day and other circumstances</p> <p>4.7 arrange sufficient fuel for the planned journey</p>			

	4.8 complete all required records clearly and accurately			
5 Be able to operate and control the vehicle safely and efficiently	<p>5.1 follow the designated route, identifying and correcting any navigation errors</p> <p>5.2 carry out all manoeuvres in a safe and controlled manner</p> <p>5.3 demonstrate compliance with all legal requirements</p> <p>5.4 drive the vehicle in a way that is fuel efficient and minimises wear and damage</p> <p>5.5 respond correctly to actual or potential road hazards</p> <p>5.6 take prompt, correct action in the event of incidents relating to:</p> <ul style="list-style-type: none"> <li>• the vehicle</li> <li>• driving conditions</li> <li>• other emergencies</li> </ul> <p>5.7 demonstrate consideration for other road users</p> <p>5.8 park the vehicle safely, and securely</p>			

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## **Unit 10: Assist in the control of incidents and emergencies**

**Unit reference number:** F/602/5719

**QCF level:** 2

**Credit value:** 3

**Guided learning hours:** 10

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### **Unit summary**

This unit is about following all the correct procedures when dealing with incidents and emergencies in the custodial environment.

This unit applies to all operational staff in custodial environments who have limited responsibilities for dealing with incidents and emergencies.

### **Assessment requirements/evidence requirements**

This unit requires the workplace assessment of occupational competence wherever practicable. For the knowledge and understanding component of the unit, assessment from a learning and development environment is allowed.

Individuals must demonstrate they have contributed to assisting in the control of incidents and emergencies within any legal and organisational guidelines.

### **Assessment methodology**

This unit is assessed in the workplace or in conditions resembling the workplace. Learners can enter the types of evidence they are presenting for assessment and the submission date against each assessment criterion. Alternatively, centre documentation should be used to record this information.

## Learning outcomes and assessment criteria

Learning outcomes	Assessment criteria	Evidence type	Portfolio reference	Date
<p>1 Understand the requirements and procedures for assisting in the control of incidents and emergencies</p>	<p>1.1 give examples of the types of incidents and emergencies that may occur, and organisational procedures you should follow when making an initial response</p> <p>1.2 describe how to identify when an incident or emergency is happening or about to happen</p> <p>1.3 explain the importance of communicating clearly and accurately, and of following organisational procedures when responding to an incident or emergency</p> <p>1.4 explain how to judge when a situation may be about to escalate and the action you can take to limit this</p> <p>1.5 explain the organisational procedures for:</p> <ul style="list-style-type: none"> <li>• reporting the incident or emergency at an early stage</li> <li>• controlling different types of incidents and emergencies</li> </ul> <p>1.6 describe the importance of effective team work in an</p>			

	<p>emergency situation</p> <p>1.7 explain own role and responsibilities in controlling an incident or emergency, and what roles other staff will play</p> <p>1.8 describe the procedures for using force in an incident or emergency and the importance of only using reasonable force</p> <p>1.9 give examples of contingency plans for a range of incidents and emergencies and your role in these</p>			
<p>2 Be able to make an initial response to incidents and emergencies</p>	<p>2.1 make an initial response to incidents and emergencies</p> <p>2.2 obtain and check all the available information about the incident or emergency</p> <p>2.3 communicate with all those involved in a way that is appropriate to the situation and follows organisational procedures</p> <p>2.4 take appropriate and prompt action to prevent the situation escalating</p> <p>2.5 establish individuals' involvement in the incident or emergency</p> <p>2.6 report the situation clearly and accurately to the responsible colleague and hand over control at an appropriate point</p>			

<p>3 Be able to help to control incidents and emergencies</p>	<p>3.1 establish the roles of self and other staff involved, and carry out own responsibilities safely, effectively and efficiently</p> <p>3.2 deal appropriately with individuals who are not involved</p> <p>3.3 take action to prevent escalation of the incident or emergency</p> <p>3.4 maintain the rights of the individuals involved</p> <p>3.5 implement contingency plans correctly and hand over control to others as required</p> <p>3.6 record and report information relevant to the incident or emergency that could be used for future action</p> <p>3.7 arrange instructions and requests to others in line with organisational procedures</p>			
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## **Unit 11: Contribute to the adjudication process**

**Unit reference number:** F/602/5722

**QCF level:** 2

**Credit value:** 3

**Guided learning hours:** 10

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### **Unit summary**

This unit is about preparing for the adjudication process and providing relevant evidence. It can cover offences both against people and property.

This unit applies to operational staff working in custodial environments who are required to contribute to adjudications.

### **Assessment requirements/evidence requirements**

This unit requires the workplace assessment of occupational competence wherever practicable. For the knowledge and understanding component of the unit, assessment from a learning and development environment is allowed.

Individuals must demonstrate they have contributed to the adjudication process within their organisational guidelines.

### **Assessment methodology**

This unit is assessed in the workplace or in conditions resembling the workplace. Learners can enter the types of evidence they are presenting for assessment and the submission date against each assessment criterion. Alternatively, centre documentation should be used to record this information.

## Learning outcomes and assessment criteria

Learning outcomes	Assessment criteria	Evidence type	Portfolio reference	Date
1 Understand the principles of adjudication	1.1 describe the adjudication process and your role and responsibilities in relation to it 1.2 explain the importance of the adjudication process being fair and impartial 1.3 explain the principles of natural justice 1.4 explain the conventions of the adjudication process			
2 Understand the legal and organisational requirements and priorities in regard to adjudication	2.1 describe the different types of offences that require adjudication 2.2 describe the relevant parts of the adjudication process that the people involved must understand 2.3 describe the procedures for collecting and dealing with evidence 2.4 describe the correct way to deal with witnesses 2.5 describe procedures for handling evidence 2.6 select the records you must complete for the adjudication process			

<p>3 Know how to contribute to the adjudication process</p>	<p>3.1 describe the appropriate way to inform people about charges against them</p> <p>3.2 describe how to make sure the charges are justified</p> <p>3.3 describe how to ensure that the people involved understand the relevant parts of the adjudication process</p>			
<p>4 Be able to prepare for adjudication</p>	<p>4.1 identify correctly offences that require adjudication</p> <p>4.2 establish that the charges are justifiable and verified</p> <p>4.3 collate and deal with all the available evidence relevant to the offence</p> <p>4.4 act in a way that is objective and impartial and upholds the individual's rights throughout the process</p> <p>4.5 complete required documentation clearly and accurately, and forward it to the responsible colleague within agreed timescales</p>			

<p>5 Be able to take part in the adjudication process</p>	<p>5.1 provide evidence that is clear, truthful and meets the needs of the adjudication process</p> <p>5.2 follow agreed procedures when handling physical evidence</p> <p>5.3 follow the agreed conventions of the adjudication process</p> <p>5.4 answer questions accurately and in a way that will assist the adjudication process to reach a fair decision</p>			
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## **Unit 12: Contribute to planning the installation and decommissioning of electronic monitoring equipment**

**Unit reference number:** L/602/5724

**QCF level:** 2

**Credit value:** 3

**Guided learning hours:** 10

### **Unit summary**

This unit is about receiving notifications for electronic monitoring, checking them to make sure they are accurate and complete, inputting and storing the information correctly and then passing it on to the appropriate people in your organisation.

This unit applies to administrative and other staff working in electronic monitoring control centres.

### **Assessment requirements/evidence requirements**

This unit requires the workplace assessment of occupational competence wherever practicable. For the knowledge and understanding component of the unit, assessment from a learning and development environment is allowed.

Individuals must demonstrate they have contributed to planning the installation and decommissioning of electronic monitoring equipment within any legal and organisational guidelines.

### **Assessment methodology**

This unit is assessed in the workplace or in conditions resembling the workplace. Learners can enter the types of evidence they are presenting for assessment and the submission date against each assessment criterion. Alternatively, centre documentation should be used to record this information.

## Learning outcomes and assessment criteria

Learning outcomes	Assessment criteria	Evidence type	Portfolio reference	Date
<p>1 Understand the requirements and procedures for contributing to planning the installation and decommissioning of electronic monitoring equipment</p>	<p>1.1 describe the legal requirements that apply to the range and types of notifications implemented by own organisation</p> <p>1.2 describe the types of communication system covered by the notification</p> <p>1.3 give examples of how the different types of notification must be dealt with and within what timescales</p> <p>1.4 describe the information that must be present on a notification</p> <p>1.5 describe own organisations procedures for:</p> <ul style="list-style-type: none"> <li>• inputting information about notifications, and how to follow these</li> <li>• storing the notification, and why these are important</li> </ul> <p>1.6 identify the information that needs to be compiled to implement an order, and how to do this</p> <p>1.7 identify the person(s) in your organisation that you</p>			

	<p>must pass information on to concerning notifications</p> <p>1.8 describe the information they must pass on and the format in which it should be provided</p> <p>1.9 describe why they must check information about notifications and make sure it is correct, clear and complete</p> <p>1.10 describe different types of problems they may have with information on notifications, and how to deal with them</p> <p>1.11 describe the types of queries they may get about notifications, and how you should deal with these</p>			
2 Be able to receive, enter and store notifications	<p>2.1 check the notification promptly when it arrives</p> <p>2.2 check the information on the notification is complete, legible and correctly authorised</p> <p>2.3 check the information appears to be correct</p> <p>2.4 deal correctly with any information that is unclear, missing or possibly incorrect</p> <p>2.5 enter the information accurately on the system</p> <p>2.6 store the notification correctly and securely for future action and archiving</p>			

<p>3 Be able to prepare and communicate information for implementing notifications</p>	<p>3.1 compile all the information necessary to assist the implementation of the order</p> <p>3.2 communicate the information:</p> <ul style="list-style-type: none"> <li>• to the correct people</li> <li>• about the notification, within specified timescales</li> </ul> <p>3.3 produce all the necessary information clearly and accurately</p> <p>3.4 complete all necessary administrative arrangements for installing and de-installing communication systems within agreed timescales</p> <p>3.8 deal with any queries about the notification efficiently and effectively</p>			
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Assessor signature: \_\_\_\_\_

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Internal verifier signature: \_\_\_\_\_

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*(if sampled)*

## **Unit 13: Install and decommission electronic monitoring equipment**

**Unit reference number:** R/602/5725

**QCF level:** 2

**Credit value:** 3

**Guided learning hours:** 10

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### **Unit summary**

This unit is about installing and decommissioning electronic monitoring equipment on a specified site for a designated individual. It will include dealing with those who have communication and language difficulties.

