



NLTC Level 3 Certificate of Professional Competence for Transport Managers (Road Haulage)

Qualification Specification, Syllabus
and Centre operational Procedure

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Version and Issue

Version	Date	Issue
Original	January 2023	Original Development
Development	20 th January 2023	Presented to expert panel for appraisal
Development	21 st February 2023	Expert panel review
Quality Control	30 th March 2023	Senior quality control officer
Development	29 th January 2024	Following Traffic Commissioner Feedback
Update	3 rd October 2024	Pass percentage (4.6)

Qualification Overview

1. Objective

National Logistics Training Consortium (NLTC) has developed the qualification with learning outcomes and assessments which have been developed specifically with in compliance with Regulation EC 1071/2009.

The qualification is designed and intended to confirm that the holder has the required knowledge and ability to be a transport manager of vehicles carrying goods by road. This is by means of providing a regulated certificate of professional competence, confirming the holder's knowledge and ability to effectively perform continuous and compliant management of undertakings, regardless of size or activity, within any member state.

2. Who it is designed for.

The qualification is designed for persons who intend to apply for recognition as a professionally competent person in order to obtain a standard operator's licence for goods vehicles.

3. Pre-Requisites

This qualification does not set any specific pre-requisite entry requirements; however, in the learners interests it must be made clear that a standard of English and Mathematics, equivalent to at least level 2, is strongly recommended.

Article 8 (2) of Regulation (EC) 1071 / 2009 requires that the examination should be undertaken in the member state of which they have their normal residence, or in which they work.

Learners are advised to discuss their suitability and eligibility for this qualification with their NLTC approved learning centre, prior to enrolment.

4. Qualification Aim

The aim of the qualification is:

- a. To provide an assessment, compliant with the terms of Regulation (EC) 1071 / 2009 of the European Parliament and Council of 21st October 2009.
- b. To provide an assessment which accurately confirms that the holder of the qualification has the necessary level of knowledge, ability and understanding, to perform the duties of a transport manager; meeting the requirements set out for the competent person within Regulation (EC) 1071 / 2009.
- c. To provide an assessment which is suitable for a & b, which is of the highest possible standard, accurately testing the learner's knowledge of each syllabus area; whilst being comparable with other relevant qualifications set by awarding bodies both within the UK and those set in other member states.

5. Total Qualification Time

Total Qualification Time	Guided Learning	Credits
140 Hours	84 Hours	14

Learners are required to undertake 84 hours of guided learning, provided by an appropriate teacher for this qualification.

6. Level

This qualification is set to level 3.

7. Option Routes

Learning for the qualification may be undertaken by the following methods:

- Direct classroom tuition
- Distance learning
- E-learning
- Blended learning

8. Cost

Multiple Choice Assessment = £60
Case Study = £120
(Costs are subject to VAT @ 20%)

9. Method of the qualification

Learners will be required to undertake and pass 2 assessments.

The assessments are set out in compliance with Annex I (II) 1, a, of the regulation.

	Duration	Open Book	Points	Pass Mark
Multiple Choice	120 minutes	No	60	42
Case Study	135 minutes	Yes	60	30

If a learner achieves a pass in one assessment, but not in both assessments; the pass will be valid for a period of 1 year following notification of the result.

The assessments are based on Regulation EC 1071/2009, which will be comparable with assessments provided by other awarding bodies both in the UK and in other member states.

10. Assessment

The assessments are designed to test the learners understanding and knowledge of the entire syllabus. This provides an accurate confirmation of the individuals ability and suitability to hold a certificate of professional competence, in accordance with the regulation.

Assessments are marked by approved NLTC markers.

Assessment questions and scenarios are based entirely on the syllabus. No multiple-choice questions or scenario questions will be developed which are not relevant to the syllabus.

Multiple Choice

The multiple-choice assessment consists of 60 questions. Each question has a value of 1 mark. 42 marks are required to pass the assessment.

The assessment has a duration of 120 minutes, equating to an average of 2 minutes per question. Learners may leave the assessment room prior to the expiry of the maximum duration.

No materials providing any assistance may be used during this assessment.

Multiple choice questions require the learner to select one correct answer from a choice of four possible answers.

Case Study

The case study assessment consists of a scenario, or scenarios, relevant to the syllabus of the qualification. There are 60 marks available with a required pass mark of 30 marks.

The assessment has a duration of 135 minutes. Learners may leave the assessment room prior to the expiry of the maximum duration.

The case study assessment is open book; therefore, the use of prepared notes or books is permitted.

The case study consists of a scenario, relevant to the transport industry, developed to test the learner's skill, knowledge and ability. Questions relating to the scenario have a mark value relative to the difficulty of providing a full and correct answer to that scenario.

Learners will be required to provide answers to questions, which may include the calculations or rationale used. It is essential for the response to be complete, clear and understandable. Marks may not be given if the marker cannot fully ascertain the written response to a question.

The case study will test the learner's ability to manage a transport undertaking, effectively and compliantly.

11. Duration of certificate

The certificate does not have a validity period stated on it and, as such, is regarded as a lifetime award; however, a traffic commissioner may request or impose retraining to be undertaken.

12. Language

The assessments are provided exclusively in English.

13. Syllabus

The syllabus for the qualification is set in compliance with Annex I of the Regulation (EC) No 1071/2009.

Mandatory Units			
Reference		Unit	Level
TM-RT 01	A	Civil law relating to road transport	3
TM-RT 02	B	Commercial law relating to road transport	3
TM-RT 03	C	Social law relating to road transport	3
TM-RT 04	D	Fiscal law relative to road transport operations	3
TM-RT 05	E	Business and financial marketing of the undertaking	3
TM-RT 06	F	Access to the market for road transport	3
TM-RT 07	G	Technical standards and technical aspects of operation	3
TM-RT 08	H	Compliance and instillation of road safety	3



Level 3 Certificate of Professional Competence for Transport
Managers (Road Haulage)

Syllabus

Version 2

In compliance with Regulation (EC) 1071/2009 Annex I

NLTC Reference		TM-RT 01		
Syllabus Reference A – Civil Law				
Reference		Topic	Sub-Topic	
A	1	Familiarity with the main types of contract used in road transport and with the rights and obligations arising therefrom.	1.1 Recognition of a contract, including:	
			1.1.1. When a contract is required	
			1.1.2. When a contract might be in place	
			1.1.3. Who the contract is between	
			1.1.4. When a contract should not be in place, such as drivers who have their own limited companies and, therefore, require their own licence.	
			1.2 Elements required in order to form a legally binding contract:	
			a. Offer	
			b. Acceptance	
			c. Consideration	
			d. Intention	
			e. Legal Capacity	
			f. Legal Purpose	
			g. Formalities	
			1.3 Understanding of the implications associated with different types of contract.	
			1.4 Potential consequences associated with breaching a contract or otherwise failing to comply with the terms set out within a contract.	

A	2	Be capable of negotiating a legally valid transport contract, notably with regard to conditions of carriage.	2.1 Understanding, and inclusion of, the conditions of carriage. 2.2 Participants of a contract 2.3 Elements required for legal validity. 2.4 Enforcement of contracts 2.5 Use of restrictive covenants
	3	Be able to consider a claim by their principal regarding compensation for loss of or damage to goods during transportation or for their late delivery, and to understand how such a claim affects their contractual liability	3.1 Identification of clauses within contracts 3.2 Understanding the terms of conditions for carriage 3.3 Understanding claims for compensation, including: a. Loss b. Late delivery c. Damage 3.4 Contractual liability to satisfy a claim.
	4	Be familiar with the rules and obligations arising from the CMR Convention on the Contract for the International Carriage of Goods by Road.	4.1 The rules, regulations and means of compliance with the CMR Convention. 4.2 Familiarity and basic understanding of the main provisions of CMR for national and international carriage. 4.3 Practical application of CMR, including 'unwitting CMR'. 4.4 The limits of carrier liability for loss, damage, or delay 4.5 Identification of goods which are exempt from the CMR convention. 4.6 Potential cases for defence, which may be possible for a carrier in case of a claim.

			4.7 Knowledge of the (RHA) Road Haulage Association and Logistics UK conditions of carriage, including when these may or may not be appropriate.
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NLTC Reference		TM-RT 02	
Syllabus Reference B – Commercial Law			
Reference		Topic	Sub-Topic
B	1	Be familiar with the conditions and formalities laid down for plying the trade, the general obligations incumbent upon transport operators (registration, record keeping, etc.) and the consequences of bankruptcy.	1.1 Company registration:
			1.1.1 Knowledge of different types of company structures, including: a. Sole trader b. Limited liability partnership c. Partnership d. Limited company The advantages and disadvantages of each type of company structure must be included. Method of registration, if applicable, for each type of company structure must be included. 1.1.2 Formation and registration process, including: a. Memorandum of association b. Articles of association 1.1.3 Appointment of directors, company secretary and persons with significant control. 1.2 Record keeping. 1.2.1 Required records for business and accountancy. 1.2.2 Minimum duration which required records must be kept for

B			1.3 Bankruptcy 1.3.1 Meaning and implications of bankruptcy 1.3.2 Adverse effects caused by bankruptcy, relevant to: a. The business b. The operator licence. c. The director(s) d. The workforce e. Finance and assets 1.3.3 Procedure for 'winding up' a company, including the role of the liquidator. 1.3.4 Understanding different types of liquidation. a. Creditors' voluntary liquidation b. Compulsory liquidation c. Members' voluntary liquidation 1.3.5 Freezing of bank or building society accounts 1.3.6 Actions to take during looming insolvency. To include not trading or making payments to preferential creditors.
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	2	Have appropriate knowledge of the various forms of commercial companies and the rules governing their constitution and operation.	2.1. Knowledge and application of legal documentation, including association of these documents to the different types of business structures as set out in 2.2. 2.1.1. The legal documentation includes knowledge and understanding of: a. Partnership agreements b. Memorandum of association c. Articles of association d. Prospectus (for PLC's) e. Certificate of incorporation f. OS IN01 2.2. Rules, specific to the different business types; including those relevant to: a. Public limited companies b. Private company limited by guarantee. c. Private company limited by shares. d. Private unlimited company 2.3. Types of company directors, including: a. Statutory (de jure) b. Non-statutory (de-facto) c. Shadow 2.4. Knowledge of the rights and obligations of company directors, company secretaries and persons with significant control.
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NLTC Reference		TM-RT 03	
Syllabus Reference C – Social Law			
Reference		Topic	Sub-Topic
C	1	The role and function of the various social institutions which are concerned with road transport (trade unions, works councils, shop stewards, labour inspectors, etc.)	1.1 Trade unions
			1.1.1 Recognition of trade union membership 1.1.2 The role of the trade union 1.1.3 Rights of members of trade unions 1.1.4 Role of the shop steward 1.1.5 Time off, paid, or unpaid, for trade union activities 1.1.6 Industrial action: a. Legality concerning industrial actions, including: i. Required procedures prior to industrial action. ii. Limitations on activities, such as secondary picketing iii. Requirements and limitations for employers during industrial action. b. Types of industrial action, including: i. Working to rule (Action short of strike) ii. Withdrawal of labour (Strike action) c. Employer ‘lock out’ of employees during an industrial dispute. 1.1.7 Trade union recognition agreements This part should include reference to: a. The trade union and labour relations (Consolidation) act 1992. b. Employments rights act 1996

C	3		1.2 Recognition of works councils. 1.3 Appointment and recognition of health and safety representatives 1.4 Recognition of workplace agreements 1.5 Advisory, conciliation and arbitration service (ACAS) 1.5.1 Understanding the role of ACAS 1.5.2 Understanding the difference between conciliation and arbitration 1.6 Central arbitration committee (CAC) 1.7 Health and safety executive (HSE) 1.7.1. Knowledge of relevant safety legislation, including: a. (PUWER) Provision and Use of Work Equipment Regulations b. (LOLER) Lifting Operations and Lifting Equipment Regulations c. (COSHH) Control of Substances Hazardous to Health d. (RIDDOR) Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1.8 Driver and vehicle standards agency (DVSA)
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C	2	The employers' social security obligations.	2.1. Requirements and obligations in respect to the collection and payment of national insurance contributions; including application regarding: a. Employers b. Employees c. Self-employed persons 2.2. Contributions and responsibilities relevant to pensions
C	3	The rules governing work contracts for the various categories of worker employed by road transport undertakings (form of the contracts, obligations of the parties, working conditions and working hours, paid leave, remuneration, breach of contract, etc.)	3.1. Contract of employment. 3.1.1. Requirement for a contract of employment. 3.1.2. Necessity for written employment particulars, including: a. The content of the written terms of contract, setting out: i. Employment conditions ii. Rights iii. Responsibilities iv. Duties b. Timescale for provision: i. Principle statement ii. Wider written statement c. Variations and alterations to a contract of employment 3.1.3. Understanding of an 'implied term'. 3.1.4. Consequences of failing to provide a written statement.