This unit applies to field staff working for electronic monitoring organisations.

### **Assessment requirements/evidence requirements**

This unit requires the workplace assessment of occupational competence wherever practicable. For the knowledge and understanding component of the unit, assessment from a learning and development environment is allowed.

Individuals must demonstrate they have installed and decommissioned electronic monitoring equipment within any legal and organisational guidelines.

### **Assessment methodology**

This unit is assessed in the workplace or in conditions resembling the workplace. Learners can enter the types of evidence they are presenting for assessment and the submission date against each assessment criterion. Alternatively, centre documentation should be used to record this information.

## Learning outcomes and assessment criteria

Learning outcomes	Assessment criteria	Evidence type	Portfolio reference	Date
<p>1 Understand the requirements and procedures for installing and decommissioning electronic monitoring equipment</p>	<p>1.1 describe own responsibilities for implementing the legal requirements for the range and types of electronic monitoring</p> <p>1.2 describe how each must be dealt with and within what timescales</p> <p>1.3 describe the information that they must have in order to carry out an installation</p> <p>1.4 describe the procedures to follow if:</p> <ul style="list-style-type: none"> <li>• information is unclear or incomplete</li> <li>• the person is of the opposite sex or a young person</li> <li>• a person has special communications needs</li> </ul> <p>1.5 give examples of the different types of sites in which equipment may need to be installed, and the equipment and other arrangements they must make for different sites</p> <p>1.6 give examples of the types of hazards and risks they may face when installing equipment, and how to</p>			

	<p>assess and respond correctly to these</p> <p>1.7 describe the importance of identifying the person to be monitored, and how to do so</p> <p>1.8 describe when you would need to make contact with other family members, and how to do so</p> <p>1.9 describe how to introduce themselves, and the procedures they should follow to prove own identity</p> <p>1.10 describe the importance of checking the information they have been given about the person and the site, and what to do if the information is no longer correct or if monitoring is not possible</p> <p>1.11 describe the paperwork that the person to be monitored must receive, and how to make sure it is correctly completed</p> <p>1.12 describe how to choose locations for the monitoring unit that are convenient and likely to provide the most efficient monitoring</p> <p>1.13 give examples of how to work in a way that minimises disruption or damage, and why this is important</p> <p>1.14 describe how to check that the range is correct and that the equipment is functioning correctly</p> <p>1.15 describe the procedures for booking on and off site</p>			
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	<p>1.16 describe how the communication systems work and standard procedures for configuration and testing</p> <p>1.17 describe the records and reports that need to be completed, and how to do so</p>			
<p>2 Be able to establish contact with the individual to be monitored</p>	<p>2.1 arrive at the site at the agreed time and report this correctly</p> <p>2.2 carry out an initial assessment of the situation and take action accordingly</p> <p>2.3 obtain all the necessary equipment appropriate to the job and the site, and arrange other personnel present where relevant to the individual being monitored and any special communications needs</p> <p>2.4 identify the individual being monitored, using the correct procedures</p> <p>2.5 introduce themselves to everyone present and establish an effective working relationship</p> <p>2.6 explain the electronic monitoring agreement to the individual being monitored, and check that they understand its meaning and sign the document, if applicable</p>			

<p>3 Be able to set up and test electronic monitoring equipment</p>	<p>3.1 select the equipment most suitable to the type of site and monitoring context</p> <p>3.2 install the monitoring unit in a location that will be most convenient and efficient for the site, minimising disruption or damage</p> <p>3.3 fit the personal identification device to the individual being monitored, taking due care for their comfort and dignity</p> <p>3.4 set the range and verify that the equipment and set-up is functioning correctly</p> <p>3.5 report the completion of the task and process records correctly</p>			
<p>4 Be able to decommission electronic monitoring equipment</p>	<p>4.1 remove the personal identification device from the individual being monitored with due respect for their comfort and dignity</p> <p>4.2 remove the monitoring unit and all other equipment from the site with a minimum of disruption and damage</p> <p>4.3 check all equipment for damage</p> <p>4.4 report the completion of the task and process records correctly</p>			

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Internal verifier signature: \_\_\_\_\_

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*(if sampled)*

## **Unit 14: Help people to comply with electronic monitoring requirements**

**Unit reference number:** Y/602/5726

**QCF level:** 2

**Credit value:** 3

**Guided learning hours:** 10

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### **Unit summary**

This unit is about giving the necessary advice and support to people who are being electronically monitored, and additionally to their families. It will include dealing with those who have communication and language difficulties.

This unit applies to field staff working for electronic monitoring organisations.

### **Assessment requirements/evidence requirements**

This unit requires the workplace assessment of occupational competence wherever practicable. For the knowledge and understanding component of the unit, assessment from a learning and development environment is allowed.

Individuals must demonstrate they have helped people to comply with electronic monitoring requirements within any legal and organisational guidelines.

### **Assessment methodology**

This unit is assessed in the workplace or in conditions resembling the workplace. Learners can enter the types of evidence they are presenting for assessment and the submission date against each assessment criterion. Alternatively, centre documentation should be used to record this information.

## Learning outcomes and assessment criteria

Learning outcomes	Assessment criteria	Evidence type	Portfolio reference	Date
<p>1 Understand the requirements and procedures for helping people to comply with electronic monitoring requirements</p>	<p>1.1 describe own responsibilities for the legal requirements for the types of electronic monitoring carried out</p> <p>1.2 describe how each of their responsibilities for legal and organisational requirements must be dealt with, and within what timescales</p> <p>1.3 describe how the electronic monitoring equipment operates, and how the person being monitored can live with it most effectively and comfortably</p> <p>1.4 identify the appropriate documentation that must be provided to the person</p> <p>1.5 describe how to establish and take account of individual's special communication and language needs when providing information</p> <p>1.6 describe the importance of checking the individual's understanding of what they have been told, and how to do so</p> <p>1.7 give examples of the types of questions individuals are likely to have, and how to answer these</p>			

	<p>1.8 give examples of issues that must be treated confidentially</p> <p>1.9 describe the procedures to follow where there is a willful lack of compliance by the individual being monitored</p> <p>1.10 give examples of the types of needs that individuals have during electronic monitoring</p> <p>1.11 give examples of methods of meeting individuals' needs within the terms of their electronic monitoring requirements including special authorisation</p> <p>1.12 identify other people who may need to be informed of any needs and actions taken</p>			
<p>2 Be able to induct people into electronic monitoring</p>	<p>2.1 confirm the identity of the person to be monitored</p> <p>2.2 provide people with clear information about</p> <ul style="list-style-type: none"> <li>▪ the hours and dates set for monitoring</li> <li>▪ the area being monitored</li> <li>▪ the operation of the monitoring equipment</li> <li>▪ events that will trigger reports</li> <li>▪ tasks the individual being monitored must undertake when requested</li> </ul>			

	<p>2.3 provide people with the relevant documentation</p> <p>2.4 provide all information in a way that is appropriate to the people involved, taking account of any special communication needs</p> <p>2.5 check that the people involved have understood the information you have given them and obtain their written confirmation</p> <p>2.6 answer any questions they may have correctly with due regard to confidentiality</p>			
3 Be able to provide ongoing support during the monitoring period	<p>3.1 identify and record information about any relevant special needs of the individual being monitored</p> <p>3.2 explore possible methods of meeting these special needs within the context of the electronic monitoring process</p> <p>3.3 provide the individual being monitored with clear and correct advice about how their special needs might be met</p> <p>3.4 identify any special needs that require specific authorisation and provide clear and correct information as to what they will need to do to obtain it</p> <p>3.5 inform relevant people of your advised course of action in accordance with organisational procedures</p>			

	3.6 facilitate the provision of any agreed special needs support			
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*(if sampled)*



## **Unit 15: Identify electronic monitoring incidents and initiate a response**

**Unit reference number:** H/602/5728

**QCF level:** 2

**Credit value:** 3

**Guided learning hours:** 10

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### **Unit summary**

This unit is about monitoring for incidents through reports generated by the monitoring equipment or provided by other organisations, or the individual being monitored. It also covers seeking and evaluating other information to corroborate these reports, and then taking the correct course of action. Incidents would include brief unauthorised absences, longer unauthorised absences, requests for absence, equipment malfunction or tampering, loss of connection or electrical power and eviction from the premises. In the case of exclusion orders or tracking this could include movement into a proscribed area. Liaison with colleagues, other organisations and individuals close to the person being monitored is generally involved.

This unit applies to control centre staff working for an electronic monitoring organisation.

### **Assessment requirements/evidence requirements**

This unit requires the workplace assessment of occupational competence wherever practicable. For the knowledge and understanding component of the unit, assessment from a learning and development environment is allowed.

Individuals must demonstrate they have identified electronic monitoring incidents and initiated a response within any legal and organisational guidelines.

### **Assessment methodology**

This unit is assessed in the workplace or in conditions resembling the workplace. Learners can enter the types of evidence they are presenting for assessment and the submission date against each assessment criterion. Alternatively, centre documentation should be used to record this information.

## Learning outcomes and assessment criteria

Learning outcomes	Assessment criteria	Evidence type	Portfolio reference	Date
<p>1 Understand the requirements and procedures for identifying electronic monitoring incidents and initiate a response</p>	<p>1.1 describe your responsibilities for implementing the legal requirements relevant to the type of electronic monitoring carried out</p> <p>1.2 describe the actions you should take for:</p> <ul style="list-style-type: none"> <li>• the main types of incident that may occur</li> <li>• dealing with each incident</li> <li>• correct timescales to be met</li> </ul> <p>1.3 describe how electronic monitoring equipment operates and the data it can generate</p> <p>1.4 identify the different sources of reports about incidents</p> <p>1.5 describe those incidents that require a response and how to prioritise these</p> <p>1.6 give examples of situations in which they should seek additional information about an incident</p> <p>1.7 describe how to evaluate the available information</p>			

	<p>and choose an appropriate response</p> <p>1.8 describe the importance of:</p> <ul style="list-style-type: none"> <li>• contacting the individual being monitored when there is a reported incident</li> <li>• establishing the identity of the individual being monitored, and how to do so</li> </ul> <p>1.9 describe how to question people about incidents and possible causes</p> <p>1.10 give examples of situations in which they need to seek additional information, the organizations appropriate to each of these and the procedures and protocols for contacting them</p> <p>1.11 describe the importance of recording the information, and how to do so</p> <p>1.12 describe how to evaluate the information you have collected</p>			
<p>2 Be able to identify electronic monitoring incidents</p>	<p>2.1 monitor for reports of possible incidents</p> <p>2.2 identify and prioritise correctly incidents that require a response correctly</p> <p>2.3 obtain additional information from other sources that may confirm the reported incident</p>			

	2.4 evaluate all available information and choose an appropriate method of dealing with the incident			
3 Be able to provide an initial response to electronic monitoring incidents	3.1 contact the individual being monitored within the agreed timescales, and establish their identity 3.2 request information from the individual being monitored about the incident and its causes 3.3 contact other people to seek confirmation of the incident and its causes, where necessary 3.4 record and evaluate all available information correctly 3.5 take action on the evaluation consistent with your organisation's procedures and contractual requirements for incident response			

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*(if sampled)*

## **Unit 16: Follow up electronic monitoring incidents in the field**

**Unit reference number:** K/602/5729

**QCF level:** 2

**Credit value:** 3

**Guided learning hours:** 10

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### **Unit summary**

This unit is about following up electronic monitoring incidents in the field, responding to instructions from the call centre, visiting premises, collecting information about the incident and, if necessary, repairing or replacing equipment. Incidents would include unauthorised absences, equipment malfunction or tampering, loss of electrical power or loss of the telephone connection, eviction from the premises or inability to enter the premises or entry into a proscribed area.

This unit applies to field staff working for electronic monitoring organisations.

### **Assessment requirements/evidence requirements**

This unit requires the workplace assessment of occupational competence wherever practicable. For the knowledge and understanding component of the unit, assessment from a learning and development environment is allowed.

Individuals must demonstrate they have followed up electronic monitoring incidents in the field within any legal and organisational guidelines.

### **Assessment methodology**

This unit is assessed in the workplace or in conditions resembling the workplace. Learners can enter the types of evidence they are presenting for assessment and the submission date against each assessment criterion. Alternatively, centre documentation should be used to record this information.

## Learning outcomes and assessment criteria

Learning outcomes	Assessment criteria	Evidence type	Portfolio reference	Date
<p>1 Understand the requirements and procedures for following up electronic monitoring incidents in the field</p>	<p>1.1 describe their responsibilities for the types of electronic monitoring carried out and the authorisation procedures</p> <p>1.2 give examples of the common type of electronic monitoring incidents, and how to respond to them</p> <p>1.3 identify the essential pieces of information that they should have when you assess an incident</p> <p>1.4 describe how to prioritise an incident in terms of work schedules</p> <p>1.5 describe how to select 'best' routes including using navigational aids</p> <p>1.6 describe the procedures for carrying out risk assessments of an area, making use of information they have been given about the individual being monitored</p> <p>1.7 describe how to carry out random alternative monitoring and the equipment you require</p> <p>1.8 describe how to ensure they are within adequate</p>			

	<p>range for a clear signal</p> <p>1.9 explain the importance of correctly:</p> <ul style="list-style-type: none"> <li>• identifying the individual being monitored and how to do so</li> <li>• introducing themselves and showing proof of identity</li> </ul> <p>1.10 explain how to question people about incidents and what may have led to these</p> <p>1.11 explain the procedures for the testing, maintenance and replacement of electronic monitoring equipment</p> <p>1.12 explain the importance of obtaining signed statements from the individual being monitored</p> <p>1.13 explain the organisation's procedures for keeping records including reporting the result of random alternative monitoring</p>			
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<p>2 Be able to assess the incident and prepare to take action</p>	<p>2.1 obtain the available information about the incident</p> <p>2.2 clarify anything you are not sure about and confirm what you are to do</p> <p>2.3 agree the priority of the incident in terms of your work schedule, where applicable</p> <p>2.4 verify you have the necessary equipment and access to other key personnel, where required</p> <p>2.5 identify the location, plan and follow the best route and advise relevant people of arrival in the area</p> <p>2.6 carry out an initial risk assessment of the location including what they know about the individual being monitored</p>			
<p>3 Be able to deal with the incident</p>	<p>3.1 introduce self and show proof of identity</p> <p>3.2 identify correctly the individual being monitored</p> <p>3.3 evaluate and take correct action for any further risks in the situation</p> <p>3.4 obtain information from the individual being monitored about the incident and its causes</p> <p>3.5 correct any equipment problems, following safe and approved procedures</p>			

	<p>3.6 obtain a signed statement from the individual being monitored, as necessary</p> <p>3.7 advise relevant people of actions taken and departure from site</p> <p>3.8 complete all records clearly and accurately</p>			
4 Be able to carry out random alternative monitoring	<p>4.1 establish that random alternative monitoring is needed</p> <p>4.2 obtain the necessary information to proceed with random alternative monitoring</p> <p>4.3 arrange the necessary functioning equipment for random alternative monitoring</p> <p>4.4 make sure they are within range of the required site to receive a clear signal</p> <p>4.5 configure the monitoring equipment and verify it is functioning correctly</p> <p>4.6 report the result correctly</p> <p>4.7 repeat random alternative monitoring at the required intervals</p> <p>4.8 complete all records clearly and accurately</p>			

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*(if sampled)*

## **Unit 17: Maintain security using screening equipment**

**Unit reference number:** H/602/5731

**QCF level:** 2

**Credit value:** 2

**Guided learning hours:** 15

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### **Unit summary**

This unit is about screening individuals and items including personal baggage, clothing and other containers using electronic, x-ray and other forms of scanning equipment. You will need to ensure that the equipment is set up and operating correctly, follow all the correct procedures for screening individuals and items and respond correctly when unauthorised items are discovered. These may include firearms, explosives, drugs, knives and other items considered a risk and/or a threat.

This unit applies to operational staff who maintain security using electronic and x-ray equipment.

### **Assessment requirements/evidence requirements**

This unit requires the workplace assessment of occupational competence wherever practicable. For the knowledge and understanding component of the unit, assessment from a learning and development environment is allowed.

Individuals must demonstrate they have maintained security using screening equipment within their organisational guidelines.

### **Assessment methodology**

This unit is assessed in the workplace or in conditions resembling the workplace. Learners can enter the types of evidence they are presenting for assessment and the submission date against each assessment criterion. Alternatively, centre documentation should be used to record this information.

## Learning outcomes and assessment criteria

Learning outcomes	Assessment criteria	Evidence type	Portfolio reference	Date
<p>1 Understand the principles and procedures of maintaining security using screening equipment</p>	<p>1.1 identify relevant legislation and organisational policies and procedures covering the use of electronic and x-ray screening equipment</p> <p>1.2 describe the procedures for managing the main hazards and risks associated with electronic and x-ray screening equipment</p> <p>1.3 explain the capabilities and limitations of electronic and x-ray screening equipment</p> <p>1.4 give examples of the techniques that people may use to prevent electronic screening equipment detecting unauthorised items</p> <p>1.5 give examples of the different types of faults that may occur with screening equipment and how to deal with these</p> <p>1.6 explain how to recognise suspicious behaviour during the screening process</p> <p>1.7 explain the procedures to use when an individual</p>			

	<p>refuses to cooperate</p> <p>1.8 give examples of cultural and religious issues that may influence cooperation and how to deal with these</p> <p>1.9 describe the procedures for isolating x-ray equipment in an emergency</p>			
2 Be able to screen individuals using electronic equipment	<p>2.1 check the electronic screening equipment is calibrated and operating correctly</p> <p>2.2 ensure that all those people requiring screening, and whom it is safe to screen, pass through the screening equipment in the correct manner</p> <p>2.3 arrange for individuals who should not be screened to be checked by other means</p> <p>2.4 respond correctly to signals from the screening equipment</p> <p>2.5 conduct searches, where required, thoroughly and efficiently</p> <p>2.6 deal correctly with unauthorised items, and the people carrying them</p> <p>2.7 report any equipment faults and maintain security using alternative means</p> <p>2.8 complete all records correctly</p>			

<p>3 Be able to screen items using scanning equipment</p>	<p>3.1 check the scanning equipment is set up and operating correctly</p> <p>3.2 ensure that all those items requiring screening, and which are safe to screen, pass through the scanning equipment as directed</p> <p>3.3 arrange for items that should not be screened to be checked by other means</p> <p>3.4 load and positioned all items correctly</p> <p>3.5 use image processing controls correctly</p> <p>3.6 investigate any suspicious items identified</p> <p>3.7 report any scanning equipment faults, and maintain security using alternative means</p> <p>3.8 complete all records correctly</p>			
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Internal verifier signature: \_\_\_\_\_

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*(if sampled)*

## **Unit 18: Contribute to preparing and implementing voice verification monitoring**

**Unit reference number:** M/602/5733

**QCF level:** 2

**Credit value:** 3

**Guided learning hours:** 10

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### **Unit summary**

This unit is about setting up the necessary arrangements for monitoring offenders using voice verification technology, and identifying and dealing with incidents when they occur. You will need to gather information including the name, address and personal details of the individual, any special requirements for language, other approved locations from which calls may be made, approved telephone numbers and agreed times and dates for monitoring. You will have to make arrangements for the installation and de-installation of approved lines and telephones in the individual's home and in other agreed locations.