C	3	3.1.5. Minimum content of a contract of employment, including: a. Employees name, job title and description of work. b. Start date of employment c. Pay rate and frequency of payments. d. Expected working time. e. Holiday entitlement, including information regarding inclusion of public holidays. f. Address of different locations of work g. Expected duration of employment, including end dates for fixed term contracts h. Conditions and duration of any probation period i. Other employment benefits j. Whether obligatory training is paid for by the employer 3.1.6. Minimum information which must be provided to an employee upon the start of employment, including sick pay and procedures, other paid leave and required notice periods. 3.2. The employer's responsibility regarding time worked for them by self-employed, agency, temporary or part time drivers. 3.3. The responsibilities, duties and rights of both employers and employees relating to different workers, including: a. Full time employees b. Part time employees c. Temporary employees d. Agency staff e. Casual employees
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C			3.4. Knowledge of the responsibilities, duties, and rights of both the employer and the employee in respect to: a. TUPE – Transfer of undertaking, protection of employment b. Remuneration & itemised pay statements c. Termination of employment by employer i. Notice of termination requirements ii. Lawful dismissal iii. Unfair dismissal iv. Redundancy d. Termination of employment by employee e. Disciplinary and grievance procedures f. Working time regulations g. Leave for maternity, paternity, parental & care of dependants. h. Statutory employment payments such as (SSP) statutory sick pay i. Working for multiple employers j. Providing information to employees k. Discrimination l. Accessibility 3.5. Potential compliance issues when using self-employed drivers and risks posed to an operator licence.
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C	4	The rules applicable to driving time, rest periods and working time, and in particular the provisions of Regulation (EC) No 561/2006, Directive 2002/15/EC of the European Parliament and the practical measures for applying those provisions.	4.1. Knowledge of the relevant rules, and implementation of such rules, necessary to ensure continued compliance with regulations. 4.1.1. EU Drivers hours regulations a. Exemptions and national derogations b. Driving and breaks i. Maximum limits: • Per week • Per Fortnight ii. Requirements for breaks iii. Duration of breaks iv. Ferry or train break v. Rules for double manning vi. Being on call during a daily rest period vii. Definition of the fixed week c. Rest i. Definition of rest and break ii. Daily rest requirements, including understanding of: • Regular daily rest • Reduced daily rest. • Split daily rest. iii. Weekly rest requirements, including understanding of: • Regular weekly rest • Reduced weekly rest. • Repaying 'Compensation' for reduced rest • International carriage of goods • Requirements for sleeping facilities. iv. Being on call during a rest period
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C	4		d. Duty time i. Maximum daily duty limits ii. Maximum weekly duty limits iii. Travelling time iv. Time spent in other employment. e. Emergency situations and unforeseen events 4.1.2. Working time regulation a. Exemptions b. Reference periods c. Maximum limits d. Maximum average e. Periods of availability f. Duty time and break requirements. g. Rules for night workers h. Collective agreements 4.1.3. GB domestics regulations a. Domestic rules exemptions b. Driving limits c. Rest & breaks d. Keeping of records e. Emergency situations 4.1.4. AETR a. Relevant member states b. Differences to EU driver's hours rules
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C	4	4.1.5. Tachograph a. Basic understanding of the workings of a tachograph b. Understanding modes c. Retrieving information from: • Vehicle unit • Driver card d. Understanding and ability to read a printout. e. Knowledge of various cards used for a tachograph. 4.1.6 Requirements to fit a tachograph to a goods vehicle. 4.1.7 Knowledge of the requirements for retaining information: 4.1.8 Requirement to obtain a digital tachograph card. 4.1.9 Rules on change of vehicle ownership and securing information on the VU 4.1.10 Knowledge of the rules for lost, stolen or damaged cards. 4.1.11 Knowledge of the functions of different cards: a) Driver b) Company c) Enforcement d) Workshop 4.1.12 Duration and expiry period of the driver card 4.2. The ability to combine the requirements of different regulations in order to maintain compliance with all required regulations. This will include scheduling a journey in compliance with EU driver's hours whilst meeting the requirements for the working time regulations.
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C	4	4.3. The ability to create a schedule for a driver's journey, taking into consideration compliance with all applicable regulations. 4.4. The ability to conform to regulations: a. For the journey b. For the week c. For the duration of the reference period 4.5. Requirements for employers, including: a. Keeping drivers' hours records for 1 year b. Ensuring drivers are trained and aware of the rules. c. Organise schedules in compliance with the rules. d. Monitor drivers' hours records and data. e. Provide 1 year of records to enforcement officers. 4.6. The role of the transport manager in relation to providing management with advice and information necessary for compliance with the regulations. Including potential negative effects caused by non-compliance. 4.7. Knowledge of infringements, including: a. The ability to identify an infringement. b. The ability to identify a probable and potential cause for an infringement. c. The ability to avoid or mitigate an infringement. d. The knowledge of reporting an infringement e. Appropriate action to be taken. 4.8. Enforcement and penalties for non-compliance
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	5	The rules applicable to the initial qualification and continuous training of drivers, and in particular those deriving from Directive 2003/59/EC of the European Parliament and of the Council.	5.1. Exemptions from Driver CPC requirements 5.2. Initial qualification a. Undertaking modules 2 & 4 b. Acquired rights for certain drivers. 5.3. Periodic training a. Required 5-yearly training. b. Pre-requisite requirements for periodic training c. Role of DVSA and checking drivers' records d. Re-taking the same module twice in the five-year period. e. Daily training duration and method of training over two days f. The (DQC) Driver qualification card 5.4. Enforcement and penalties
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NLTC Reference		TM-RT 04	
Syllabus Reference D – Fiscal Law			
Reference		Topic	Sub-Topic
D	1	The applicant must, in particular, in relation to road haulage, be familiar with the rules governing: Value added tax (VAT) on transport services.	1.1. The knowledge to identify circumstances when VAT is applicable to road transport operations. 1.2. The ability to apply the procedures necessary for compliance with VAT, in respect to: a. The application of VAT b. The requirements and permitted thresholds for a business to be required to register for VAT. c. The process of registration for VAT d. Applicable rate of VAT, including knowledge of zero-rated VAT e. Submitting a return f. Understanding and differentiating input and output taxes 1.3. The impact of VAT when calculating journey rates 1.4. Implications of VAT on international journeys 1.4.1. Identification and knowledge of the procedures to reclaim VAT following international operations. 1.5. Implications of VAT in relation to cabotage

D	2	Motor-vehicle tax.	2.1 Terms of (VED) Vehicle excise duty, including: a. Calculation of costs This will include the methods used to calculate the VED cost, using V149/1. b. Cost comparison, including potential advantages and disadvantages between 6 month and 12-month options. c. Cost comparison, including the potential advantages and disadvantages between single payments and instalments. d. Knowledge of the method to obtain VED by online means. 2.2 Knowledge of the relevant agency and procedures for payment 2.3 Knowledge for obtaining a refund. 2.4 Knowledge of trade licence requirements and restrictions 2.5 Knowledge of the requirements and restrictions for VED in relation to recovery vehicles. Including the specific usage of the vehicle in order to qualify as being a recovery vehicle: a. Recovery of broken down / disabled vehicles. b. Removal of broken down / disabled vehicles for repair or to be scrapped, or from a repair location to be scrapped. 2.5.1. Understanding that a recovery vehicle is a vehicle which is constructed or permanently adapted primarily for any one or more of the purposes of lifting, towing and transporting a disabled vehicle
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D	3	The taxes on certain road haulage vehicles and tolls and infrastructure user charges.	3.1 Knowledge of the impact that additional charges can have on the profit and loss of an operation. This will include understanding how failing to include costs, which should have been foreseen, can have an adverse effect on profitability. 3.2 Identification of national infrastructure charges, including: a. Bridge tolls b. Tunnel tolls c. Congestion charges d. Environmental restrictions, such as LEZ 3.3 Knowledge of the known items in 3.2 locations within the UK, including for each one: a. The location b. Restrictions, i.e., for dangerous goods c. Terms for prepayments or onboard payment units d. Exemptions, if applicable 3.4 Identification of charges relevant for international operations, including: a. Potential charges relevant to transport, such as road tolls b. Charges for environmental purposes, such as congestion, heavy vehicle, emission and city centre exclusions and charges. 3.5 Application of UK VED, implementing the convention on the taxation of road vehicles engaged in international goods transport.
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D	4	Income tax.	4.1 Understanding of the PAYE system in the UK. 4.2 Calculation method for income tax deductions from employees 4.3 Method of collection and payment of income tax 4.4 Income tax requirements, methods and payments for self-employed. 4.5 Implementation, restrictions and potential adverse effects of providing benefits in kind. 4.6 Implementation, restrictions, allowances and means to provide expenses, including: a. Reimbursement of paid out monies. b. Meal allowance c. Subsistence d. Cleaning (workwear) allowance 4.7 Understanding of IR35
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D	5	Corporation Tax.	(Additional to Regulation 1071/2009) 5.1. Requirement to register for corporation tax. 5.2. Method of calculation for corporation tax 5.3. Preparation of corporation tax return to HMRC
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NLTC Reference		TM-RT 05	
Syllabus Reference E – Business and financial management of the undertaking			
Reference		Topic	Sub-Topic
E	1	Be familiar with the laws and practices regarding the use of cheques, bills of exchange, promissory notes, credit cards and other means or methods of payment.	1.1 Knowledge of the (FCA) financial conduct authority 1.2 Minimum required content and legal requirements, as applicable, for: a. Invoices b. Credit / debit notes c. Quotation & Estimations d. Statements e. Pro forma invoices 1.3 Knowledge of the relevant terms of the promissory notes, (part 4) bills of exchange act 1882. 1.4 Knowledge of various methods of payment, including: a. Cash b. Credit cards c. Debit cards d. Cheques e. Bills of exchange f. Credit (electric)transfer g. (BACS) Bankers automated clearing system. h. Direct debit 1.5 Delay in transfer periods for funds to arrive at bank. 1.6 Knowledge of the practice of using fuel cards

E	2	Be familiar with the various forms of credit (bank credit, documentary credit, guarantee deposits, mortgages, leasing, renting, factoring, etc.) and the charges and obligations arising therefrom.	2.1 Knowledge of the consumer credit act 1974 2.2 Incoming finance methods, including the advantages and potential disadvantages to a business for each type: - Invoice factoring - Mortgage - Trade credit - Overdraft - Loan (secured) - Load (unsecured) - Debenture 2.3 Ability to calculate interest rates and total repayment costs. 2.4 Directors' loans, including procedure, potential interest rates and taxation implications. 2.5 Knowledge of agreements relevant to credit regarding vehicles, premises and equipment, including: - Leasing - Renting - Hiring 2.6 Knowledge of the correct procedures for collection of deposits. 2.7 Knowledge of the legal requirements relevant to refunds. 2.8 Financial standing / current status. This refers to the ability to provide confirmation that any stated finances actually exist and that those finances are in the name of the specific legal entity holding the licence.
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E	3	know what a balance sheet is, how it is set out and how to interpret it	3.1 Overview of statutory accounts, including the necessity of, and purpose for, the balance sheet. 3.2 Content of the balance sheet, including explanation of: a. Fixed assets b. Current assets c. Current liabilities d. Long term liabilities 3.3 Additional contents, which may be included in the balance sheet, including explanations of: a. Creditors b. Debtors c. Capital d. Depreciation 3.4 Use of the balance sheet to determine the financial health, standing, of a business.]
	4	Ability to read and interpret a profit and loss account	4.1 Overview of statutory accounts, including the necessity of, and purpose for, the profit and loss account. 4.2 The ability to understand and create a profit and loss account. 4.3 Understanding of direct costs, including associated implications. 4.4 Understanding of indirect costs, including associated implications. 4.5 Understanding the calculations necessary to arrive at a gross profit. 4.6 Understanding the calculations necessary to arrive at a gross loss. 4.7 Understanding the calculations necessary to arrive at a net profit. 4.8 Understanding the calculations necessary to arrive at a net loss.

E	5	Ability to assess the undertaking's profitability and financial position, in particular on the basis of financial ratios.	5.1. Understanding methods of assumption of the financial status of a business, based on financial records. Including the importance of this in respect to the financial security of transport operation. 5.2. Identification of principle guides, including knowledge of: a. The working capital b. Capital employed (tied up) c. Current return on capital employed. d. Gross profit or loss as a percentage of sales e. Net profit or loss as a percentage of sales 5.3. Understanding the principles of a cash flow forecast, including the direct and indirect method.
	6	Ability to prepare a budget	6.1. Understanding the function and necessity for a financial budget. 6.2. Understanding when a budget should be used and the means of presentation. 6.3. The ability to develop a budget based on data provided and available to the developer. 6.4. Content inclusion for the budget: a. Predicted income. b. Predicted outgoings. c. Cash flow / turn over. d. Including unpredicted / unexpected costs e. Depreciation 6.5. The ability to manage a situation following an unexpected alteration to predictions within the budget. 6.6. Inclusion of monitoring the performance of a budget with set comparisons between the predictions in the budget and the actual financial scenario.

E	7	Be familiar with the cost elements of the undertaking (fixed costs, variable costs, working capital, depreciation, etc.), and be able to calculate costs per vehicle, per kilometre, per journey or per tonne	7.1. The ability to provide a price for a consignment, which will be appropriate to the outgoing costs necessary to complete the consignment. 7.1.1. The ability to calculate the outgoing costs necessary to complete the consignment, incorporating the items set in this part and in 7.2. 7.1.2. Inclusion of mitigation controls, by means of an extended profit percentage for potential costs which may occur following the price calculation, for example unexpected mileage due to a diversion. 7.1.3. Account taken for depreciation of assets, including the reduced value of the vehicle by age and mileage. 7.1.4. Account taken for depreciation of assets, including wear and tear resulting in renewing of components such as tyres and brakes. 7.2. Knowledge of different costs involved in the business and for individual consignments, including: 7.2.1. Understanding of fixed costs, i.e., insurance, vehicle leasing, etc 7.2.2. Understanding of variable costs, i.e., fuel, wages, components, etc. 7.2.3. Understanding of overheads, i.e., traffic office staff, leasing and running of premises, etc 7.3. For international operations, consideration provided for exchange rates. 7.4. The effects of different driver pay structures in relation to varying consignments, including salary, hours worked and productivity schemes. 7.5. Knowledge of the inclusion of marginal costs. 7.6. The ability to arrive at a suitable cost for a consignment based on: a. The type of vehicle used for the consignment (see 7.7)
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			b. The charge per kilometre c. The charge per tonne carried. d. A single consignment cost. 7.7. Additional charges, if applicable, relevant for the use of specialist, and expensive, equipment. This should take into consideration: a. Reimbursement for the initial outlay, prorated per use. b. Depreciation of the equipment value c. Maintenance of the equipment d. Loss of revenue / minimum rate. (e.g., whilst being used for a single consignment, the operator may lose an order for multiple consignments from another client). 7.8. Calculations for one-way consignments. 7.9. Calculations for third element consignment procedures, such as the cost of tanker washing, including the service, distance and time required. 7.10. The ability to provide costings which achieve cost effective operations which are compliant with regulations, commercially competitive and capable of obtaining a suitable degree of profit for the operator.
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	8	Ability to draw up an organisation chart relating to the undertaking's personnel as a whole and to organise work plans, etc.	8.1. The ability to identify necessary roles and staffing levels proportionate to the operation. 8.2. The ability to evaluate different staffing structures. 8.3. The ability to set targets and implement (KPI) key performance indicators, to relevant personnel and operations. 8.4. The ability to develop safe systems of work and work plans for specific personnel and specific operations. 8.5. The ability to develop a functional and understandable organisational chart for either a business, a part of the business such as an out base or depot, or for specific activity or function carried out by the business.
	9	Be familiar with the principles of marketing, publicity and public relations, including transport services, sales promotion and the preparation of customer files, etc.	9.1. Understanding of the basic principles of marketing, including: a. The 4 'P's: Product, price, place & promotion b. Compliance with consumer protection from unfair trading regulations 2008 (and the amendments in 2014). c. Accurate description of the service d. Decent. Not obscene or offensive e. Honest and truthful f. A legal activity g. Socially responsible