This unit applies to control centre staff who are working on voice verification monitoring.

### **Assessment requirements/evidence requirements**

This unit requires the workplace assessment of occupational competence wherever practicable. For the knowledge and understanding component of the unit, assessment from a learning and development environment is allowed.

Individuals must demonstrate they have contributed to preparing and implementing voice verification monitoring within their organisational guidelines.

### **Assessment methodology**

This unit is assessed in the workplace or in conditions resembling the workplace. Learners can enter the types of evidence they are presenting for assessment and the submission date against each assessment criterion. Alternatively, centre documentation should be used to record this information.

## Learning outcomes and assessment criteria

Learning outcomes	Assessment criteria	Evidence type	Portfolio reference	Date
<p>1 Understand the requirements and procedures for contributing to preparing and implementing voice verification monitoring</p>	<p>1.1 describe the legal requirements that apply to the range and types of notifications implemented by their organisation</p> <p>1.2 explain the basic principles of voice verification monitoring</p> <p>1.3 explain how each type of notification must be dealt with and within what timescales</p> <p>1.4 describe the information that must be present on a voice verification notification</p> <p>1.5 explain the importance of checking information about notifications and making sure it is correct, clear and complete</p> <p>1.6 give examples of the different types of errors and missing information that they may come across with notifications and how to deal with these correctly</p> <p>1.7 identify the other organisations with whom they liaise and their different responsibilities for voice verification monitoring</p>			

	<p>1.8 explain how to follow own organisation's procedures for inputting information about notifications</p> <p>1.9 explain the procedures for storing the notification and why these are important</p> <p>1.10 describe the arrangements they must make for voice verification monitoring and why each of these are important</p> <p>1.11 identify the types of telephone lines and telephone equipment approved for voice verification</p> <p>1.12 identify the information that needs to be compiled in order to implement an order, and how to do this</p> <p>1.13 give examples of the types of problems that may occur when setting up voice verification monitoring, and how to respond correctly to each of these</p> <p>1.14 identify the responsible colleague from whom you should seek advice and information when they cannot resolve a problem themselves</p> <p>1.15 give examples of different types of voice verification incidents that may occur, and how to deal with each of these following approved procedures</p> <p>1.16 explain why you must respond to voice verification incidents within agreed timescales</p> <p>1.17 explain the record-keeping procedures you must</p>			
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	follow and why			
2 Be able to receive, enter and store notifications	<p>2.1 check the notification promptly when it arrives</p> <p>2.2 check the information on the notification is clear, legible and correctly authorised</p> <p>2.3 identify any possible errors or missing information and follow the approved procedures to deal with these</p> <p>2.4 enter the information accurately on the system, following approved procedures</p> <p>2.5 store the notification correctly and securely for future reference</p>			
3 Be able to make arrangements for implementing orders	<p>3.1 produce the information necessary to implement the order</p> <p>3.2 identify the requirements of the order correctly</p> <p>3.3 identify any difficulties in implementing the order and negotiate a solution to these with the supervising officer, appropriate internal department or telephone service provider as appropriate</p> <p>3.4 obtain advice and information from a responsible colleague, where necessary</p> <p>3.5 complete all the necessary arrangements for implementing the order correctly, as appropriate to</p>			

	the individual and within agreed timescales			
	3.6 complete all records accurately following approved procedures			
4 Be able to identify and respond to voice verification incidents	4.1 monitor continuously for voice verification incidents 4.2 identify and prioritise voice verification incidents correctly 4.3 obtain additional information from other sources when necessary 4.4 evaluate all available information and choose an appropriate method of dealing with the incident 4.5 provide clear and accurate reports of the incident to the appropriate organisation within agreed timescales ensuring they are securely stored for future reference			

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*(if sampled)*



## **Unit 19: Establish and maintain voice verification monitoring in the field**

**Unit reference number:** A/602/5735

**QCF level:** 2

**Credit value:** 3

**Guided learning hours:** 10

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### **Unit summary**

This unit is about installing and checking the necessary equipment for voice verification in an individual's home or other location and inducting the individual into the process, including obtaining their voice print.

This unit applies to field staff who are working on voice verification monitoring.

### **Assessment requirements/evidence requirements**

This unit requires the workplace assessment of occupational competence wherever practicable. For the knowledge and understanding component of the unit, assessment from a learning and development environment is allowed.

Individuals must demonstrate they have established and maintained voice verification monitoring in the field within any legal and organisational guidelines.

### **Assessment methodology**

This unit is assessed in the workplace or in conditions resembling the workplace. Learners can enter the types of evidence they are presenting for assessment and the submission date against each assessment criterion. Alternatively, centre documentation should be used to record this information.

## Learning outcomes and assessment criteria

Learning outcomes	Assessment criteria	Evidence type	Portfolio reference	Date
<p>1 Understand the requirements and procedures to establish and maintain voice verification monitoring in the field</p>	<p>1.1 explain legal requirements that apply to the range and types of notifications implemented by own organisation</p> <p>1.2 describe the basic principles of voice verification monitoring</p> <p>1.3 describe the equipment they need to check lines and install appropriate telephone equipment</p> <p>1.4 describe the types of lines and equipment that are approved for voice verification</p> <p>1.5 explain the staffing required for different types of individuals; adult, young person, male and female</p> <p>1.6 explain why it is important to gain approval for the installation and checking of equipment, and how to do so</p> <p>1.7 identify the intervals at which equipment should be checked and what to look for when carrying out checks</p> <p>1.8 explain your organisation's record-keeping</p>			

	<p>procedures</p> <p>1.9 give examples of different types of problems that may occur when installing and checking equipment, and how to solve these</p> <p>1.10 explain why it is important to interact with the other people involved sensitively and courteously, and how to do so</p> <p>1.11 explain why confidentiality may be important in certain situations</p> <p>1.12 explain why it is important to identify the individual to be monitored, and the correct procedures to follow</p> <p>1.13 identify the information they must provide to the individual being monitored, and why this is important</p> <p>1.14 explain why they must gain the individual's consent to proceed with voice verification and the procedures you must follow to do so</p> <p>1.15 describe the procedures the individual must follow to provide a voice print, and how to supervise these</p> <p>1.16 give examples of types of problems that may occur when the individual is providing a voice print, and how to solve these</p> <p>1.17 describe the record-keeping procedures you must follow and why</p>			
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<p>2 Be able to install and check telephone equipment for voice verification monitoring</p>	<p>2.1 obtain approval of appropriate people for the work to be undertaken</p> <p>2.2 locate the appropriate people, identify themselves correctly and explain the purpose of your visit</p> <p>2.3 attend sites during designated periods with equipment and staffing appropriate to the individual being monitored</p> <p>2.4 check that the telephone line meets requirements for voice verification and take the correct action if it does not</p> <p>2.5 install approved telephone and tamper-detection equipment and check that it is working correctly</p> <p>2.6 revisit the site at designated intervals to ensure that equipment has not been tampered with</p> <p>2.7 remove all equipment at the end of the monitoring period</p> <p>2.8 respond correctly to any difficulties in installing and checking equipment</p> <p>2.9 complete all records correctly</p> <p>2.10 interact with all appropriate people sensitively and courteously and with due regard to confidentiality and the subject's circumstances</p>			
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<p>3 Be able to induct individuals for voice verification monitoring</p>	<p>3.1 attend the site within agreed timescales and with staffing appropriate to the individual</p> <p>3.2 identify themselves correctly, explain the purpose of their visit and establish an effective working relationship with those involved</p> <p>3.3 identify the individual, using approved procedures</p> <p>3.4 provide clear and accurate information covering</p> <ul style="list-style-type: none"> <li>▪ the basic principles of voice verification</li> <li>▪ agreed times and locations for voice verification monitoring and the number the individual must call</li> <li>▪ the words they must speak</li> <li>▪ types of services and equipment that must not be used on the line</li> <li>▪ the consequences of the individual failing to meet monitoring conditions</li> </ul> <p>3.5 obtain the individual's formal consent to proceed with the process</p> <p>3.6 supervise the individual while they provide a voice print, following approved procedures</p> <p>3.7 identify any problems in providing a voice print and</p>			
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	follow the correct procedures to solve these			
	3.8 handle all interactions with those involved sensitively and courteously			
	3.9 complete all records correctly and clearly			

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## Learning outcomes and assessment criteria