			9.2. Knowledge of different advertising methods, including the difference between direct and indirect advertising methods. 9.3. Knowledge of the importance of market research. 9.4. Knowledge of the use of social media 9.4.1. Advertising on social media 9.4.2. Social media presence, on various platforms 9.4.3. Effects of adverse, negative, social media posts, including the potential to worsen a situation by providing an unpopular comment to a feedback reply. 9.5. The benefits relating to good public relations portraying good reputation and favourable media image. 9.6. The benefits relating to notification and advertising favourable practices, such as environmental assistance by means of practices or purchase of equipment to reduce the organisations carbon footprint.
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	10	Be familiar with the different types of insurance relating to road transport (liability, accidental injury/life insurance, non-life and luggage insurance) and the guarantees and obligations arising therefrom.	10.1. Knowledge of essential insurances required for business, including public liability insurance and employers' liability insurance. 10.2. Knowledge of essential insurance necessary for transport operations. Including the possible alternatives to obtaining insurance via insurance providers. 10.3. Knowledge of calculations used to determine premiums, including potential methods of reducing insurance premiums. 10.4. Knowledge the motor insurance bureau 10.5. Possible causes and circumstances which may invalidate insurance policies. 10.6. (EHIC) European health insurance card and other provisions for medical treatment for employees whilst not operating in the UK. 10.7. Identification of discretionary forms of insurance, relevant to road transport, including: a. Consequential loss b. Professional negligence c. Motor cover – enhanced. d. Cover for cash & valuables in transit e. Goods in transit f. Repatriation (included with travel & health) g. CMR insurance h. Maritime risks i. International motor insurance 10.8. Knowledge of the European green card insurance
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	11	Be familiar with the applications of electronic data transmission in road transport; in relation to road haulage.	11.1. Understanding of the benefits to finance, operation, and security by implementing electronic data transmission systems. 11.2. Transport managerial systems capable of routing and scheduling consignments and drivers' activities. 11.3. On vehicle devices, including: a. Real time satellite navigation systems b. Vehicle tracking devices. c. Camera access d. Consignment tracking devices. 11.4. Devices used for proof of delivery. 11.5. Data protection act 1998, relevant to the use of information & communication technology.
	12	Ability to apply the rules governing the invoicing of road haulage services and know the meaning and implications of Incoterms.	12.1. Basic requirement fields necessary for an invoice. 12.2. Knowledge of (Incoterms) International commercial terms, set by the (ICC) international chamber of commerce. 12.2.1. Recognised roles of participants, including sellers & buyers. 12.2.2. Knowledge of the 11 rules relevant to Incoterms, specifically the 7 rules which are pertinent to all transport operations, including road transport. a. EXW - Ex Works b. FCA - Free Carrier c. CPT - Carriage Paid to d. CIP - Carriage and Insurance Paid To e. DAP - Delivered at Place f. DPU - Delivered at Place Unloaded g. DDP - Delivered Duty Paid

		12.2.3. What incoterms do not cover: a. All the conditions of a sale b. Identity of the goods being sold or list the contract price. c. Reference the method or timing of payment negotiated between the seller or buyer d. When title, or ownership of the goods, passes from the seller to the buyer e. Specify which documents must be provided by the seller to the buyer to facilitate the customs clearance process at the buyer's country f. Address liability for the failure to provide the goods in conformity with the contract of sale, delayed delivery, or dispute resolution mechanisms. 12.3. Understanding of invoice terms
13	Be familiar with the different categories of transport auxiliaries, their role, their functions and, where appropriate, their status	13.1. Knowledge of organisations and operations which are auxiliary to the operation of the transport operator, including: 13.1.1. Sub-contractors 13.1.2. Employment agencies 13.1.3. Freight forwarders 13.1.4. Warehouse, storage, and distribution services 13.1.5. Consolidation, groupage, services 13.1.6. Clearance houses 13.1.7. Freight exchanges 13.2. Knowledge of the functions and services provided of each of the entities listed in 13.1.

NLTC Reference		TM-RT 06	
Syllabus Reference F – Access to the market			
Reference		Topic	Sub-Topic
F	1	Familiarity with the occupational regulations governing road transport for hire or reward, industrial vehicle rental and subcontracting, and in particular the rules governing the official organisation of the occupation, admission to the occupation, authorisations for intra-Community and extra-Community Road transport operations, inspections and penalties.	1.1 Understanding different types of operator’s licence, including: a) Standard national b) Standard international c) Restricted licence 1.2 Knowledge of the minimum requirements necessary to receive an operator’s licence. Particular emphasis on the need to advertise within 21 days of the application. 1.3 Knowledge of the correct procedures applicable when making any alterations to an existing operation. 1.4 Knowledge of the requirements of organisations to hold appropriate operators’ licences, including: a. Appropriate licence for the operation b. Number of vehicles applicable to the licence c. Requirements for operations with vehicles based in other locations. 1.5 The criteria and procedure necessary to obtain an operator’s licence. Including knowledge of the goods vehicle operator licensing guide and right first time check tool.

F	1	1.6 Barriers to approval for an operator's licence, including: a. Objections i. Statutory objectors ii. Landowners iii. Occupiers of premises likely to be affected. b. Finance c. Premises d. Maintenance agreements 1.7 Knowledge of the procedure regarding hired and other third-party vehicles with regards to the operator's licence. 1.8 Requirements for both national and for international operations 1.9 Options available to the traffic commissioner when considering applications. 1.10 Sanctions and penalties, including the role of enforcement agencies, curtailing and removal of the licence. 1.11 The right of appeal against a traffic commissioner decision. 1.12 Understanding the various quality control monitoring methods applicable to the UK authority, including (OCRS) Operator risk compliance score and DVSA earned recognition. 1.13 Compliance with standard conditions on the licence, including the necessity to notify relevant events. Consequences and potential regulatory action against the operation and the transport manager.
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F	2	Familiarity with the rules for setting up a road transport undertaking.	2.1 The necessity to have a qualified transport manager. 2.2 Rules regarding the use of a third party transport manager. 2.3 Knowledge of the operational regulations which govern road transport. 2.4 Obtaining vehicles, including finance required for the first and for subsequent vehicles. 2.5 Vehicle service schedules
	3	Familiarity with the various documents required for operating road transport services and the introduction of checking procedures to ensure that the approved documents relating to each transport operation, and in particular those relating to the vehicle, the driver, the goods and luggage are kept both in the vehicle and on the premises of the undertaking.	3.1 Knowledge of the documentation that is required for national carriage with regards to: a. The driver b. The vehicle c. If applicable, the load (see 3.4) 3.2 Knowledge of the documentation required for international journeys, including as appropriate: a. The vehicle and trailer registration documents (see 3.3) b. Certificates for any specialist vehicle approvals c. A goods vehicle operator licence disc d. Licences or permits needed for the journey e. Vehicle and trailer insurance documents f. A UK sticker g. Angles mort sticker for France 3.3 Understanding of the vehicle logbook (V5C) and a VE103 for hired or leased vehicles being used for international journeys.

F			3.4 Knowledge of various documents required for specific operations, including: a. The carriage of dangerous goods b. Transportation of perishable food c. Sealed load compartment documentation relating to TIR border crossings. 3.5 Knowledge of the documents required for international journeys deemed to be a cabotage job. 3.6 Documentation and arrangements relating to customs, including knowledge of the UK licence to the community.
	4	Familiarity with the rules on the organisation of the market in road haulage services, as well as the rules on freight handling and logistics	4.1 Knowledge of the requirements for international haulage including: a. Cabotage b. Cross trade c. Relevance of (ECMT) European conference of ministers of transport permit 4.2 Knowledge of: a. The TIR convention procedures b. (CTC) Common transit convention 4.3 Knowledge of the authority and role of the secretary of state for transport. 4.4 Understanding of the relevant permits, authorities and documents required for third country operations, own account operations, bilateral and multilateral operations.

	5	Familiarity with border formalities, the role and scope of T documents and TIR carnets, and the obligations and responsibilities arising from their use	5.1. Understanding of the procedures for border crossings, including: a. Passport and visa requirements and procedures b. Security controls, including smuggling. c. Restrictions and prohibitions on certain goods 5.2. Knowledge of the T document, regarding British citizenship 5.3. Understanding of the various relevant rules for customs transit, including: a. (CTC) Common transit convention b. (NCTS) New computerised transit system c. (TIR) Transports internationaux routiers d. (ATA) Carnet – Temporary admission
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NLTC Reference		TM-RT 07	
Technical standards and technical aspects of operation			
Reference		Topic	Sub-Topic
G	1	Familiarity with the rules concerning the weights and dimensions of vehicles in the Member States and the procedures to be followed in the case of abnormal loads which constitute an exception to these rules.	1.1 The ability to identify the appropriate basic terms used for various weights which are relevant to the transport operation, including: a. Tare weight b. Net weigh c. Gross weight 1.1.1 The ability to calculate the net weight of a load based on knowledge of the gross and tare weights. This will include the calculation to assign the maximum weight of a load on a vehicle based on the maximum permissible weight assigned for the vehicle. 1.1.2 Knowledge of other terms used within the transport industry and their meanings and relevance, including: a. Unladen weight b. Kerbside weight c. (MAM) Maximum authorised mass d. Permissible maximum weight e. Design weight f. Train weight g. Total axle weights for trailers 1.1.3 Knowledge of the importance of maximum axle weights and how a vehicle can be within its permissible gross weight limit and still exceed its maximum axle weight limits. This will include the effects of load positioning in relation to axle weights.

G	1	1.2 Knowledge of maximum weights permitted for different vehicles, based on vehicle type, number of axles, configuration and suspension types. In particular, those relative to: a. Rigid vehicles b. Articulated vehicles – including draw bar combinations. 1.2.1 This part will include knowledge of the Road Vehicles (Construction & Use) Regulations 1986 (C&U) Regs and the Road Vehicles (Authorised Weight) Regulations 1998 (AW) Regulations 1.3 Knowledge of the maximum limits for various vehicles in regard to: a. Length b. Width c. Height 1.3.1 Knowledge of additional width permitted for refrigerated vehicles. 1.3.2 Vehicle heights and avoidance of bridge strikes, use of height indicators in the driver's cab. 1.4 Knowledge of the different requirements for 1.1, 1.2 and 1.3 regarding other countries. 1.5 Knowledge of regulations 81 and 82 of the Road Vehicles (Construction and Use) Regulations 1986 (C&U), regarding loads overhanging the front, rear or sides of a vehicle. Include the use of greedy boards. 1.6 Abnormal loads: 1.6.1 Understanding of the term abnormal indivisible load 1.6.2 Knowledge of (STGO) Road vehicles (Authorisation of Special Types) - General order 2003 1.6.3 (ESDAL) Electronic Service Delivery for Abnormal Loads, regarding notification of intended routes. 1.7 The authority and role of enforcement agencies.
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G	2	Ability to choose vehicles and their components (chassis, engine, transmission system, braking system, etc.) in accordance with the needs of the undertaking	2.1 The ability to analyse the needs of the business regarding the choice of vehicles, equipment and components. 2.1.1 The ability to select vehicles, equipment and components based on: a. Economics b. Environmental impact c. Reliability and facilities for maintenance or replacement d. Amalgamated use within the business e. Conformity with required use 2.1.2 The ability to select the appropriate and preferred item, from the list in 2.1.3, for the operation; based on: a. Knowledge of reliability and quality b. Availability of maintenance providers c. How the item will fit it with items currently used by the business. d. Potential improvements to economy, performance and environmental impact. e. Pertinent regulations, including compliance with construction and use regulations. 2.1.3 The ability to select the most appropriate item, beneficial to the undertaking with regards to: a. The type of vehicle b. Engine, including fuel type, appropriate BHP and maker c. Transmission d. Suspension system e. Braking system f. Axles g. Wheels and tyres h. Emissions 2.1.4 The ability to select the appropriate specialist equipment relevant to an operation. 2.1.5 Consideration to the available infrastructure for electric vehicles.
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G	3	Familiarity with the formalities relating to the type approval, registration and technical inspection of these vehicles.	3.1. Knowledge of the requirements for plating and testing as set out in road vehicles construction and use regulations. 3.2. Knowledge of vehicles which are subject to tests. 3.3. Knowledge and understanding of manufactures plates. 3.4. Knowledge of annual inspections 3.5. The ability to report to the relevant authority relating to a notifiable event. 3.6. Knowledge of the procedure to register a new, or newly acquired vehicle. 3.7. Knowledge of the authority of enforcement agencies, including inspections and prohibitions. 3.8. The adverse effects resulting from a failure to comply, including the effect on the OCRS rating for the organisation. 3.9. Knowledge of the procedures and documents involved in acquiring new vehicles, testing them and ensuring they are kept in a roadworthy condition. This includes understanding the type approval systems available to operators. Candidates should also understand vehicle plating and testing. 3.10. Knowledge of the requirement to report a change made to an HGV or trailer. Known as a notifiable alteration, which has been made to the vehicle or trailer weight, tyres or brakes. Including the VTG10 procedure.
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G	4	Understanding of what measures must be taken to reduce noise and to combat air pollution by motor vehicle exhaust emissions.	4.1 Knowledge of part 2 of the regulations governing the construction, equipment and maintenance of vehicles, section K – Control of emissions. 4.2 Knowledge of regulation 97 of the road vehicles (construction and use) regulations 1986, regarding the requirement for drivers to avoid excessive noise. 4.3 Familiarity with the requirements to reduce pollution caused by exhaust emissions. 4.4 Familiarity with the requirements to reduce noise emanating from exhaust systems.
	5	Ability to draw up periodic maintenance plans for the vehicles and their equipment, in relation to road haulage.	5.1. Familiarity with the necessity of a set maintenance programme, for vehicles and applicable items of equipment. 5.1.1. The ability to create a maintenance programme, which considers: a. Regulative and legislative requirements b. Periodic intervals between scheduled maintenance c. A realistic timescale, which is operationally achievable. d. A risk-based approach, based on the vehicle type and its use, taking into consideration the results from regular safety inspections. e. The ability to instil facilities for regularly reviewing the schedule. f. Where applicable, vehicle and equipment calibrations. 5.1.2. Familiarity with government set 'best practice'. This will include familiarity with the DVSA guide to maintaining roadworthiness: commercial goods and passenger carrying vehicles 5.2. The obligations, responsibilities and requirements for:

G			a. Operators providing in-house maintenance. b. The use of third-party maintenance providers 5.3. Vehicle defects: 5.3.1. Means and procedure for drivers to notify the appropriate person or department of a defect. 5.3.2. Setting a (VOR) vehicle off road procedure 5.4. Driver and user checks 5.4.1. Development and distribution of appropriate and suitable vehicle daily walkaround check sheets. 5.4.2. Implementation of set procedures for drivers to carry out thorough daily checks. 5.4.3. Application of quality assurance procedures to ensure suitable driver checks have been applied. 5.5. Requirements for appropriate documentation and for record keeping.
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G	6	Familiarity with the different types of cargo-handling and loading devices (tailboards, containers, pallets, etc.) and be able to introduce procedures and issue instructions for loading and unloading goods (load distribution, stacking, stowing, blocking and chocking, etc.)	6.1. The ability to develop risk assessments and safe systems of work for all items of equipment to be used within the operation. 6.2. The requirement to provide written procedures, instruction and training to all persons using items of equipment within the operation. 6.3. Understanding the limitations of equipment, including: a. Weight b. Stress c. Lifting capacity d. Compatibility with the vehicle and load e. Specific training or certified user requirements f. Additional items or equipment required. 6.4. Appropriateness and correct use of equipment, taking into consideration risks to safety, damage to the vehicle or load and consequences of failure of the equipment to complete its intended task. 6.5. The ability to select the most appropriate equipment for the task or operation. This includes the ability to identify equipment which is not appropriate or provides a lesser quality alternative to the use of other equipment. 6.6. Familiarisation with the department for transport code of practice, safety of loads on vehicles.
	7	Familiarity with the various techniques of 'piggy-back' and roll-on roll-off combined transport	7.1. Familiarity with freight container operations, including: a. ISO standards b. Intermodal and multimodal operations c. Securing methods and vehicle requirements 7.2. Maritime, rail and air operations relative to combined transport operations.