Learning outcomes	Assessment criteria	Evidence type	Portfolio reference	Date
<p>1 Understand the requirements and procedures for researching, preparing and presenting information from a variety of sources</p>	<p>1.1 explain why it is important to agree and record requirements and make sure that they have been met</p> <p>1.2 explain the basic requirements of relevant legislation covering information searches and the use of information</p> <p>1.3 give examples of other conditions and legal requirements that may apply, in particular confidentiality, data protection and copyright</p> <p>1.4 describe the range of information sources commonly used by own team to locate information, and how to use these</p> <p>1.5 give examples of any sources of specialist information support that they could draw on, and how to access these</p> <p>1.6 explain how to carry out effective and efficient information searches relevant to the research area</p> <p>1.7 explain the importance of maintaining the goodwill of the source of information you are using, and how not</p>			

	<p>to lose this goodwill</p> <p>1.8 identify the standard document styles used in your team, and how to select a style appropriate to the document's purpose</p> <p>1.9 explain how to present documents using these styles</p> <p>1.10 explain why they should acknowledge the information sources they have used, and how to do so</p>			
<p>2 Be able to research, locate and select information from a variety of sources</p>	<p>2.1 agree and record clear requirements for the information they have been asked to research and locate</p> <p>2.2 locate information sources that meet these requirements</p> <p>2.3 establish any permission or conditions that might apply to searching for and using the information</p> <p>2.4 use any specialist support that may be available</p> <p>2.5 use efficient research methods correctly to locate the required information</p> <p>2.6 select the information that meets the specified requirements</p>			

<p>3 Be able to integrate, prepare and supply information from a variety of sources</p>	<p>3.1 agree and record how the information should be integrated and presented</p> <p>3.2 integrate the information as agreed</p> <p>3.3 select a document style that is appropriate to the purpose that the information will be used for</p> <p>3.4 acknowledge the sources of information they have used</p> <p>3.5 demonstrate that any conditions placed on the use of the information are met</p> <p>3.6 check that the final document meets with the approval of the person who requested it, and make any amendments accordingly</p>			
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## **Unit 21: Provide effective customer service**

**Unit reference number:** J/602/5740

**QCF level:** 2

**Credit value:** 2

**Guided learning hours:** 10

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### **Unit summary**

This unit is about dealing with 'customers' – people for whom you, your team or your organisation provide a service that can be about providing information, taking messages or providing other forms of support.

Customers can be people inside your organisation – people who are not part of your immediate team – or they can be people outside your organisation. Examples include official and personal visitors, other departments in your organisation or other organisations such as the courts, police, probation service etc. Customers are not individuals in custody. They may need information and advice or be dissatisfied with or have a complaint about a service or product you or your organisation has supplied.

This unit applies to all staff who work with customers – individuals or organisations – from inside or outside the organisation.

### **Assessment requirements/evidence requirements**

This unit requires the workplace assessment of occupational competence wherever practicable. For the knowledge and understanding component of the unit, assessment from a learning and development environment is allowed.

Individuals must demonstrate they have provided effective customer service within any legal and organisational guidelines.

### **Assessment methodology**

This unit is assessed in the workplace or in conditions resembling the workplace. Learners can enter the types of evidence they are presenting for assessment and the submission date against each assessment criterion. Alternatively, centre documentation should be used to record this information.

## Learning outcomes and assessment criteria

Learning outcomes	Assessment criteria	Evidence type	Portfolio reference	Date
<p>1 Understand the requirements and procedures for providing effective customer service</p>	<p>1.1 explain why effective customer service (both to internal and external customers) is important</p> <p>1.2 identify the customers to whom own team or organisation provides services</p> <p>1.3 identify own organisation's procedures for dealing with customers</p> <p>1.4 give examples of the special needs that their customers may have</p> <p>1.5 explain why is it important to take account of customer's special needs and how to do so</p> <p>1.6 describe a 'positive image' of themselves and colleagues, and how to present this both face to face and on the phone</p> <p>1.7 explain why a positive image is important</p> <p>1.8 explain why it is important to deal with customers politely and promptly, and your organisation's standards for this</p> <p>1.9 describe how to communicate clearly and confidently</p>			

	<p>with customers adopting an appropriate tone of voice</p> <p>1.10 explain the importance of body language when communicating with customers face to face</p> <p>1.11 explain why it is important for both themselves and the customer to understand what is being said</p> <p>1.12 give examples of types of problems that may occur when communicating with customers</p> <p>1.13 explain how to identify communication problems and deal with them effectively</p> <p>1.14 identify the types of services that own team or organisation provides to customers, and own role in supporting this</p> <p>1.15 explain the importance of:</p> <ul style="list-style-type: none"> <li>• being clear about what the customer requires</li> <li>• identifying customers' needs and other services you could provide to meet these</li> <li>• agreeing and keeping a note of the customer's requirements</li> <li>• providing the service within agreed timescales</li> <li>• checking that the customer is satisfied with the service, and what to do if they are not</li> </ul>			
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	<p>1.16 describe the types of services they are able to provide within their job role</p> <p>1.17 explain how to make sure information is accurate and up to date</p> <p>1.18 identify the basic legal requirements when dealing with customer problems and complaints</p> <p>1.19 explain own organisation's procedures for dealing with problems and complaints</p> <p>1.20 explain the importance of collecting as much information as possible about the customer and their problem, and confirm this information with them</p> <p>1.21 give examples of relevant information that should be collected</p> <p>1.22 explain the importance of showing empathy with the customer, and how to do so</p> <p>1.23 describe why it is important to explain more than one possible solution and reach agreement with the customer</p> <p>1.24 identify the relevant person is to whom you must refer problems when you cannot reach agreement with the customer</p> <p>1.25 explain why it is important that the customer knows</p>			
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	<p>what is happening</p> <p>1.26 explain why it is important to follow through agreed solutions and to check that the customer is satisfied</p> <p>1.27 explain how to deal with customers politely and calmly, especially when they are angry or excited</p> <p>1.28 explain why it is important to show they are determined to solve the customer's problem, and how to do so</p> <p>1.29 describe own organisation's procedures for recording and reporting problems and complaints</p>			
2 Be able to communicate with customers	<p>2.1 demonstrate the correct organisational procedures for greeting and addressing customers</p> <p>2.2 present a positive image of themselves and colleagues to your customers</p> <p>2.3 communicate with customers clearly, politely and confidently</p> <p>2.4 identify when there are specific problems communicating with customers and follow organisational guidelines to seek to resolve difficulties</p> <p>2.5 refer any problems they cannot deal to the relevant person</p>			

<p>3 Be able to provide services to meet customer requirements</p>	<p>3.1 obtain relevant information about the customer's needs and what services they require</p> <p>3.2 identify and agree if there are other services that would be more appropriate to their needs</p> <p>3.3 give the customer information that is accurate and up to date, within the constraints of organisational rules on confidentiality and own level of authority</p> <p>3.4 provide services only to the customers that they are allowed to</p> <p>3.5 provide the agreed services within the agreed timescales</p> <p>3.6 check with the customer to make sure they are satisfied with what has been done</p> <p>3.7 record clearly and accurately what services were requested and provided</p>			
<p>4 Be able to help customers with problems and complaints</p>	<p>4.1 refer matters, where required and/or outside your level of responsibility or expertise, to the appropriate authority</p> <p>4.2 demonstrate that you understand how the customer feels</p> <p>4.3 identify potential suitable solutions to their problems using own organisation's procedures</p>			

	<p>4.4 suggest and explain these solutions to the customer and agree a way forward</p> <p>4.5 refer the problem to a relevant colleague where you cannot reach an agreement and explain to the customer what is happening</p> <p>4.6 follow through any agreed solutions with the customer and find out if they are satisfied with the result</p> <p>4.7 use own organisation's procedures for recording and reporting the problem and what has been done</p>			
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## **Unit 22: Enter and find data using a computer**

**Unit reference number:** L/602/5741

**QCF level:** 2

**Credit value:** 2

**Guided learning hours:** 10

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### **Unit summary**

This unit is about making effective use of basic computer operations. It includes entering words and numbers into a computer and finding similar data. You may use any type of software for this unit: word processing, spreadsheet, database or an 'in-house' package.

The unit applies to all operational staff working in custodial environments who have to make regular use of computers as part of their duties.

### **Assessment requirements/evidence requirements**

This unit requires the workplace assessment of occupational competence wherever practicable. For the knowledge and understanding component of the unit, assessment from a learning and development environment is allowed.

Individuals must demonstrate they have entered and found data using a computer within their organisational guidelines.

### **Assessment methodology**

This unit is assessed in the workplace or in conditions resembling the workplace. Learners can enter the types of evidence they are presenting for assessment and the submission date against each assessment criterion. Alternatively, centre documentation should be used to record this information.