G	8	Ability to implement procedures to comply with the rules on the carriage of dangerous goods and waste, notably those arising from Directive 2008/68/EC(16) and Regulation (EC) No 1013/2006	8.1. Knowledge of the regulations regarding the transport of dangerous goods by road, including: a. CDG regulations b. ADR 8.2. Understanding the necessity and role of the (DGSA) dangerous goods safety adviser. 8.3. Knowledge that specific requirements are applicable to the carriage of dangerous goods, including: 8.3.1. Documentation: 8.3.2. Equipment to be carried: 8.3.3. Training: 8.3.4. Marking of vehicles: 8.4. The requirements relevant to the carriage of waste, including: 8.4.1. The hazardous waste regulations 2005, part 6 8.4.2. Consignment note (Form HWCN01v112) 8.4.3. Identification of wastes, including the (EWC) European waste codes, required licences and documents. 8.5. Movement of dangerous goods by multimodal operation, including knowledge of: a. (RID) Regulation concerning the International Carriage of Dangerous Goods by Rail b. (IMDG) International maritime dangerous goods regulations c. (IATA) International air transport association & (ICAO) International civil aviation organisation
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G			8.6. Knowledge that exemptions and derogations from regulations exist, so not all dangerous goods consignments are necessarily fully subject to the regulations: 8.7. Knowledge that ADR sets requirements for the specification of certain vehicles.
	9	Ability to implement procedures to comply with the rules on the carriage of perishable foodstuffs, notably those arising from the Agreement on the International Carriage of Perishable Foodstuffs and on the Special Equipment to be used for such Carriage (ATP)	9.1. Understanding of (ATP) agreement on the international carriage of perishable foodstuffs and on the special equipment to be used for such carriage. 9.2. The food types relevant to the agreement. 9.3. The requirements regarding temperature control for foodstuffs, including record keeping. 9.4. The requirements for hygiene arrangements. 9.5. The necessity for suitable segregation and prevention of contamination. 9.6. Certification, testing and marking of vehicles and containers.

G	10	Ability to implement procedures to comply with the rules on the transport of live animals.	10.1. Understanding the requirements to transport live animals, including recognition that specific requirements are required for: 10.1.1. Feeding and watering. 10.1.2. Appropriate route planning, incorporating places for stops. 10.1.3. Record keeping. 10.1.4. Cleaning 10.2. The requirements for the design and construction of the vehicle for the carriage of livestock. 10.3. Knowledge of the necessary and appropriate requirements for training. 10.4. Location of relevant regulations regarding UK and EU transport. 10.5. Knowledge of relevant regulations, legislations and recognised best practice.
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NLTC Reference		TM-RT 08	
Syllabus Reference H – Road Safety			
Reference		Topic	Sub-Topic
H	1	Know what qualifications are required for drivers (driving licence, medical certificates, certificates of fitness, etc.)	1.1. Knowledge of the UK driving licence category system. 1.1.1. The ability to know the appropriate category of licence required for particular vehicles. 1.1.2. Knowledge of licence restriction codes, i.e., 01 requires eyesight correction. 1.1.3. The ability to identify the expiry date of a licence. 1.1.4. Knowledge of how the UK driver number is generated. 1.1.5. Knowledge of the requirement and procedure to report a driver's condition to DVSA is appropriate. 1.2. Knowledge of the requirements for HGV licence holders to undertake medical checks. 1.3. (DQC) Driver qualification card: 1.3.1. Requirement to be carried. 1.3.2. Procedure to obtain the DQC for completing driver CPC. a. The initial driver CPC (modules 2 & 4) b. The requirements for periodic training 1.3.3. Procedures to check a drivers current uploaded driver CPC. 1.4. Knowledge of international driving permits

H	2	Be able to take the necessary steps to ensure that drivers comply with the traffic rules, prohibitions and restrictions in force in different Member States (speed limits, priorities, waiting and parking restrictions, use of lights, road signs, etc.)	2.1 Knowledge and understanding of the relevant sections of the highway code. 2.2 Knowledge of speed limits a. For various road types b. For different countries c. For different vehicles 2.3 Signage and signals 2.4 Particular rules specific to certain types of road and vehicle type 2.5 Rules regarding stopping, waiting, and parking, particularly relevant to rules regarding loading and unloading. 2.6 Knowledge and understanding of the differing rules, relevant to the transport operation in other member states, particularly those which differ significantly from those rules in the UK. 2.7 Knowledge of the requirements for certain documents and equipment to be carried on board a vehicle in other countries. 2.8 Knowledge of any modifications or alterations required to UK vehicles which will be operating in another country. 2.9 Knowledge of prohibited items or articles, relevant in certain countries. 2.10 Knowledge of the appropriate enforcement agencies; their authority and the consequences of non-compliance in that agency's country.
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H	3	Be able to draw up instructions for drivers to check their compliance with the safety requirements concerning the condition of the vehicles, their equipment and cargo, and concerning preventive measures to be taken.	3.1 The ability to develop a suitable and appropriate vehicle check list, used by drivers for daily 'walk around' checks. 3.1.1 Understanding of the importance and necessity for compliance checks, including an understanding of the consequences and penalties associated with non-compliance. 3.1.2 Knowledge of the appropriate elements to include in the checklist: a. For compliance with regulations b. For safety c. For security 3.1.3 Providing training for drivers to understand: a. The appropriate time and circumstance to undertake the check. b. The time expected to carry out the check. c. The items to check, including what constitutes suitable condition of an item and what indicates a defective or dangerous item. d. The procedure for defecting the vehicle or item. 3.1.4 The importance of including a 'nil defect' report 3.1.5 The importance of a set procedure for (VOR) vehicle off road, when a defective or out of service vehicle should not be moved. 3.1.6 The importance of including checks on: a. The load b. Load securing devices. c. Doors and load compartment securing devices. d. Security equipment 3.1.7 Procedure for supervision, confirming checks have been undertake as set out.
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H			3.2 The ability to develop a vehicle and equipment defect procedure. 3.3 Consequences relevant to drivers for failing to comply. This will include knowledge of traffic commissioner driver conduct hearings and possible outcomes.
	4	Be able to lay down procedures to be followed in the event of an accident and to implement appropriate procedures to prevent the recurrence of accidents or serious traffic offences.	4.1 Knowledge of the procedures that should be undertaken, following a road traffic accident; both in the UK and in EU countries. 4.1.1 Knowledge and understanding of the (EAS) European accident statement. 4.1.2 Knowledge of what constitutes essential information which must be provided following a road traffic collision. 4.2 Knowledge of the function public liability and third-party motor insurance, including the effects caused by making a claim following a road traffic collision. 4.3 The ability to develop a set procedure for drivers to follow in the event of a road traffic collision. This procedure should include: a. Indicators of what constitutes a reportable incident. b. The procedure for reporting c. Information to be obtained at the scene. d. Differentiating between blameworthy and non-blameworthy scenarios e. A policy for drivers to follow in order to limit or avoid culpability or liability 4.4 The ability to develop a procedure to reduce the likelihood, or avoid, recurrence of the situation. This should include use of a method to determine the root cause of the incident, lessons learned and appropriate actions to be employed.

H	5	Be able to implement procedures to properly secure goods and be familiar with the corresponding techniques.	5.1 Knowledge of the department for transport code of practice, safety of loads on vehicles. 5.2 The ability to develop a safe system of work, taking into consideration risk assessments, for different types of loading and securing types and mechanisms.
	6	Have elementary knowledge of the layout of the road network in the Member States	6.1 Knowledge of the E- road network numbering system 6.2 The ability to use relevant technology to obtain knowledge of foreign road systems.



Centre Operational Procedure

Level 3 Certificate of Professional
Competence for Transport managers
(Road Haulage)

Version 2

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Section 1: Method of Qualification

1.1. Qualification title

The title of the qualification is – NLTC Level 3 Certificate of Professional Competence for Transport Managers (Passenger Transport).

1.2. Qualification descriptive overview

The qualification is designed and has been developed to meet the requirements of Regulation (EC) No 1071/2009.

In particular, article 8 and annex 1 of the regulation.

1.3. Validity period

1.3.1. The qualification, once achieved, does not state an expiry date or validity period.

1.4. Refresher training and assessment

1.4.1. As set out in 1.3.1, the qualification does not have an expiry period and, as such, does not prescribe any re-validation requirements. However, (EC) Regulation No 1071/2009, from which the qualification is based, sets out two requirements for updated, periodic, training, which may be required by member states.

1.5. Method of teaching

1.5.1. NLTC does not prescribe any rules regarding the teaching of this qualification, other than those set out in this part.

1.5.2. Approved centres should only present candidates for assessment if the requirements of the list in this part have all been met and complied with.

- a. The approved centre should be satisfied that the candidate has obtained a suitable knowledge and is capable of successfully completing the assessments.
- b. The candidate has undertaken training which covers the entire syllabus for this qualification.
- c. The candidate is aware of the method of assessment and has a suitable knowledge of the rules for the assessments.

- 1.5.3. Any person who has been involved in the development of the assessment for this qualification may not be involved in teaching.
- 1.5.4. Past papers or practice assessment materials authorised and provided by NLTC for this precise purpose may be used.
- 1.5.5. The use of direct or indirect teaching is at the discretion of the approved centre. This could include, but is not limited to:
- a. Classroom teaching
 - b. Remote teaching
 - c. E-Learning
 - d. Home Study
- 1.5.6. NLTC does not prescribe any particular teaching materials; however, any materials used must cover the entire syllabus and be fully up to date.
- 1.6. Pre-requisites
- 1.6.1. In accordance with EC Regulation No 1071/2009 article 8, the candidate intending to undertake the assessment shall be a resident of the country which the assessment is taking place in; or in the country which they work in. Items A & B below are taken from the regulation.
- Item. A 'Normal residence' shall mean the place where a person usually lives, that is for at least 185 days in each calendar year, because of personal ties which show close links between that person and the place where he is living.
- Item. B If the normal residence of a person whose occupational ties are in a different place from his personal ties and who, consequently, lives in turn in different places situated in two or more Member States, shall be regarded as being in the place of his personal ties, provided that such person returns there regularly. This last condition shall not be required where the person is living in a Member State in order to carry out a task of a definite duration.
- 1.6.2. Candidates should have either undertaken a training course covering the entire syllabus or have proven to the approved centre that they hold an adequate knowledge either by means of previously taking training or by means of experience, to have a sufficient knowledge of the syllabus which would be adequate to pass the assessments.

In the welfare of the candidates' best interests; NLTC would expect an approved centre to ensure that any candidate intending to undertake the assessments holds a suitable level of knowledge, relevant to the qualification syllabus and what would reasonably be expected of a transport manager.

- 1.6.3. Candidates must be aware of the rules and conduct required for undertaking the assessment prior to starting the assessment.
- 1.6.4. The candidate must be able to provide proof of their identity, prior to beginning the assessments. The required method is a document provided by the Government, which includes the candidates photograph and signature. For example, a Passport or Driving Licence. If these are not available, NLTC will provide alternative checks for identity.

Section 2: Approvals

2.1. Centre approval

2.1.1. Teaching for this qualification does not require approval as an NLTC centre.

2.1.2. Assessment may only be carried out by approved NLTC centres.

2.1.3. Centres must apply to NLTC for approval to conduct these assessments. In the first instance, this should be via email to courses@nltc.co.uk.

2.1.4. Centres who are already approved by NLTC for regulated qualifications, can apply to be approved for this qualification by using the NLTC portal. In this case, the terms set out in 2.1.5 must be met in order for approval to be granted for this qualification.

2.1.5. NLTC will consider all applications for approval. Such consideration will be based on the criteria set out in this part.

- a) No centre who has previously been disqualified by an awarding organisation or trade organisation, will be considered.
- b) NLTC will carry out due diligence checks on applications from centres who are not already approved as NLTC centres for regulated qualifications.
- c) Applicants must nominate a responsible person, as required in 2.5. This responsible person must be of good standing and repute. As applicable, NLTC may carry out due diligence checks on the nominated responsible person.

2.1.6. Centres must be able to comply with the requirements set out in the list in this part.

- a) The centre must have the means and ability to provide examinations securely and in full compliance with the terms of this procedure.
- b) The centre must have at least one approved examiner who will carry out the assessments. This person does not need to be directly employed by the centre, but a valid written agreement must be in place stating that the approved examiner will carry out NLTC assessments for that centre, as set out in 2.4.2.3.

Note that the approved examiner may not also teach the course.

- c) The centre must have access to a suitable facility to carry out the assessments. This does not need to be a facility owned, leased or rented exclusively by the centre. Facilities used for mobile assessments, such as hotel conference facilities, may be used for this purpose provided that the terms set out in 2.1.7 and 2.4 are fully complied with.
- d) The centre must permit unhindered access to NLTC quality control officers at any time during the assessment, including any times relevant to preparation or post assessment.

2.1.7. The use of mobile assessment centres, i.e., a facility used by a centre to carry out the assessment, which the centre does not have exclusive or permanent use of, is acceptable provided that the terms of this part are complied with in full.

- a. The terms of 2.4 are satisfied.
- b. The centre must carry out a pre-use check of the facility in order to confirm its suitability and compliance with this procedure.
- c. The centre must confirm:
 - i. Procedures set by the venue for safety and housekeeping, such as procedures in the event of a fire, requirements for first aid, etc.
 - ii. The terms set out in 2.4.3 are complied with.
- d. Joining instructions must include relevant information for the mobile assessment centre.