## Learning outcomes and assessment criteria

Learning outcomes	Assessment criteria	Evidence type	Portfolio reference	Date
<p>1 Understand the principles and importance of entering and finding data on a computer system</p>	<p>1.1 explain the importance of making sure that only authorised people receive the data found</p> <p>1.2 describe what a database is and what it can be used for</p> <p>1.3 give examples of the basic terms used for different parts of a database</p> <p>1.4 identify from whom to ask for instructions about inputting and finding data</p> <p>1.5 describe own organisation's procedures to protect data from loss or misuse</p> <p>1.6 give examples of the timescales in which data should be input and found</p> <p>1.7 describe the software they are using</p> <p>1.8 give examples of the basic legal requirements for storing data on a computer system</p> <p>1.9 explain why data must be input on a computer accurately</p>			

	<p>1.10 give examples of how to identify and correct your own mistakes</p> <p>1.11 explain the correct process of adding reference codes when required</p> <p>1.12 explain the correct procedures for:</p> <ul style="list-style-type: none"> <li>• deleting or amending existing data</li> <li>• printing the data, including print routines</li> <li>• searching for data automatically and manually</li> </ul>			
<p>2 Be able to enter data on a computer</p>	<p>2.1 obtain clear instructions about the data to enter and the reasons for entering it</p> <p>2.2 input the data accurately, identifying and correcting any errors</p> <p>2.3 obtain help from the correct person when the data is unclear or incomplete</p> <p>2.4 apply unique reference codes, as necessary</p> <p>2.5 delete or amend existing data, as instructed</p> <p>2.6 complete data entry within the agreed timescales</p>			

<p>3 Be able to find data on a computer</p>	<p>3.1 obtain clear instructions about the data to find and why</p> <p>3.2 use search methods to locate the data:</p> <ul style="list-style-type: none"> <li>• efficiently and effectively</li> <li>• promptly</li> </ul> <p>3.3 obtain guidance from the correct person when the data is not available</p> <p>3.4 provide the data only to people who are allowed see it</p> <p>3.5 make sure the data does not get lost or misused</p>			
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*(if sampled)*

## Further information

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Our customer service numbers are:

BTEC and NVQ	0844 576 0026
GCSE	0844 576 0027
GCE	0844 576 0025
The Diploma	0844 576 0028
DiDA and other qualifications	0844 576 0031

Calls may be recorded for training purposes.

## Useful publications

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Related information and publications include:

- *Centre Handbook for Edexcel QCF NVQs and Competence-based Qualifications* published annually
- functional skills publications – specifications, tutor support materials and question papers
- *Regulatory Arrangements for the Qualification and Credit Framework* (published by Ofqual, August 2008)
- the current Edexcel publications catalogue and update catalogue.

Edexcel publications concerning the Quality Assurance System and the internal and standards verification of vocationally related programmes can be found on the Edexcel website.

NB: Some of our publications are priced. There is also a charge for postage and packing. Please check the cost when you order.

## How to obtain National Occupational Standards

To obtain the National Occupational Standards go to [www.ukstandards.org.uk](http://www.ukstandards.org.uk)

# Professional development and training

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Edexcel supports UK and international customers with training related to NVQ and BTEC qualifications. This support is available through a choice of training options offered in our published training directory or through customised training at your centre.

The support we offer focuses on a range of issues including:

- planning for the delivery of a new programme
- planning for assessment and grading
- developing effective assignments
- building your team and teamwork skills
- developing student-centred learning and teaching approaches
- building functional skills into your programme
- building effective and efficient quality assurance systems.

The national programme of training we offer can be viewed on our website ([www.edexcel.com/training](http://www.edexcel.com/training)). You can request customised training through the website or by contacting one of our advisers in the Training from Edexcel team via Customer Services to discuss your training needs.

The training we provide:

- is active
- is designed to be supportive and thought-provoking
- builds on best practice
- may be suitable for those seeking evidence for their continuing professional development.

## Annexe A: Progression pathways

### The Edexcel qualification framework for the Public Services sector

Level	General/Diploma qualifications	BTEC vocationally-related qualifications	BTEC specialist qualification/professional	NVQ/competence
5		BTEC Level 5 HND Diploma in Public Services		
4		BTEC Level 4 HNC Diploma in Public Services		
3	GCE in Government and Politics Level 3 Advanced Diploma in Public Services	BTEC Level 3 Certificate/Subsidiary Diploma/Diploma/ Extended Diploma in Public Services	BTEC Level 3 Diploma in Knowledge of Custodial Care BTEC Level 3 Certificate/Diploma in Public Sector Practice BTEC Level 3 Award in Understanding Discipline in the Uniformed Public Services	Level 3 NVQ Diploma in Custodial Care
2	Level 2 Higher Diploma in Public Services	BTEC Level 2 Certificate/Extended Certificate/Diploma in Public Services	Level 2 BTEC Award/Extended Certificate in Public Sector Practice Level 2 BTEC Award in Improving Health and Fitness for Entry into the Uniformed Public Services	Level 2 NVQ Certificate in Custodial Care

Level	General/Diploma qualifications	BTEC vocationally-related qualifications	BTEC specialist qualification/professional	NVQ/competence
1	Level 1 Foundation Diploma in Public Services	Level 1 BTEC Award/Certificate/Diploma in Public Services	Level 1 BTEC Award/Certificate in Public Sector Practice  Level 1 BTEC Award in Improving Health and Fitness for Entry into the Uniformed Public Services	
Entry		Entry Level BTEC Award in Public Services (Entry 3)		

## Annexe B: Quality assurance

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### Key principles of quality assurance

- A centre delivering Edexcel qualifications must be an Edexcel recognised centre and must have approval for qualifications that it is offering.
- The centre agrees, as part of gaining recognition, to abide by specific terms and conditions relating to the effective delivery and quality assurance of assessment. The centre must abide by these conditions throughout the period of delivery.
- Edexcel makes available to approved centres a range of materials and opportunities to exemplify the processes required for effective assessment and provide examples of effective standards. Approved centres must use the guidance on assessment to ensure that staff who are delivering Edexcel qualifications are applying consistent standards.
- An approved centre must follow agreed protocols for: standardisation of assessors; planning, monitoring and recording of assessment processes; internal verification and recording of internal verification processes and dealing with special circumstances, appeals and malpractice.

### Quality assurance processes

The approach to quality assured assessment is made through a partnership between a recognised centre and Edexcel. Edexcel is committed to ensuring that it follows best practice and employs appropriate technology to support quality assurance processes where practicable. The specific arrangements for working with centres will vary. Edexcel seeks to ensure that the quality assurance processes it uses do not inflict undue bureaucratic processes on centres, and works to support them in providing robust quality assurance processes.

The learning outcomes and assessment criteria in each unit within this specification set out the standard to be achieved by each learner in order to gain each qualification. Edexcel operates a quality assurance process, designed to ensure that these standards are maintained by all assessors and verifiers.

For the purposes of quality assurance, all individual qualifications and units are considered as a whole. Centres offering these qualifications must be committed to ensuring the quality of the units and qualifications they offer, through effective standardisation of assessors and internal verification of assessor decisions. Centre quality assurance and assessment processes are monitored by Edexcel.

The Edexcel quality assurance processes will involve:

- gaining centre recognition and qualification approval if a centre is not currently approved to offer Edexcel qualifications
- annual visits to centres by Edexcel for quality review and development of overarching processes and quality standards. Quality review and development visits will be conducted by an Edexcel quality development reviewer
- annual visits by occupationally competent and qualified Edexcel Standards Verifiers for sampling of internal verification and assessor decisions for the occupational sector
- the provision of support, advice and guidance towards the achievement of National Occupational Standards.

Centres are required to declare their commitment to ensuring quality and appropriate opportunities for learners that lead to valid and accurate assessment outcomes. In addition, centres will commit to undertaking defined training and online standardisation activities.

## Annexe C: Centre certification and registration

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Edexcel Standards Verifiers will provide support, advice and guidance to centres to achieve Direct Claims Status (DCS). Edexcel will maintain the integrity of Edexcel QCF NVQs through ensuring that the awarding of these qualifications is secure. Where there are quality issues identified in the delivery of programmes, Edexcel will exercise the right to:

- direct centres to take action
- limit or suspend certification
- suspend registration.

The approach of Edexcel in such circumstances is to work with the centre to overcome the problems identified. If additional training is required, Edexcel will aim to secure the appropriate expertise to provide this.

### What are the access arrangements and special considerations for the qualifications in this specification?

Centres are required to recruit learners to Edexcel qualifications with integrity.

Appropriate steps should be taken to assess each applicant's potential and a professional judgement should be made about their ability to successfully complete the programme of study and achieve the qualification. This assessment will need to take account of the support available to the learner within the centre during their programme of study and any specific support that might be necessary to allow the learner to access the assessment for the qualification. Centres should consult Edexcel's policy on learners with particular requirements.

Edexcel's Equality and fairness are central to our work. Edexcel's Equality Policy requires that all learners should have equal opportunity to access our qualifications and assessments, and that our qualifications should be awarded in a way that is fair to every learner.

We are committed to ensuring that:

- learners with a protected characteristic (as defined by the Equality Act 2010) are not, when they are undertaking one of our qualifications, disadvantaged in comparison to learners who do not share that character
- all learners achieve the recognition they deserve from undertaking a qualification and that this achievement can be fairly compared to the achievement of their peers.

Details on how to make adjustments for learners with protected characteristics are given in the policy document Reasonable Adjustment and Special Considerations for BTEC and Edexcel NVQ Qualifications, which can be found on the Edexcel website.



## Annexe D: Assessment requirements/strategy

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### Skills for Justice

Assessment Strategy for Justice and Community Safety Sector:

- Custodial Care
- Community Justice
- Courts Tribunals and Prosecution Services
- Legal Services
- Youth Justice
- Fire and Rescue Services

## 1. Background

Skills for Justice is the sector skills council for employers, employees and volunteers in the Criminal Justice and Community Safety sectors throughout the United Kingdom. This includes:

- Custodial Care including the public and private sector establishments
- Community Justice
- Courts and Tribunals Services
- Forensic Science
- Fire and Rescue Sector
- Legal Services
- Prosecution Services
- Police Forces
- Law Enforcement Agencies including SOCA, HMRC, UK Border Agency
- Youth Justice.

This assessment strategy applies to all the areas above, with the exception of the Police Service, who have a separate assessment strategy that is specific to policing.

## 2. Introduction

This document sets out the specifications of Skills for Justice for the assessment and quality assurance for competence-based qualifications on the QCF, CQFW and SCQF that sit within the Skills for Justice footprint.

The following sections outline Skills for Justice's specific principles in regard to:

1. external quality control of assessment
2. workplace assessment
3. the use and characteristics of simulation
4. the required occupational expertise of assessors and verifiers
5. liaison between the SSC and the Awarding Organisations.

These principles are in addition to the generic criteria that Awarding Organisations must meet for the delivery of qualifications as required by the regulators, for example Ofqual's '*Regulatory arrangements for the Qualifications and Credit Framework*'.

This Assessment Strategy does not describe these systems in detail. It only provides the overarching principles. These systems may vary from one Awarding Organisation to another and Skills for Justice accepts this, providing the overarching principles of this document are consistently put into practice.

Skills for Justice sees itself as working in partnership with Awarding Organisations in order to deliver quality assessment and will be happy to provide them with appropriate support in implementing its requirements.

This Assessment Strategy is applicable to competency-based qualifications within the Justice/Community Safety sector. For qualifications other than S/NVQs, there is no requirement for assessors or those carrying out internal quality assurance activities to achieve the qualifications as specified and approved by the regulators.

However, they must have been trained to the same criteria and level of what would be the appropriate qualification. For qualifications that use SVQ or NVQ in the title, Skills for Justice is working in compliance with the '*Additional Requirements for Qualifications that use the title NVQ within the QCF*', which is an agreement between the Alliance of Sector Skills Councils, the Joint Council for Qualifications and the Federation of Awarding Bodies (see *Appendix 1*), therefore, assessors and those carrying out internal quality assurance must be qualified or working towards the appropriate qualification. Whilst this documents specifically relates to the QCF, the same principles can be applied in Scotland.

### **3. External Quality Assurance - A rigorous and robust system of internal and external verification**

The monitoring and standardisation of assessment decisions will be achieved by a robust and strong external quality assurance process. The mechanisms required to achieve this are outlined by the regulators.

In addition to the Regulators' requirements Skills for Justice will require all external quality assurance reports and other data relating to a centre to be evaluated by the Awarding Organisation and any risks relating to quality control to be addressed. External quality assurance, monitoring, support and control should be put in place as appropriate to each centre's level of risk.

### **4. Workplace Assessment**

Skills for Justice believes that direct observation by a competent assessor (as outlined in *Section 6.1*) or testimony from an Expert Witness (as outlined in *Section 6.2*) is always to be preferred.

Expert Witness testimony has parity with assessor observation unless otherwise stated in unit evidence requirements. The Assessor is responsible for making the final judgement in terms of the candidate meeting the evidence requirements for the unit.

Skills for Justice recognises that there are alternative evidence sources which may be used where direct observation is not possible or practical eg work products, records, reflective accounts, professional discussion.

In order to ensure that the evidence used to assess candidates is valid, all centres must demonstrate that the candidates have access to the types of resources commonly in use in the sector and that the pressures and constraints of the workplace are reflected.

It is accepted that the assessment of some knowledge and understanding may take place in a different environment, for example in a training and development centre or another environment, which is not the immediate workplace. However, the assessment of this knowledge and understanding should be linked directly to workplace performance and should include performance evidence.

## **5 Simulation**

Assessment in a simulated environment should only be used in the following circumstances:

1. where evidence in the workplace will not be demonstrated within an acceptable time frame.
2. where the nature of the work activity presents high risk/danger to the candidate and others, for example, personal safety.

The Awarding Organisations should issue adequate guidance to their centres as to how these simulations should be planned and organised. In general this guidance must ensure that the demands on the candidate during simulation are neither more nor less than they would be in a real work situation. This guidance should clearly state that the strategy for simulations. Simulations must be agreed between the representative from the Awarding Organisation who is responsible for external quality assurance and with the person who is responsible for internal quality assurance in the assessment centre, prior to use.

### **All simulations should follow these basic principles.**

1. A centre's overall strategy for simulation must be examined and approved by the person from the Awarding Organisation who is responsible for external quality assurance.
2. The nature of the contingency and the physical environment for the simulation must be realistic and candidates should be given no indication as to exactly what contingencies they may come across.
3. Where simulations are used they must reflect the requirements of the qualification units.
4. The location and environment of simulation must be agreed with the person responsible for internal quality assurance, prior to taking place and be checked by the Awarding Organisations representative responsible for external quality assurance.
5. All simulations must be planned, developed and documented by the centre in a way that ensures the simulation correctly reflects what the specific qualification unit seeks to assess and all simulations should follow these documented plans.
6. There should be a range of simulations to cover the same aspect of a unit so that the risk of candidates successfully colluding is reduced.

## **6. Requirements of Assessors, Expert Witnesses and Verifiers**

Skills for Justice believes that the occupational expertise of assessors, expert witnesses and those responsible for external/internal quality assurance is one of the key factors underpinning valid, fair and reliable assessment. The integrity and professionalism of assessors, expert witnesses and those responsible for quality assurance are of paramount importance. Centres must ensure that staff whose role is assessment or quality assurance are given sufficient time to carry out their role effectively.

### **6.1 Assessors**

All assessors must:

1. be occupationally competent. This means that each assessor must, according to current sector practice, be competent in the functions covered by the units they are assessing. They will have gained their occupational competence working within the Justice/Community Safety sector or within an appropriate occupational sector. They are not required to occupy a position in the organisation more senior than that of the candidate they are assessing.

However, centres must be alert to the risks that all such arrangements could present and ensure that sufficient quality controls are in place through the internal quality assurance process to minimise the possibility of collusion between candidates and assessors.

2. be able to demonstrate consistent application of the skills and the current supporting knowledge and understanding in the context of a recent role directly related to the qualification units they are assessing as a practitioner, trainer or manager.

3. be familiar with the qualification units; and must be able to interpret and make judgements on current working practices and technologies within the area of work

4. maintain their occupational competence by actively engaging in continuous professional development activities in order to keep up to date with developments relating to the changes taking place in the Justice sector. These activities may include those offered by the Awarding Organisation, Skills for Justice or other relevant providers in the sector

5. Assessors who are assessing S/NVQs should hold or be working towards the appropriate assessor qualification as approved, and specified by the Regulatory Authorities. Achievement of the qualification must be within the timescales laid down by the Regulatory Authorities. For qualifications other than S/NVQs, the assessor should be trained to the requirements of the appropriate assessor qualification. However, the decision on whether the assessor goes on to achieve a qualification lies with the assessment centre and their Awarding Organisation.

6. Approved centres will be required to provide the Awarding Organisation with current evidence of how each assessor meets these requirements; for example, certificates of achievement, testimonials, references or any other relevant records. Where an assessor is working towards the qualification for assessing S/NVQs, Awarding Organisations must require that assessment

decisions are countersigned by another assessor who holds the qualification for assessing S/NVQs. The assessor holding the qualification for assessing S/NVQs must meet the criteria laid out in points 1 and 2 above.

Where a new qualification is being introduced and there are not sufficient occupationally competent assessors to meet the countersignatory requirements as above, centres may use assessors who are not occupationally competent for up to 18 months from introduction of the qualification. Any such arrangements should be agreed with the Awarding Organisation and be monitored through the external quality assurance process.

## **6.2 Expert Witnesses**

All Expert Witnesses must:

1. be occupationally competent. This means that each expert witness must, according to current sector practice, be competent in the functions covered by the units to which they are contributing. They will have gained their occupational competence working within the Justice sector or within an appropriate occupational sector.
2. maintain their occupational competence by actively engaging in continuous professional development activities in order to keep up to date with developments relating to the changes taking place in the Justice sector. These may include those offered by the Awarding Organisation, Skills for Justice or other relevant providers in the sector.
3. be able to demonstrate consistent application of the skills and the current supporting knowledge and understanding in the context of a recent role directly related to the qualification unit that they are witnessing as a practitioner, trainer or manager.
4. be familiar with the qualification unit; and must be able to interpret current working practices and technologies within the area of work
5. have had an appropriate induction to the Justice/Community Safety qualifications, the assessment centre and Awarding Organisation requirements, and have access to ongoing training and updating on current issues relevant to these qualifications or qualification units.

## **6.3 Internal Quality Assurance**

Those responsible for the internal quality assurance must:

1. be occupationally knowledgeable across the range of units for which they are responsible prior to commencing the role. Due to the risk critical nature of the work and the legal implications of the assessment process, they must understand the nature and context of the assessors' work and that of their candidates. This means that they must have worked closely with staff who carry out the functions covered by the qualifications, possibly by training or supervising them, and have sufficient knowledge of these functions to be able to offer credible advice on the interpretation of the standards. Those conducting internal quality assurance must also sample the assessment process and resolve differences and conflicts on assessment decisions.

2. understand the content, structure and assessment requirements for the qualification they are verifying
3. maintain their occupational competence by actively engaging in continuous professional development activities in order to keep up to date with developments relating to the changes taking place in the Justice/Community Safety sector. These activities may include those offered by the Awarding Organisation, Skills for Justice or other relevant providers in the sector.
4. for S/NVQ's, those persons responsible for internal quality assurance should hold or be working towards the appropriate qualification as approved, and specified by, the Regulatory Authorities. Achievement of the qualification must be within the timescales laid down by the Regulatory Authorities. For qualifications other than S/NVQs, those responsible for internal quality assurance should be trained to the requirements of the appropriate qualification. However, the decision on whether the candidate goes on to achieve a qualification lies with the assessment centre and their Awarding Organisation.
5. occupy a position in the organisation that gives them the authority and resources to coordinate the work of assessors, provide authoritative advice, call meetings as appropriate, visit and observe assessment practice, and carry out all the other important roles of internal quality assurance.
6. have an appropriate induction to Justice/Community Safety qualifications that they are quality assuring, provided to them by the Centre, and have access to ongoing training and updates on current issues relevant to these qualifications. Information on the induction and continuing professional development of carrying out internal quality assurance must be made available to the Awarding Organisation through its external verification process.
7. where those responsible for internal quality assurance are working towards the appropriate qualification as approved, and specified by, the regulatory authorities. Achievement of the qualification must be within the timescales laid down by the Regulatory Authorities. Where the person responsible for internal quality assurance is working towards a qualification, Awarding Organisations must require that their quality assurance decisions are counter-signed by another person who holds the qualification for internally quality assurance of S/NVQs. The person holding the qualification for internal quality assurance of S/NVQs may or may not meet the criteria laid down in point 1 above. Such arrangements should be agreed with the Awarding Organisation and be monitored through the external quality assurance process.