- e. Use of a mobile assessment centre is accepted by the responsible person as being at the risk of the centre. If an NLTC quality control officer finds that any breach of procedure or situation which could, or does, result in an adverse effect; NLTC reserve the right to cancel the assessment, without refund to the centre.
- f. All of the details relevant to the mobile assessment centre have been added to the database.

2.1.8. Continued centre approval is at the discretion of NLTC. NLTC reserves the right to curtail, restrict, suspend, or remove centre approval if it believes that any centre is failing to meet the requirements of this procedure.

2.1.9. NLTC will carry out an approval visit to an applied centre in order to ascertain that the requirements of this procedure are complied with, and the centre can be awarded approved status. The cost associated with this visit are set out in 3.7.5.

If a centre already holds approval from an Ofqual regulated awarding organisation for this qualification or has received approval from NLTC following a physical visit for a qualification; the visit required in this part may be disregarded or changed to a remote, virtual, visit.

Approval may also be provided by means of a virtual visit. This will require photographs of the examination centre, confirmations of dimensions, access, quality and distractions. It may also require a remote meeting; in this case the centre will be required to show the facility to the verifier.

The decision regarding this part is solely at the discretion of the senior quality control officer of NLTC.

2.1.9.1. Following approval, a centre must inform NLTC of any significant changes to the location.

2.1.9.2. Following approval, if an NLTC quality control officer witnesses anything at a centre which received approval via a virtual visit which contradicts the information provided to NLTC; the examination will be cancelled, and the centre will be subject to a grade 4 as set out in 5.4 of this procedure. Similarly, any centre failing to comply with 2.1.9.1 will be subject to cancellation of examinations and a grade 4 if the significant change results in the location failing to meet the requirements of this procedure.

2.2. Teacher Approval

- 2.2.1. As set out in 2.1.1, NLTC does not require approval for the teaching of this qualification.
- 2.2.2. Assessment centres must consider the candidates interests when enrolling them onto an assessment and apply diligence as to candidate having a level of knowledge that is suitable to attempt the assessments.

This can be by means of confirming that the candidate has undertaken a suitable teaching course, or by means of experience has the basic level of knowledge that would reasonably be expected for a person attempting the assessment.

In the case of teaching, which has not been carried out directly by the centre, the centre should enquire who provided the teaching. If the centre who carried out the teaching or the actual teacher is unknown to the approved centre, the approved centre may wish to carry out confirmation of understanding prior to enrolling the candidate onto the assessment. This is at the discretion of the centre but regarded as good practice by NLTC.

When it has been established that teaching has been carried out by a centre or teacher who is known to the approved centre to have a less than suitable standard, the suggested confirmation of understanding should be considered by the approved centre in stronger terms.

- 2.2.3. Any person carrying out teaching, or any part or element of the teaching, is not permitted to be the examiner.
- 2.2.4. When teaching is carried out by the approved centre who will carry out the assessment, it is recommended that:
 - a. The teacher is known to the centre and understood have a good knowledge of the subject.
 - b. The teacher is the holder of this, or an equivalent qualification, which has been updated in compliance with the regulation.
 - c. The teacher holds a qualification or approval for teaching.
- 2.2.5. The recommendation set out in 2.2.2 should establish that candidates have an understanding of the entire syllabus.

2.3. Examiner Approval

- 2.3.1. Centres must nominate at least one examiner who will be responsible for the running of the assessments.
- 2.3.2. Centres may have multiple approved examiners.
- 2.3.3. At least one approved examiner must be available throughout all assessments.
- 2.3.4. Knowledge of the subject of the qualification is not required to obtain approval as an examiner.
- 2.3.5. Approval will not be provided if the proposed examiner:
 - a. Has been disqualified, struck off or otherwise removed from approval from any regulated qualification awarding body.
 - b. Has been subject to any disciplinary action by NLTC.
 - c. Has been subject to action taken by a reputable teaching facility, provider of certified training or an employer relevant to teaching, training or assessments.
- 2.3.6. The proposed examiner must:
 - a. Provide NLTC with proof of knowledge of terms of this procedure.
 - b. Demonstrate the ability to set up and run the assessment for this qualification.

2.3.6.1. In order to provide proof of knowledge of the terms of this procedure, as set out in 2.3.6.a, the proposed examiner will be required to undertake an examination as set out in 2.6 of this procedure.

2.3.6.2. The terms of 2.3.6 b will be considered as being met:

- a. In the case of an application of an examiner who does not have a previous approval with another Ofqual regulated awarding body. An NLTC quality control officer may carry out an interview with the applicant in order to ascertain compliance with 2.3.6.

Following this interview, if the quality control officer is satisfied that the applicant meets the required standard; the quality control officer will recommend approval to the qualification manager.

If, following the interview, the quality control officer believes that the applicant has not met the required standard; the centre will receive a detailed report setting out the reason or reasons for withholding the approval. This will include recommended corrective actions or training. Prior to arranging a follow up interview for approval.

- b. In the case of an applicant being approved by another Ofqual regulated awarding body for this, or an equivalent qualification, this would be accepted.

In this case a quality control officer may still require an interview. Interviews may be carried out remotely.

2.3.7. Once approval has been provided by NLTC for an examiner, the approved examiner may provide assessments for multiple NLTC centres. In this case, the centre must enrol the approved examiner as the, or one of the examiners for their centre.

2.3.8. Approval is applied at the discretion of NLTC. Although the main criterion for approval is set out in this part, NLTC reserves the right to carry out additional scrutiny, checks and diligence on any proposed examiner as it sees fit to.

2.3.9. Following approval, approved examiners remain subject to checks, scrutiny and diligence being carried out by NLTC.

2.3.10. NLTC reserves the right to remove approval for an examiner at any time for any reason for which it regards the removal of approval to be the appropriate action.

2.4. Examination Centre Approval

2.4.1. Examinations for this qualification may only be carried out by an approved NLTC assessment centre, at a location that meets the requirements of this procedure and managed by an examiner who holds approval from NLTC for this qualification.

2.4.2. Checks will be carried out to ensure that centres comply with the terms set out in 2.1.6.

2.4.2.1. The centre must have at least one examiner who is approved by NLTC. This does not need to be a person who the centre has exclusive use of and may be a person who holds this approval and is used by multiple centres.

2.4.2.2. When a centre uses the services of a third party examiner, who is approved by NLTC, a written contract must be in place. This contract must, at the least, include confirmation that:

- a. The approved examiner agree to carry out assessments for that centre.
- b. The date that the agreement was made and signed.
- c. Any covenants, restrictive terms or conditions relative to the agreement from either party.
- d. Confirmation that both parties acknowledge and accept that any breach of this procedure by either party could have an effect on the approval of both parties.
- e. That the centre will carry internal quality control of the assessments carried out by the examiner on its behalf.

2.4.2.3. The centre must have access to a facility for the assessment, which meets the requirements set out in 2.4.3. This may be by means of a facility hired or otherwise used by the centre specifically for this purpose and where no ownership or tenancy agreement is in place between the centre and the venue.

2.4.2.4. The terms of 2.4.2.4 are subject to all proposed venues intended for use by the centre. The centre holds the responsibility of ensuring that any venue used for these assessments meets the requirements of this procedure.

2.4.2.5. The centre and venue must permit unhindered access to NLTC quality control officers. The centre must ensure that any venue used will permit this. This should be included within any specification set by the centre when considering mobile locations and must be included for a base location, which the centre has ownership or tenancy of, or regular use of.

2.4.3. Facilities for assessment must comply with the terms set out in this part:

- a. The venue must provide a suitable environment for an assessment to be carried out. This must be entirely free from any distractions, including outside activity, noise, vibration or visual movement. Under no circumstances may another activity be undertaken within the vicinity or sight of the assessment. This includes personnel unrelated to the assessment being present within the vicinity or sight of the assessment.
- b. The assessment venue must provide a comfortable environment for all candidates undertaking the assessment.

- i. There must be means to control the temperature within the facility, ensuring that a constant comfortable temperature is maintained.

The centre must ensure that this can be achieved without causing distractions, for example opening a window which results in outside noise distracting the candidates would not be acceptable.

- ii. The décor of the facility should be of a suitable quality.
- iii. Tables and chairs should be comfortable and of a good quality. Chairs should have a padded seat.
- iv. Lighting must be suitable so that candidates can easily see the assessment screen.

- c. The venue must be of a suitable size.

- i. The minimum size of a venue for this assessment is 8 square metres.
- ii. Each candidate must have at least 1.5 square metres.

The table below provides the minimum sizes required per candidate.

Candidates	1	2	3	4	5	6	7	8	9	10
Square Metres	9.5	11	12.5	14	15.5	17	18.5	20	21.5	23
Candidates	11	12	13	14	15	16	17	18	19	20
Square Metres	24.5	26	27.5	29	30.5	32	33.5	35	36.5	38
Candidates	21	22	23	24	25	26	27	28	29	30
Square Metres	39.5	41	42.5	44	45.5	47	48.5	50	51.5	53

- iii. The size included in this part is subject to the examiner having full visibility of each candidate undertaking the assessment. The number of candidates must be reduced, regardless of the size of the room, to the number of candidates who the examiner can clearly see from their seat during the assessment.
- d. The facility must have a suitable electricity supply which does not result in the use of extension leads causing any trip hazard whatsoever.
- e. The facility must provide a means for the examiner to carry out the pre-assessment briefing. This should be by means to use a PowerPoint presentation; however, suitable audio means is acceptable for this provided that each candidate will be able to hear the briefing.
- f. Each candidate must be provided with a chair and table.
 - i. The chair must be singular and exclusively used by a single candidate. Bench seats or couches are not permitted.
 - ii. Tables should be singular for each candidate; however, one table may be used by two or more candidates provided that:
 - Each candidate has at least 60 square centimetres of uninterrupted desk surface area.
 - Partitions or other means are provided which make copying of assessments impossible or obvious to the examiner.
 - iii. Candidates may not be seated with their backs to the examiner.
- g. The facility must provide the examiner with a position where they can see all candidates, at all times undertaking the assessments. This view must be uninterrupted and clear.
- h. In addition to the requirements for this part, the facility must provide an additional seat, within the vicinity of the examiner, for an NLTC quality control officer. This will include at least 60 square centimetres of unobstructed desk space, as single chair and access to mains electricity.
- i. The venue must have break out facilities for candidates to use in between assessments.

2.4.4. All assessment venues used must comply with these terms.

2.4.5. Centre assessment facilities.

- a. The venue must have a suitable wi-fi signal, which will provide sufficient bandwidth for the number of candidates using the facility. If the venue provides a wired connection, this must be of a suitable standard to provide an internet connection for the assessment. Wires must be fitted so that no trip hazard is created and so that they do not trail over other candidates working areas.
- b. Desks must have sufficient surface area to accommodate the laptop or PC equipment as well as the candidates open workbooks. If, due to the area required for the PC equipment, the remaining surface area is insufficient for an A3 sized book to be opened out, the size of the desk must be increased.
- c. The venue must have electrical sockets available for PC equipment, including laptops, to be plugged in to. These must be of a design that does not require wires to trail in any way that is likely to cause a trip hazard.
- d. The centre must provide each candidate with a laptop or PC to undertake the assessment. Candidates are not permitted to use their own equipment.

2.5. Responsible Person

- 2.5.1. Each centre must nominate a responsible person. This person must comply with the requirements set out in 2.5.2 and holds the responsibility within the centre to ensure that NLTC policies and procedures are complied with.
- 2.5.2. The responsible person must:
- a. Hold a position of suitable authority within the organisation of the centre, which permits decision making relative to the running of the qualification.
 - b. Be of good standing and repute. Any person who has been struck off as a company director or by an awarding body, will not be considered for approval as a responsible person in this instance.
 - c. Provide NLTC with suitable contact details for themselves and those of relative positions within the centre such as accounts, compliance, etc.
 - d. Confirm that they will obtain knowledge of the terms of this procedure and abide by the terms, policies and procedures as set out by NLTC relative to the transport manager qualification.
- 2.5.3. The centre may change the person acting as the responsible person for that centre. This must be made as a request to NLTC directly and in a suitable timescale for NLTC to carry out checks on the proposed new responsible person.
- If, due to reasonable circumstances beyond the control of the centre, there is an immediate requirement to change the role of responsible officer from one person to another, NLTC will consider a temporary approval for the nominated person. The centre may not carry out any assessments for this qualification without a responsible person being approved by NLTC.
- 2.5.4. NLTC reserve the right to remove the approval for a responsible person, if it believes that the conduct of that person does not, or no longer, befits the requirements for an approved responsible person.

2.6. Examiner Qualification.

- 2.6.1. As set out in 2.3.6.1, it is essential for NLTC to know that all examiners have a thorough understanding of this procedure and are able to carry out the examinations in full compliance with the terms of this procedure.

In order to provide NLTC with proof of this required level of knowledge and understanding, examiners are required to undertake and pass an examination set by NLTC.

- 2.6.2. The examination will consist of 20 questions which will be a mixture of multiple choice and missing word questions. A maximum duration of 30 minutes will be permitted, and the required pass mark is 14 correct answers (70%).
- 2.6.3. Approved centres for this qualification can upload the details, date, time, location, etc, of the examination, using the NLTC members portal. Centres are free to decide when and where they want to run the examination, however, at least five normal days' notice must be provided to NLTC in advance of the examination.
- 2.6.4. The examination must be invigilated by the responsible person, or a person appointed by the responsible person, who has a significant and relevant level of authority within the centre.
- 2.6.5. The examination is available, exclusively, online. No paper equivalent is available.
- 2.6.6. If a proposed examiner fails to obtain the required pass mark, they may undertake a second attempt using a different examination series, and no sooner than 24 hours following the previous examination.

If the second attempt fails to obtain the required pass mark, the proposed examiner may not undertake a third attempt until the responsible person, as described in 2.5, provides confirmation that the proposed examiner has undertaken training and, in their opinion, is of a suitable level to attempt the examination. In any case, this may not be sooner than three months following the previous examination attempt.

- 2.6.7. The approval provided by NLTC as an examiner, following successful completion of the examination, is valid for a period of two years. Following this, the examiner must undertake another examination.
- 2.6.8. Approved examiners will be provided with an 'NLTC Approved Examiner' identity card. This card must be worn in an easily viewable position, by the examiner during examinations.