#### **6.4 External Quality Assurance**

Those persons conducting external quality assurance must:

1. be occupationally knowledgeable and have gained their knowledge working within the sector or associated professional/occupational area.
2. have a thorough understanding of the qualifications they will be quality assuring

3. have a detailed knowledge of the Awarding Organisation's systems and documentation
4. have a thorough understanding of the qualification system and national policy and guidance documents produced by the regulatory authorities and Awarding Organisations describing assessment and quality assurance practice
5. maintain their occupational competence by actively engaging in continuous professional development activities in order to keep up to date with developments relating to the changes taking place in the Justice sector.

These activities may include those offered by the Awarding Organisation, Skills for Justice or other relevant providers in the sector.

6. hold, or be working towards, the appropriate qualification as approved, and specified by, the Regulatory Authorities. Achievement of the qualification must be within the timescales laid down by the Regulatory Authorities.
7. have, where appropriate, undergone relevant security checks due to the nature and confidentiality of the information that they will be exposed to. This will be arranged by Skills for Justice in conjunction with the Awarding Organisations.

The Awarding Organisation may seek clarification from Skills for Justice of the appropriateness of the specific external verifier applicant where appropriate.

## Appendix 1: Additional Requirements for Qualifications that use the title NVQ within the QCF

This document has been produced by the Joint Awarding Body/SSC Working Practices Group which has been formed by the respective representative bodies to support and encourage effective working relationships between SSCs, submitting organisations and awarding organisations. The Group will update the document as necessary to make sure it is kept up to date and relevant and will consider developing additional guidance.

### Purpose of document

1. The purpose of this document is to make clear what additional requirements are needed to assess and quality assure qualifications that use the title NVQ within the QCF.
2. When an SSC/SSB and awarding organisation wants to use the title NVQ in the naming of a qualification within the QCF, the awarding organisation is required to make sure this qualification is assessed and quality assured in accordance with these additional requirements and other requirements described in the SSC/SSB assessment strategy.
3. The aims of these additional requirements are to:
  - ensure that all competence based qualifications that use the title NVQ within the QCF are
    - assessed consistently
    - quality assured consistently
  - maintain the integrity of qualifications that use the title NVQ within the QCF
  - establish the NVQ brand within the QCF
  - keep bureaucracy associated with assessment and quality assurance of qualifications that use the title NVQ within the QCF to a minimum.

### Background

4. <sup>1</sup> "At the heart of an NVQ is the concept of occupational competence; the ability to perform to the standards required in employment across a range of circumstances and to meet changing demands. NVQs are first and foremost about what people can do. They go beyond technical skills to include planning, problem solving, dealing with unexpected occurrences, working with other people and applying the knowledge and understanding that underpins overall competence."

<sup>1</sup> NCVQ's NVQ Criteria and Guidance 1995.

5. NVQs are based entirely on National Occupational Standards (NOS) developed by an SSC/SSB, which describe the competence needed in an occupational role.

6. Qualifications that use the title NVQ within the QCF must comply with the rules of combination determined by the SSC/SSB. Awarding organisations are not allowed to develop another qualification that does not use the title

NVQ within the QCF, if it uses the same rules of combination as a qualification that does use the title NVQ within the QCF.

7. The QCF offers increased flexibility in the way occupational competence can be assessed and demonstrated. Qualifications that use the title NVQ in the title within the QCF are just one way of assessing and demonstrating occupational competence. SSCs/SSBs are free to work with their awarding organisations to agree what qualifications will be used to assess occupational competence.

Qualifications that use the title NVQ within the QCF, are not a preferred method for assessing occupational competence and all qualifications accredited through the QCF have equal status.

8. When developing a qualification for the QCF, including qualifications that use the title NVQ within the QCF, an awarding organisation must be a recognised awarding organisation and must meet the Qualification Requirements in the Regulatory Arrangements for the Qualifications and Credit Framework, published by The Office of the Qualifications and Examinations Regulator (Ofqual) in August 2008.

9. The qualification regulators confirmed that a group of SSCs and SSBs would be free to develop specific, additional requirements about the way in which qualifications that use the title NVQ within the QCF will be assessed and quality assured. For those recognised awarding organisations that want to assess occupational competence through the use of qualifications that use the title NVQ within the QCF, it has been agreed by SSCs and SSBs that the following additional requirements must be met.

### **Additional requirements for qualifications that use the title NVQ within the QCF**

#### **Introduction**

10. Qualifications that use the title NVQ within the QCF must be assessed and quality assured in accordance with the following additional requirements.

#### **Assessment requirements**

11. When a qualification uses the title NVQ within the QCF, awarding organisations are required to make sure their recognised assessment centres understand how learners are to be assessed.

12. Assessment methodologies must meet the assessment strategy developed in partnership between the relevant SSC or SSB and awarding organisations for the qualification. The assessment strategy must be published and made available separately and will include the requirements for assessment of qualifications that use the title NVQ within the QCF. The assessment criteria for each unit will be part of the units that make up the qualification.

13. Learners must complete real work activities in order to produce evidence to demonstrate they have met the NOS and are occupationally competent.

14. When a learner cannot complete a real work activity, simulation is allowed.

15. Simulation is allowed when:

- a learner is required to complete a work activity that does not occur on a regular basis and therefore opportunities to complete a particular work activity do not easily arise
- a learner is required to respond to a situation that rarely occurs, such as responding to an emergency situation
- the safety of a learner, other individuals and/or resources will be put at risk.

16. When simulation is used, assessors must be confident that the simulation replicates the workplace to such an extent that learners will be able to fully transfer their occupational competence to the workplace and real situations.

17. Units that must not be assessed by simulation must be identified by the SSC/SSB in the assessment strategy for the qualification or family of qualifications.

18. Learners must be assessed by assessors:

- who are occupationally competent in the occupational areas they are assessing where they have sufficient and relevant technical/occupational competence in the unit, at or above the level of the unit being assessed and as defined by the assessment strategy for that qualification
- who must hold or be working towards a suitable assessor qualification to confirm they understand assessment and how to assess learners
- must be fully conversant with the unit(s) against which the assessments and verification are to be undertaken.

19. All assessors must carry out assessment to the standards specified in the A units.

20. All assessment decisions made by a trainee assessor must be checked by a qualified assessor or an assessor recognised by an awarding organisation.

21. Trainee assessors must have a plan, which is overseen by the recognised assessment centre, to achieve the relevant assessor qualification(s) within an agreed timescale.

<sup>2</sup> Currently an assessor could hold unit A1 and/or unit A2. Or from the past unit D32 and/or unit D33.

SSCs also identify other suitable equivalent qualifications.

### **Quality assurance requirements**

22. When a qualification uses the title NVQ within the QCF, awarding organisations are required to make sure their recognised assessment centres understand how the qualification will be quality assured.

23. Qualifications that use the title NVQ within the QCF, must be verified

- internally by an internal verifier, who is accountable to the assessment centre
- externally by an external verifier, who is accountable to the awarding organisation or an agent of the awarding organisation.

24. With reference to internal verification, internal verifiers must:

- <sup>3</sup>hold or be working towards a suitable internal verifier qualification to confirm they understand how to internally verify assessments
- have sufficient and relevant technical/occupational familiarity in the unit(s) being verified
- be fully conversant with the standards and assessment criteria in the units to be assessed
- understand the awarding organisation's quality assurance systems and requirements for this qualification.

25. Trainee internal verifiers must have a plan, which is overseen by the recognised assessment centre, to achieve the internal verifier qualification within an agreed timescale.

26. With reference to external verification, external verifiers must:

- <sup>4</sup>hold or be working towards a suitable external verification qualification to confirm they understand and are able to carry out external verification
- have no connections with the assessment centre, in order to maintain objectivity
- have sufficient and relevant technical/occupational understanding in the unit(s) being verified
- be fully conversant with the standards and performance criteria in the units to be assessed
- understand the awarding organisation's quality assurance systems for this qualification.

27. Trainee external verifiers must have a plan, which is overseen by the awarding organisation, to achieve the external verifier qualification within an agreed timescale.

<sup>3</sup> Currently an internal verifier needs to hold unit V1. Or from the past unit D34. SSCs also identify other suitable equivalent qualifications.

<sup>4</sup> Currently an external verifier needs to hold unit V2. Or from the past unit D35.

28. Awarding organisations must decide the frequency of external monitoring activities. Any decision must be based on:

- the risks associated with a qualification that is designed to help a learner demonstrate occupational competence
- an evaluation of the centre's performance and past record.

29. Awarding organisations will have in place suitably constituted audit processes, which are supported by naturally occurring quality assurance and monitoring systems that already exist in workplace assessment environments.

## **Annexe E: Additional requirement for qualifications that use the term 'NVQ' in a QCF qualification title**

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Please go to [www.ofqual.gov.uk](http://www.ofqual.gov.uk) to access the document '*Operating rules for using the term 'NVQ' in a QCF qualification title*'.

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