Section 3: Running the Assessments

3.1. Pre-Examination Procedure

- 3.1.1. In order to run the assessments, centres must input the details of the assessment onto the NLTC database. All required fields must be completed.
- 3.1.2. Assessments are run on set dates throughout the year. Any centre intending to run an assessment on any of these dates, must upload their intention to do so on the NLTC database at least 15 normal working days prior to the date of the assessment.
- 3.1.3. Candidates' details must be uploaded to the database. This can be done at any time following the assessment being notified to NLTC; however, the final day for enrolling a candidate is 5 normal working days prior to the start date for the assessment.
- 3.1.4. Alterations may be made to the details provided via the database; however, no alterations may be made via the database within the final 5 normal working days prior to the expected start date of the assessment. In this case, the centre must contact NLTC to request alterations to be made. Acceptance of any alterations in this circumstance will be at the discretion of NLTC.
- 3.1.5. Centres are provided with access to a mock examination for the multiple-choice and for the written answer examinations. These examinations are intended to demonstrate the method of examination to the candidates.

As set out in 3.5, the mock examinations must be demonstrated prior to each examination to every candidate.

The questions in these mock examinations are simplistic, not related to this qualification and apply no mark or score towards the actual examinations undertaken for this qualification. Invigilators must ensure that all candidates are aware that scores for the mock examinations do not relate to the award of this qualification.

3.2. Method

- 3.2.1. The examiner must arrive at the venue and set up the facilities for the assessment in sufficient time for this to be completed prior to the start of the assessment. It is advised that this is at least 1 hour, prior to the start time of the assessment.
- 3.2.2. The examiner should set up the room for the assessment:
- a. So that the examiner is situated in a position where they can see every candidate in the room.
 - b. So that all chairs and desks are set up in readiness for the assessment.
 - c. So that the temperature and lighting are suitable.
 - d. So that all preparations have been completed prior to candidates entering the room.
 - e. Including any equipment, they will use for the pre-assessment briefing.
- 3.2.3. The examiner should ensure that they are aware of the safety, security and housekeeping rules that are relevant to the assessment.
- 3.2.4. The examiner must confirm the identity of each candidate attending the assessments and which assessment or assessments that candidate will be taking.

Identity checks will require sight of a form of identity provided by a government agency, which includes a photograph and signature, such as a Passport or Driving Licence. Unless the identity of the candidate can be established by these means, the candidate may not undertake the assessment.

Joining instructions for the assessment must include the requirement for identity checks and the sight of a Passport or Driving Licence. If the candidate does not have a Passport or Driving Licence, the centre must inform NLTC for advice. This must be requested in no less than 10 normal working days prior to the start date of the assessment.

- 3.2.5. The examiner must complete the NLTC assessment register for this qualification. Additionally, each candidate must complete the NLTC candidate form for this qualification.

The examiner must complete and sign the register and each candidate form once they have been completed.

The register and the individual candidate forms must be kept by the centre for a period of 6 years. This may be by electronic media provided both sides of each page are captured, and any files are backed up.

- 3.2.6. Candidates must be seated at least fifteen minutes prior to the expected start time of the assessment. This is so that the examiner can carry out the required identity checks and perform the pre-assessment briefing.

- 3.2.7. The assessments must be run under strict control by the examiner, which is in full compliance with this procedure and all other policies, practices and procedures set by NLTC.

- 3.2.7.1. The only people who are permitted to be in the assessment room are the candidates, the examiner and the examiners assistant. If an NLTC quality control officer attends, they will also be permitted access to the room.

No other person will be permitted to be in the room during the assessments, including pre-assessment and post-assessment periods.

- 3.2.7.2. The examiner must provide a pre-assessment briefing to all candidates attending the assessments. This may be provided by means of a verbal explanation, which may be enhanced by a visual medium such as PowerPoint. The content of the briefing is set out in 3.2.9.

- 3.2.7.3. Assessments must begin at the time, and in compliance with all items, registered on the NLTC database for the assessment.

- 3.2.7.4. Candidates may enter the assessment room earlier than the expected time of the assessment, at the discretion of the examiner. In this situation no reference to the assessments may be made regardless of how tentative this may be. No candidate entering the assessment room prior to the start time of the assessment may receive any advantage from doing so.

- 3.2.7.5. Candidates may use commercially available printed materials for reference during the assessments. The use of electronic or audio devices is not permitted.
- a. The examiner must confirm which printed materials the candidate intends to use for the assessment, prior to the start of the assessment.
 - b. If the intended reference materials are not those commonly used for this assessment, or otherwise unknown to the examiner, the examiner must check that the materials do not contain any script which appears to provide direct answers to potential assessment questions.
 - c. A series of printed documents from .gov websites is permitted either as the sole reference material or to supplement other printed reference materials.
- 3.2.7.6. Candidates may leave the assessment room prior to the maximum time permitted for the assessment being exceeded.
- a. This must be done without causing disturbance or distraction to any other candidates undertaking an assessment.
 - b. The candidate must hand in all documents provided to them for the assessment before leaving the assessment room.
 - c. The candidate may not re-enter the assessment room until the termination of the assessment.
 - d. Under no circumstances may any alterations be made to assessments either after the termination time of the assessment or, as set out in this part, if the candidate voluntarily leaves the assessment room.
- 3.2.7.7. During assessments candidates may use paper for working out.
- 3.2.7.8. Candidates are not permitted to eat during the assessment. Drinking is permitted, provided that this does not cause any distraction.
- 3.2.7.9. Mobile phones, smart watches, tablets or any other means of communication device, must be switched off during the assessment. Any attempt to use any such device during an assessment must result in the candidate being expelled from the assessment. In this case the assessment will be void and not marked.
- 3.2.7.10. Candidates are required to act in a suitable manner, which is in compliance with this procedure, does not monopolise the examiner and does not cause any distraction or disadvantage to other candidates undertaking the assessment. Failure by any candidate to comply with this will result in the candidate being

expelled from the assessment. In this case the assessment will be void and not marked.

3.2.8. An examiner may have one or more assistants helping with the running of the assessment. Provided that:

- a. The number of assistants provides a ratio of no more than 1 examiner / assistant per 4 candidates.
- b. The assistant is aware and has a good understanding of this procedure.
- c. The assistant may not:
 - Undertake the candidate identity procedure.
 - Provide information regarding the assessment directly to a candidate. The assistant may relay queries and responses between the candidate and the examiner.
 - Provide the pre-assessment briefing.
 - Make any notes.
- d. The name of the assistant is provided to NLTC via the database.
- e. The assistant has not been disqualified, struck off or otherwise subject to disciplinary action by an awarding body or industry group.
- f. The assistant will not be left in the assessment room for any period longer than 10 minutes without being under the direct view of the examiner.
- g. The centre and the examiner must be aware that any breach of procedure carried out by the assistant will be subject to disciplinary action towards the centre and the examiner.

3.2.9. Prior to the start of the assessments, the examiner must provide a pre-assessment briefing. This must begin in sufficient time to be completed by the start time of the assessments.

3.2.9.1. The pre-assessment briefing must include all items set out in 3.2.9.2, as well as any specific requirements set by the venue or unforeseen circumstances.

The examiner must ensure that all candidates are aware of, and have understood, the items set out in the pre-assessment brief.

3.2.9.2. The pre-assessment brief must include, as a minimum, the items set in this part.

a. The health and safety procedures for the venue, as minimum:

- Fire procedures
- First aid procedures

b. Housekeeping procedures for the venue, as a minimum:

- Procedures for smoking or vaping
- Location of toilets
- Facilities provided or nearby for food & refreshments.

c. Method of assessment:

- Two assessments required.
- Multiple choice questions x 60 up to 2 hours
- Case study up to 2 hours and 15 minutes
- 70% pass mark required for the multiple-choice assessment.
- 50% pass mark required for the case study assessment.
- Explanation of how to complete the assessments, including how to change an answer if necessary.

d. Rules for the assessment

- Permitted items.
- Mobile communication devices prohibited.
- Required conduct.
- Rules regarding leaving the assessment room.

e. Quality Control

- How to make a complaint to NLTC
- How to request remarking of assessments

f. Marking

- The expected period to receive results.

g. Failed assessments

- Passed assessments remain valid for 1 year.
- Arrangements for resitting an assessment.

h. Identity checking arrangements.

i. Arrangements that are specific to the venue

- 3.2.9.3. If a candidate is joining the assessment to undertake the second assessment that day only, and as such is not present for the pre-assessment briefing; the examiner must ensure that the candidate receives a pre-assessment briefing before beginning their assessment.
- 3.2.10. Assessments can be carried out at a centre for candidates who did not undertake teaching with that centre.
- 3.2.11. The examiner must complete and sign the assessment report at the appropriate times during the assessment. The start time of each assessment must only be inserted at the time that the assessments begin, and the end time of each assessment must only be inserted when the assessments end. All fields must be completed with the relevant information or inscribed with 'N/A' when the request of the field is not applicable.
- 3.2.12. Examinations for candidates undertaking road transport and candidates undertaking the passenger transport examination, may be taken during the same examination sitting, provided that:
- a. The examiner clearly identifies which candidate is undertaking which examination.
 - b. The examiner confirms that the candidate has been provided with the appropriate examination.
 - c. Road transport and passenger transport examinations share the same timescales; however, the examiner must ensure that both exams begin at the same time.

3.3. Electronic Assessments

- 3.3.1. The method of assessment is by electronic means. For this the candidate must be provided with a suitable laptop or PC, complying with the terms set out in 3.3.3.

NLTC will send a link to the centre for each candidate taking assessments, who have been included in the qualification intention via the database.

This link will open the assessment for the candidate.

Note that the link will not become active until the advised time of the assessment. Regardless of this, no attempt may be made to open the link prior to the advised start time of the assessment.

- 3.3.2. The centre must provide candidates with the Laptop or PC. For reasons relating to the security of assessment materials, candidates are not permitted to use their own equipment for assessments.

- 3.3.3. Accepted equipment for this includes:

- a. Laptops and PCs with a screen size of at least 14 inches.
- b. Tablets may be used provided a screen size of at least 14 inches is available and the tablet has a physical keyboard. Keyboards displayed on screen are not permitted.

- 3.3.3.1. Mobile phones may not be used for this purpose.

- 3.3.4. Accessing, or attempting to access, any other application, search engine or anything other than the assessment during the examination is not permitted.

- 3.3.5. Candidates may not make any alterations to the equipment provided, including inserting any devices to them. The candidate may use the keyboard and mouse during the assessment for the purpose of undertaking the assessment. Any required alteration to the equipment must be requested to the examiner and either undertaken in view of, and approval from, the examiner; or carried out by the examiner, or with the examiner's approval, by the examiner's assistant.

- 3.4. Assessments are provided exclusively online. Paper based assessments will not be provided.

- 3.5. Before the start of the examination, invigilators must run the mock examination in order to ensure that every candidate undertaking the examination knows the method and is able to carry out the examination correctly.

This must be carried out for the multiple-choice and for the case study examinations.

- 3.6. Re-sitting failed assessments.

- 3.6.1. The qualification requires a candidate to successfully complete two assessments. As set out in 4.8, if the candidate does not pass both assessments; the qualification will not be awarded until such time as the candidate does successfully complete the second of the assessments.
- 3.6.2. Provided that the second of the assessments is undertaken within 1 year of the date that the successful assessment was marked, the candidate will not be required to re-take the assessment which had been successfully completed.
- 3.6.3. When enrolling a candidate onto the NLTC database to re-sit an assessment, the centre must complete all of the required fields. This is to ensure that the system recognises the successful assessment and links the result from the assessment being re-taken to that assessment.
- 3.6.4. Centres are permitted to run a resit assessment for a single or for multiple candidates if they wish to. In order to do this, the same procedures must be followed as for any other assessment.
- 3.6.4.1. Resit assessments can only be undertaken during the assessment sessions set by NLTC. No specific sessions will be set for resitting assessments. Candidates may attend a resit, at the earliest, during the next assessment session set by NLTC.
- 3.6.5. Candidates can undertake resits of unsuccessful assessments during assessments with candidates undertaking initial assessments.
- In this case, the candidate must attend the same assessment as the other candidates in the room. i.e., if a candidate requires a resit of the case study, this must be undertaken when the other candidates are undertaking the case study assessment and not while they are undertaking the multiple-choice assessment.
- 3.6.6. If a candidate wishes to, they may undertake a resit at a different NLTC centre than the one which they attended for the original assessment. The terms set out 4.5 must be met for this purpose.

3.7. Payments

- 3.7.1. Contracts exist between the candidate and the approved centre. Separately, a contract exists between the approved centre and NLTC. For this purpose, NLTC will only accept payments from the approved centre and not the candidate. Any financial arrangement between the candidate, or the employer or other representative of the candidate and the approved centre, is remote of any involvement or responsibility of NLTC.
- 3.7.2. Payments are made by the centre, using the database. The payment is made when the centre uploads the candidate's details. Until the payment is completed, the candidate will not be enrolled. Centres should consult 3.1.3 of this procedure for details regarding the limitations on enrolling candidates.
- 3.7.3. Once a candidate has been enrolled; no refund of fees will be provided. This includes relevance to 3.11.2.
- 3.7.4. The prices for assessments are:
- Multiple Choice Assessment £60
 - Case Study £120
 - Examiner Approval (2.6) £50
- Note: examination costs are per attempt.
- 3.7.5. The price for the initial centre approval visit is:
- Visit £350
 - Travel £0.52 pence per mile from / to CH65 1AB.
 - Other costs, such as hotels, trains, etc, will be charged at cost. See 3.7.9.2. a & b for accommodation criteria.
 - Virtual centre approval = No cost. However, if a remote meeting is required the cost will be £150.
- 3.7.6. Centre approval is £500 per year.
- 3.7.7. Quality control, failed visits due to assessments not taking place or inadequate or incorrect information being provided to NLTC, will be charged at the same rate as set out in 3.7.5.
- 3.7.8. The late notice cancelation fee, as set out in 3.8.3, is £250. This is to cover quality control costs which will have been arranged for the assessment. If, however, the cancelled assessment had two or more candidates taking both assessments, this fee will be disregarded.

- 3.7.9. Verification & Audit Charges
- 3.7.9.1. There is no charge for unannounced verification visits, unless these are provided by means of a follow up visit following a grade 3 or lower previous visit.
- 3.7.9.2. Follow up verification visits are charged at £350 plus travel and, if required, accommodation.
- a. Accommodation is required if the total time away from base for the QCO, including travel and the visit, is likely to exceed 10 hours or is a distance further than 180 miles from CH65 1AD.
- b. Accommodation will, wherever possible be made at 'chain' hotels such as Premier Inn. The cost will be the charge made by the hotel, which will include a meal and parking charges, if applicable.
- 3.7.9.3. Audits are charged at £350. However, provided a centre obtains 20 or more assessments within the previous twelve-month period, this charge will not be relevant.
- 3.7.9.4. Verification charges must be paid within 30 days of invoice. Failure to complete the payment will result in access to the database being suspended until the invoice has been paid.
- 3.7.10. Appeal Charge
- 3.7.10.1. Secondary appeals are at the cost of the centre. In order to begin a secondary appeal, a deposit of £500 is required to be paid from the centre.
- 3.7.10.2. The cost of the independent governance committee member is £150 per day. Any required transport is charged at £0.52 pence per mile and any required accommodation is charged at cost including one meal.
- 3.7.10.3. If the appeal is successful, no charge will be made, and the deposit will be returned to the centre.
- 3.7.11. All prices, except travel expenses are subject to vat at 20%

3.8. Cancellations

- 3.8.1. Centres may cancel assessments; however, consideration for the welfare of the candidates enrolled on the assessments must be made.

It is advised that any circumstance when a cancellation is necessary, which may cause inconvenience for enrolled candidates; the centre contacts NLTC in order for the candidates to be redirected to an alternative NLTC centre.

In this case any financial arrangements will be between both NLTC centres and not NLTC.

NLTC will contact the centre running an assessment nearest to the date expected by the candidate and with the closest postcode to the location where the candidate had expected to undertake the original assessment.

- 3.8.2. Assessments are run exclusively on dates set by NLTC. Under no circumstances whatsoever will any assessment be approved by NLTC which is not on one of the set dates. Any candidate failing to attend or failing an assessment will only be able to attend a future examination which will be run on a date set by NLTC.

- 3.8.3. If a centre wants to cancel an assessment date, this can be completed using the cancel facility on the database. If this is within 5 normal working days of the advised start date of the assessment, the centre must contact NLTC via email to inform NLTC of the cancellation. In this case, the centre will be subject to the cancellation fee as set out in 3.7.8.

- 3.8.3.1. Quality control measures are put in place prior to the start of each assessment. In the event of NLTC receiving a late notice cancellation of an assessment date (less than 5 normal working days) NLTC will suffer a financial loss. Therefore, the cost set out in 3.7.8 will be relevant in this situation.

- 3.8.4. A centre can redirect a candidate from one assessment date to another assessment date. This can be done via the database. Provided that this is completed with at least 5 normal working days' notice before the advised start date of the original assessment.

- 3.8.5. No refunds will be paid by NLTC to centres for any cancellations, including situations set out in 3.10.4.5.

3.9. Marking – remarking

- 3.9.1. Marking of assessments will begin within 5 normal working days following receipt of the completed assessment materials. In the case of electronic assessments, this will be within 5 normal working days of completion of the assessments.
- 3.9.2. Marking of assessments will normally be completed within 20 normal working days following receipt of the materials. If, for any reason, NLTC requires additional time to complete the marking; the centre will be informed within 5 normal working days of that expected to receive the results.
- 3.9.3. NLTC will send a certificate to candidates who have successfully completed both assessments. This will be sent directly to the address provided in the database by the centre. The certificate will be dispatched within 5 normal working days following the requirements of 3.9.4.
- 3.9.3.1. Candidates, in addition to the certificate set out in 3.9.3, will receive a certificate from NLTC for successful completion of the multiple choice and / or case study examinations.
- 3.9.4. On any date when multiple assessments are being undertaken by multiple centres, the results of any assessments will not be publicised until every assessment which occurred on that date has been marked.
- 3.9.5. If a candidate has failed one or both assessments, NLTC will inform the candidate of this. This notification will be dispatched simultaneously with the certificates according to the requirements of 3.9.3.
- 3.9.6. If a candidate disagrees with the result of their assessment, they may request that the assessment is marked again. In this case, the terms below will be relevant:
 - a. The candidate must request the remarking, via the centre and not directly to NLTC. The centre will then make the request to NLTC via the database.
 - b. Remarking will only be considered if the request is received by the centre, via the database, within 10 normal working days following dispatch of the results.
 - c. NLTC will charge the standard rate for the assessment in order to re-mark it. If it is found that the marking was incorrect, this money will be refunded to the centre.
 - d. All times regarding remarking and dispatch of conformation, will be identical to those set out in this part for initial marking.

3.9.7. Remarking of assessments will not be carried out by the same marker.

3.10. Extraordinary circumstances

3.10.1. Centres and examiners are not permitted authority to deviate from the terms of this procedure for assessments. With the exception of the items set out in this part, the responsible person must contact NLTC for advice or authorisation.

3.10.2. For clarification, NLTC regards an extraordinary circumstance to be a circumstance which could not have reasonably been foreseen prior to its occurrence. This unforeseen event results in complete compliance with the terms of this procedure impossible.

3.10.3. The table in 3.10.4 sets out actions for extraordinary circumstances. The centre and examiner must be aware that instigation of the actions in the table will, nonetheless, be regarded by NLTC as a breach of procedure, when this does not comply entirely with the terms of this procedure and will therefore be subject to investigation.

Any use of the extraordinary circumstance table must be included in the assessment report as set out in 3.2.11.

For this reason, the centre must give due consideration to implementation of the extraordinary circumstance table. Repeated or otherwise frequent use of this part, when this part in anyway departs from the terms of this procedure, will result in investigation and audit.

If the contents of the extraordinary circumstance table is implemented by the examiner, this will be deemed to have been authorised by the centre regardless of the centre's role in the event.

3.10.4. Extraordinary Circumstance Table

No	Circumstance	Action
3.10.4.1.	Prior to the start of an assessment, loss of internet or other reason makes it impossible to run the assessment.	Call NLTC. NLTC may consider a delay to the start time of the examination. See 3.10.6
3.10.4.2.	A candidate arrives for an assessment who has not been booked onto the system.	Call NLTC. Provided that the candidate can be added to the system and begin the examination at the set start time, without causing any detriment to other candidates, NLTC will consider authorisation for the candidate to attend the examination.
3.10.4.3.	The identity of a candidate cannot be confirmed, due to the candidate failing to bring suitable, or any, identification to the assessment.	The candidate will not be permitted to undertake the assessment. It is not acceptable for the candidate to undertake the assessment and then provide proof of identity following the assessment.
3.10.4.4.	The identity of the candidate cannot be confirmed due the identity document not providing a good likeness.	The candidate will not be permitted to undertake the assessment unless their identity can be confirmed. In the event of the candidate being, without doubt, not the individual shown in the identity document, the candidate may not undertake the assessment. In the event that the identity is questionable however possible; the examiner must obtain authorisation to permit the candidate from the centre's responsible person, who must scrutinise the identity of the candidate in comparison to the identity document provided.

		This must be completed prior to the start of the assessment in order to remove any inconvenience to other candidates undertaking the assessment. Note. The centre must consider the terms of 5.2.6.
3.10.4.5.	An unforeseen circumstance, such as a loss of electricity, flood, etc; results in the assessment not being possible at that location.	a. If the assessment can be moved to another room within the same address, this should be considered provided that the alternative room meets the minimum requirements of this procedure. This change of address must be added to the comments field for the assessment on the NLTC database before the assessment begins. b. If the assessment can be moved to a nearby venue at a different address, which complies with the requirements of this procedure; the centre may consider this venue. In this case, the centre must contact NLTC for authorisation to change the venue. If this outside of normal office hours, resulting in authorisation from NLTC not being possible, changing of location will not be permitted. c. If no alternative venue is available, or it is otherwise not possible to change the venue, the assessment must be cancelled. This will not exempt any relevant failed visit costs as set in 3.7.7

3.10.4.6.	Any reason where one assessment has been completed and it is not possible to complete the second assessment. For example, a fire, flood or utility failure.	a. If it is possible to carry out the assessment at a time later than that advised to NLTC, the centre should inform NLTC and run the assessment at this later time. b. If the continued use of the venue will not be possible, the centre should consult the terms of 3.10.4.5. a & b. c. If the terms of 3.10.4.5 do not satisfy the situation, the centre should refer to 3.10.4.5 c. d. The centre should apply to NLTC for a special consideration to be applied to the first assessment, so that the terms of 4.8 (1 year validation of an assessment pass) is extended to the date that the second assessment will be undertaken. Note that this must be undertaken within 1 month to qualify for consideration of the special consideration.
3.10.4.7.	If, due to ill health, an individual is unable to complete an assessment.	If one of the assessments has been completed, the terms of 3.10.4.6.d should be consulted. If no assessment has been completed, the centre should apply to NLTC requesting a special consideration regarding the candidates' assessments to be postponed to a later date. NLTC may request professional confirmation of the candidate's condition regarding this.

3.10.4.8.	A candidate arrives late for the assessment	Centres must make the arrival time for assessments very clear. It is important that candidates undertake the pre-assessment brief and suitable identity checks are carried out. If a candidate arrives later than the time stated by the centre in order to undertake the pre-assessment briefing and identity check, they may not be permitted attendance on the assessment. Unless, the examiner is able to restart the pre-assessment brief and carry out the identity checks without causing inconvenience to the other candidates and so that the assessment will begin at the time advised to NLTC. If the pre-assessment brief is nearing conclusion or has been concluded, the candidate will not be permitted access to the assessment. If the assessment has started, the candidate may not be permitted access to the assessment room. Provided that the pre-assessment brief and identity check can be carried out for the second assessment, if the candidate arrived late for the first assessment, the candidate may attend the second assessment. In this situation the terms of 4.8 (1 year validity of a successful assessment) will be relevant from the date that the result of the assessment is publicised.
3.10.4.9.	A fire, fire drill, or other occurrence forces the assessment to be halted part way through.	The centre must inform NLTC of the situation. Candidates may not take any items, such as notes, publications or PC equipment out of the examination room. This is to prevent any possibility of candidates researching answers to questions they may have read.

		During the drill, candidates must not be permitted to communicate. The invigilator must note the time that the examination was interrupted, so that the remaining time can be added by NLTC following the restart of the examination. If the examination cannot be resumed, the centre must inform NLTC.
3.10.4.10.	The case study package does not contain enough papers for each candidate who is enrolled onto the case study examination.	Inform NLTC of the situation immediately. Following this, provided that authorisation is provided by NLTC, the centre may photocopy a case study paper. If necessary, in this case, NLTC may email a PDF of the case study if no photocopy facility is available. If no printer is available on site, the centre must ascertain the location of the nearest available printer and request a delay in the start of the examination from NLTC stating the expected length of delay.

3.10.5. Centres should ascertain any reasonable adjustments that a candidate may request during an assessment, prior to the date of the assessment in order that NLTC can provide consideration to this requirement and have authorisation in place, if applicable. As such, reasonable adjustments are not considered as being an extraordinary circumstance. Centres do not have authority to provide reasonable adjustments without authority from NLTC.

- 3.11. Case study papers.
- 3.11.1. 5 normal working days prior to the date of the examination, NLTC will post case study papers to the examination centre.
- a. The centre must inform NLTC by email if the case study papers have not been received within 3 normal working days prior to the exam.
 - b. The package will contain one paper per candidate who has been enrolled onto the examination by the centre. If the required numbers of papers are not included, refer to 3.10.4.10.
 - c. Once received by the centre, the case study papers must be locked away in a secure location.
 - d. On the day of the examination, the case study papers must be stored in a lockable case, which must remain locked until the papers are required to be distributed to candidates immediately prior to the start of the case study examination.
- 3.11.2. The package containing the case study papers will be sealed. The package must remain closed and sealed until the time set out in 3.11.1.d.
- a. If a package is opened prior to this time, the centre must inform NLTC as soon as possible. In this case, without exception, the examination will be cancelled. At the discretion of the centre, the multiple choice examination may still run.
 - b. If a seal is found to be broken or the package otherwise opened, during an NLTC verification visit, the examination will be cancelled, and the centre will immediately be subject to a grade 4 as set out in section 5.4 of this procedure.
- 3.11.3. Candidates are permitted to make notes or otherwise mark the case study paper once they have received it.
- 3.11.4. The case study paper must not leave the examination room. Following the examination, the centre must collect and destroy the case study papers.

Section 4: Award of the Qualification

- 4.1 In order to obtain the qualification, the candidate is required to undertake and pass two assessments.
 - a. A multiple-choice question paper consisting of 60 questions.
 - b. A case study.
- 4.2 Both assessments will involve acknowledgment of understanding of the items set in the syllabus for this qualification.
- 4.3 The multiple-choice assessment will have a maximum duration of 120 minutes. The case study will have a maximum duration of 135 minutes.
- 4.4 Candidates are not required to take both assessments during the same assessment date. Candidates may take separate assessments at different dates if they so wish to. As set out in 4.1, the qualification will not be awarded until both assessments are successfully completed.
- 4.5 Candidates may attend separate assessments at separate NLTC assessment centres. In this case proof of successful completion of one of the assessments must be provided.
- 4.6 The pass mark for the multiple-choice assessment is 70% and the pass mark for the case study is 50%.
 - 4.6.1 For the multiple-choice assessment, this is calculated as 1 point per question.
 - 4.6.2 For the case study assessment, a points score based on the required elements and difficulty of the task, will be included in the paper.
- 4.7 Once the second assessment has been successfully completed, NLTC will provide a certificate directly to the candidate.
- 4.8 In the event that a candidate passes one assessment and does not pass the second assessment; the pass achieved for the first assessment will remain active for a period of 1 year following the date that the assessment was marked. The candidate can attempt the second of the assessments, without retaking the first of the assessments as well, provided the second assessment is undertaken within the terms set out in 3.6.

Section 5: Quality Control

5.1. Access to site for assessments

- 5.1.1. It is essential that NLTC oversees the conduct and quality of all centres who provide this qualification. This is in order to ensure the integrity and quality of the qualification, for the benefit of the candidates, other NLTC centres, NLTC as an awarding body and the reputation of regulated awards in general.

For this reason, NLTC will instigate a firm and robust quality control system of all NLTC centres providing this qualification.

- 5.1.2. Centres are required to permit NLTC quality control officers with full, unhindered, access to sites, venues, rooms, candidates, documents, examiners and any other aspect related to the assessment.
- 5.1.3. Any breach of 5.1.2, including obstructive, hostile or otherwise uncooperative behaviour, will result in the action set out in a grade 4 as set out in 5.4 being implemented.
- 5.1.4. If any special requirements, such as particular PPE being required, access via a particular entrance, specific parking regulations, or other requirement necessary for the NLTC quality control officer to access the assessment venue, are required; the centre must include these in the access requirements section of the database when setting the assessment intention.

If an NLTC quality control officer cannot obtain access to site, this will result in a failed visit.

- 5.1.5. Centres may provide feedback regarding the conduct of quality control officer. This will be undertaken via the centre's responsible person and their NLTC contact person, who will forward the feedback to the senior quality control officer.
- 5.1.6. Quality control officers will not disrupt assessments, except when entering the area and introducing themselves to the examiner; or if they deem it necessary to correct anything or cease the assessment.

Correcting will only be undertaken if the examiner has said or done anything that is contrary to this procedure, the syllabus, or the qualification specification.

Whenever possible this will be undertaken by speaking to the examiner, privately, and asking them to provide the correction.

- 5.1.7. Quality control officers have authority, in extreme circumstances, to cease the assessment, or to expel the examiner from the assessment and complete the assessment themselves.

In this case the examiner and the centre must comply with all instructions provided by the quality control officer.

- 5.1.8. Centres must ensure that all teaching or assessment locations provide an isolated desk and chair in case of an unannounced visit from a quality control officer. This desk and chair must provide a good view of the assessment and be situated near to the examiner.

5.2. Unannounced verification visits

- 5.2.1. NLTC quality control officers may carry out unannounced verification visits at any time during the assessment in order to ascertain:

- a) The quality of the examiner, and the centre
- b) Adherence to this procedure
- c) Malpractice or maladministration
- d) Quality and suitability of the venue
- e) Compliance with the information provided for the assessment.

- 5.2.2. The quality control officer may arrive prior to the start of the assessment or at any time during the assessment.

- 5.2.3. The duration of verification is at the discretion of the quality control officer. The quality control officer may leave the assessment and return later during the assessment.

- 5.2.4. The quality control officer will normally view the conduct of the examiner during the verification; however, may request that the examiner and assistants leaves the assessment room while the quality control officer undertakes the role of examiner.

This is a standard operation which is used to determine a comparison between pass rates when the centre runs an assessment compared to a representative of NLTC conducting the assessment.

The centre should not view this as an investigation into malpractice. The senior quality control officer will randomly select assessments to be undertaken in this way by quality control officers.

- 5.2.5. Upon arrival, quality control officers will present the examiner with proof of identity in the form of an NLTC identification card. This can be verified either by using the QR code on the card or the centre may call NLTC directly for conformation.
- 5.2.6. During verification visits the quality control officer may carry out confirmation of identity checks and speak directly to candidates. The quality control officer must also be permitted access to any document relevant to the qualification.
 - 5.2.6.1. If during the verification, the quality control officer finds that any candidate does not have any identification, insufficient identification, or questionable identification which is unacceptable or fails to confirm the identity of the candidate, the quality control officer will instruct the examiner to expel that candidate from the assessment.
 - 5.2.6.2. If the subject of 5.2.6.1 is evident, the quality control officer will carry out identity checks of all candidates undertaking the assessment. Checks of identity will be undertaken either prior to, or following, assessments.
 - 5.2.6.3. Any failure by an examiner to confirm the identity of a candidate, fully, will result in termination of the examiner's approval. This will also result in a grade 4 being awarded to the centre, as set out in 5.4.
- 5.2.7. The quality control officer will ascertain whether the terms of this procedure have been fully complied with during the verification.

5.3. Audits

- 5.3.1. As well as verification visits, NLTC will carry out centre audits. These will be arranged and carried out with the responsible person for the centre
- 5.3.2. NLTC will arrange a mutually convenient date and time with centres to carry out a centre audit. The purpose of this being to assure quality control and compliance with the qualification specification and this procedure.
- 5.3.3. Following 3 attempts to arrive at a mutually convenient date, NLTC will impose a date for the audit. If this cannot be agreed to by the centre, the centres approval will be suspended until the audit can be completed.
- 5.3.4. During the audit, the centre must permit the quality control officer with cooperative and unhindered access to documents relating to the assessments and approvals as set out in section 2.
- 5.3.5. If an audit cannot be carried out or completed by the date agreed or imposed, this will be regarded as a failed visit. In this case, the costs for a failed visit will be relevant. NLTC will also implement an alternative date for the audit to be carried out or completed. This will be within 1 month of the original date. If this audit cannot be carried out or completed, the centre's approval will be suspended until the audit has been completed.
- 5.3.6. The results of the audit are subject to the grading system as set out in 5.4.
- 5.3.7. It is estimated that an audit will take, in the region of 3 hours, however NLTC suggests that the centre prepares for longer.
- 5.3.8. Centres are invited to send feedback regarding the professionalism and conduct of the quality control officer during the audit.

5.4. Grading

Following a verification visit or audit, centres are awarded a compliance grade. This grade is awarded by the quality control officer and is based on the information below:

Grade 1:

A grade 1 is awarded when it is found that a centre has no failings or contravention of NLTC policies or practices and presents no risk to the conditions of recognition. In this case the centre must also provide a high-quality service, in keeping with the reputation desired by NLTC.

When a grade 1 is awarded, no further action is required from the centre.

Grade 2:

A grade 2 is awarded when it is found that a centre has a slight and single failure to comply with NLTC policies or practices, which do not cause any risk to its conditions of approval, is not deemed to be malpractice and will not cause any adverse effect, inconvenience learners or harm the reputation of NLTC or qualifications in general.

When a grade 2 is awarded, the centre will be required to correct the failure without a timescale, or sanctions being imposed.

Grade 3:

A grade 3 is awarded when it found that a centre has unintentionally failed to comply with NLTC policies or practices. Either as described in grade 2 but relevant to more than one failure; or, when the failure poses a threat to NLTC's conditions of recognition, is likely to be malpractice or result in an adverse effect or harm the reputation of NLTC or qualifications in general.

When a grade 3 is awarded, the centre will be given a timescale in which to convince NLTC that it has corrected the failure and to explain how it will not permit a recurrence of the failure. If a recurrence of the failure does happen within a twelve-month period, following the assurance, this will automatically attract a grade 4 being awarded.

In appropriate cases, where the likelihood of recurrence is low, the centre; including key members of staff, may be required to undertake the training set by NLTC. NLTC may, following the training, require additional observation of the centre for an undisclosed period of time. Costs relating to this will be met by the centre.

Grade 4:

A grade 4 is awarded when it is found that a serious failure to comply with NLTC policies or practices has occurred. This failure may provide a threat to NLTC continued recognition as an awarding body, its reputation or that of qualifications in general.

In the case of malpractice or maladministration, creation of an adverse effect or deliberate intent to contravene policies and practices, a grade 4 will be awarded.

When a grade 4 is awarded, the centre, following an assessment from NLTC in order to ascertain how any inconvenience to learners can be mitigated, will be suspended. The centre will then be required to provide a report to NLTC, within a set timescale, explaining what happened, what actions it has taken to correct the failure and how it ensures no recurrence.

This report will be considered by the senior quality control officer, who will decide either to:

- a) Accept the contents of the report and discontinue the suspension, with certain sanctions.
- b) Require additional information and assurances from the centre prior to making any decision.
- c) Make the decision to re-grade the situation to grade 5

Grade 5:

A grade 5 is awarded to a centre following either an incident or potential incident of gross misconduct.

When a grade 5 is awarded to a centre, the centres approval will be terminated. NLTC shall undertake all necessary actions to avoid any adverse effect that may be caused by the termination.

Centres may appeal any grade allocated to them. This must follow section 8.2.2 of the complaints and appeals policy. Sanctions, suspension, or termination will not be relaxed or cancelled during the period of the appeal.

Ownership of the incidents or actions deemed to be gross misconduct is solely that of NLTC. For clarity, NLTC regards gross misconduct as a deliberate act that contravenes its practices or policies or poses a realistic risk to its continued recognition as an awarding body or significant damage to its reputation or that of qualifications in general. However, at its discretion, NLTC may also consider other actions that are contrary to its interests or reputation to be deemed as gross misconduct.

Following the termination of association with a centre, either by NLTC or at the decision of the centre, NLTC shall take the steps that it deems to be necessary to alert other awarding bodies or other relevant parties or agencies of the situation.

5.5. Follow up visits.

- 5.5.1. Centres are required to comply with requests for follow up visits made by NLTC, within the timescales set by NLTC.
- 5.5.2. The costs for follow up visits will be met by the centre.

Section 6: Reasonable Adjustments

- 6.1. Centres should inform candidates of the process for claiming a reasonable adjustment, in the joining instructions.
- 6.2. Any request for a reasonable adjustment must be received by NLTC prior to the start of the qualification. This must be received by NLTC in a reasonable timescale for NLTC to consider the application and arrive at a suitable decision.
- 6.3. Any request for a reasonable adjustment must be made in a period of more than 10 normal working days prior to the expected start date of the teaching for the qualification.
- 6.4. A reasonable adjustment will only be permitted with written authorisation from NLTC specifically for that candidate undertaking that qualification only.
- 6.5. Translators or other digital means of assistance are not permitted.
- 6.6. Candidates with dyslexia must provide a form of evidence, signed by a doctor. In this case NLTC may provide 30 seconds additional time per question (equating to 10 minutes for the assessment).
- 6.7. In the event of any reasonable adjustment being provided, if this is likely to cause any adverse effect or inconvenience to other candidates taking the assessment, the centre must make means available for the candidate undertaking the assessment with any reasonable adjustment to undertake the assessment without causing any adverse effect or inconvenience to those other candidates. If necessary, this may require the candidate with the reasonable adjustment to take the assessment separately under the direct supervision of the examiner or examiners assistant.

Section 7: Database

- 7.1. All information regarding the qualification must be entered into the qualification database, often referred to as the NLTC members website.

NLTC members have access to the NLTC members website, however, NLTC centres will only have access specific to the qualifications that they are approved for with NLTC.

The information set out below must be provided to NLTC via the database and is not permitted to be sent to NLTC in any other form, such as an email unless specific instruction from NLTC has been provided, i.e., in the case of a database malfunction.

7.2. Qualification Intention

- 7.2.1. The intention to run assessments for this qualification must be approved by NLTC prior to the start of the qualification.

In order to obtain this approval, the centre must notify NLTC of its intention to run the qualification. This is done by inputting the information on the 'Qualification Intention' page of the database.

- 7.2.2. For purposes of quality control, centres must inform NLTC of their intention to run the qualification at least 15 normal working days prior to the intended start date of the qualification beginning.

Note that the database will not accept intentions that provide less than 15 normal working days' notice. This is set out in 3.1.2.

- 7.2.3. During the 'intention' stage of the database, the centre must input all the required fields in the intention page. This includes the precise details of:
- i. The address of the venue, including any relevant room number, etc.
 - ii. The details of who will be carrying out the assessments.
 - iii. The date and time that the first assessment will begin
 - iv. The date and time that the second assessment will begin.
 - v. Any necessary information regarding the assessment, not covered within the required fields.

- 7.2.4. Following completion of the intention page, the centre will receive a qualification authorisation number. Upon receipt of this authorisation number, the centre may run the qualification.
- 7.3. Candidate Details
 - 7.3.1. Candidate's details must be added to the database. As set out in 3.1.3, the latest that this can be done is within 5 normal working days prior to the actual start date of the assessment.
 - 7.3.2. In order to progress and enrol the candidate onto the assessment or assessments, the centre will be required to make the payment for the assessments at this point.
 - 7.3.3. The centre must insert details of the required assessments for the candidate, including all required fields.
- 7.4. Post assessments.
 - 7.4.1. Within 5 normal working days of the completion of the assessments, the centre must complete the required fields within the website for the assessments and upload the assessment register.
 - 7.4.2. Failure to comply with 7.4.1 will cause a delay in marking and the delivery of results to candidates. Therefore, in this situation, NLTC may mark the assessments within the required timescale and the centre will automatically receive a grade 4 quality control score.
- 7.5. No alterations to information provided for the qualification can be made by the centre post assessment. In this case, the centre should contact NLTC.

Section 8: Complaints & Appeals

8.1. Centre Complaints

- 8.1.1. Centres have the right to raise a complaint to NLTC. This must be undertaken using the process set out in this part.
- 8.1.2. The complaint must be made in writing, including email, to the relevant department.
- 8.1.3. NLTC will provide acknowledgement of the complaint within 5 normal working days of receipt. If by this time NLTC has not provided this to the centre, the centre should request confirmation of receipt of the complaint.
- 8.1.4. Following confirmation of the complaint, NLTC will provide the complainant with an answer within 10 normal working days. In more complex instances, this may be to inform the complainant that additional time will be required.
- 8.1.5. Whistle-blowers, informing NLTC of malpractice or maladministration will be treated with absolute confidentiality.

8.2. Centre Appeal

- 8.2.1. If the centre or examiner, does not agree with the decision following a complaint, they may undertake the appeal procedure.
- 8.2.2. If a centre disagrees with a decision or action made by NLTC as a result of a quality control visit or other incident specific to the centre; the centre may undertake the appeal procedure.
- 8.2.3. The centre responsible person should write to the NLTC quality control department, stating the reason(s) for making the appeal.

This must be undertaken within 10 normal working days following the decision, action, or report, providing the reason for the appeal.

NLTC will provide confirmation of acknowledgement of the appeal within 5 normal working days of receipt of the appeal.

The appeal will be undertaken by the senior quality control officer. If, however, this provides any conflict of interest, the senior manager will assign the appeal to another senior manager within NLTC.

The senior quality control officer, or equivalent, may request additional information to enable them to make an informed and correct decision.

A decision, or request for more time, will be provided to the centre within 15 normal working days following acknowledgement of the appeal.

- 8.2.4. In the event that the centre does not agree with the outcome of the appeal, the centre may apply for a secondary appeal.

This will be undertaken by an impartial member of the NLTC governance committee.

The centre will be liable for all costs related to this; however, if the governance committee member agrees with the appeal raised by the centre, no charges will be made, and monies paid by the centre in regard to the appeal will be refunded. The costs are set out in 3.7.10.

- 8.2.5. This will be the final stage in the appeal process and this decision will be conclusive.

8.3. Candidate Complaint

- 8.3.1. Candidates must be provided with contact details and means to raise a complaint to NLTC regarding centres, teachers, or examiners.
- 8.3.2. Complaints from candidates regarding the qualification directly or any other matter that is not included in 8.3.1, must be made to the centre and forwarded from the centre to NLTC. This must not be directly from the candidate.
- 8.3.3. In the case of 8.3.1. the complaint will be directed to the quality control department, who will liaise directly with the candidate making the complaint.

8.4. Candidate Appeal

- 8.4.1. Centres must make it clear to candidates that they have a means of appeal following assessment results.
- 8.4.2. The appeal must be made directly to the centre and within 5 normal working days following disclosure of the result of the assessment.
- 8.4.3. The centre must contact NLTC in writing on behalf of the candidate, setting out the reason(s) for the appeal. This may include any requested special considerations.
- 8.4.4. NLTC will relay its decision to the centre within 10 normal working days of receipt of the appeal from the centre. The centre should provide this decision to the candidate within 5 normal working days following this.
- 8.4.5. The candidate may request a second appeal if they do not agree with the outcome of the first appeal. In this case the candidate must inform the centre, who in turn must inform NLTC of the candidate's decision. In this case the terms of 8.2.4 and 8.2.5 will be applicable with reference to candidate appeals.



NLTC
QUALIFICATIONS



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