

**1 A quality system must be in place to ensure that clients', candidates' and staff needs are met.**

Criterion	Possible evidence indicators
<p><b>1.1 There must be a documented quality system which the centre operates</b></p>	<p>The centre has:</p> <ul style="list-style-type: none"> <li>• accreditation against the ISO 9000 quality system series</li> <li>• written procedures and/or work instructions (which may or may not be accredited against the ISO 9000 series)</li> <li>• formally defined performance indicators or targets</li> </ul>
<p><b>1.2 All appropriate teams and people must be kept up to date with quality policy, procedures and standards</b></p>	<ul style="list-style-type: none"> <li>• Written procedures and/or work instructions available to all personnel</li> <li>• Formal document control procedures</li> <li>• Minutes from staff meetings</li> </ul>
<p><b>1.3 Up to date information on the training performance of the centre and its candidates must be available</b></p>	<ul style="list-style-type: none"> <li>• Formal review of centre's actual performance against defined performance indicators</li> <li>• Minutes from Management Review meetings</li> <li>• Statistical review of performance</li> </ul>
<p><b>1.4 Responsibilities for management of quality must be clearly and appropriately allocated</b></p>	<ul style="list-style-type: none"> <li>• Organisation chart</li> <li>• Job descriptions</li> </ul>
<p><b>1.5 The quality system should be systematically reviewed and findings acted upon</b></p>	<ul style="list-style-type: none"> <li>• Planned internal audit programme with copies of internal audit reports</li> <li>• Management Review meetings and minutes</li> <li>• Changes to procedures and/or work instructions as a result of review</li> <li>• Review of performance indicators or targets</li> <li>• Amendments to performance indicators or targets as a result of review</li> </ul>

**2 The structure, level and type of staffing must be appropriate to the SVQs provided.**

Criterion	Possible evidence indicators
<p><b>2.1 There must be a system for ensuring that the structure and level of staffing enables the centre's objectives to be achieved</b></p>	<ul style="list-style-type: none"> <li>• Assessor/candidate and internal verifier/assessor ratios are appropriate for the level of assessment activity within the centre</li> <li>• Recruitment policy</li> <li>• Review of centre's objectives and appropriate action taken</li> </ul>
<p><b>2.2 Competent staff who have the necessary qualifications, occupational experience and understanding must be deployed in the support delivery assessment and internal verification of the SVQ's being offered by the centre.</b></p>	<ul style="list-style-type: none"> <li>• Job descriptions and/or job specifications for assessors and internal verifiers</li> <li>• Recruitment policy</li> <li>• CVs and copies of qualifications for relevant staff</li> <li>• Training records</li> </ul>
<p><b>2.3 There should be appropriate recruitment, selection and job allocation criteria and procedures and clear job descriptions and remits for all grades of staff.</b></p>	<ul style="list-style-type: none"> <li>• Recruitment policy</li> <li>• Job descriptions and/or job specifications</li> <li>• Selection policy or selection criteria if centre makes use of sub-contracted staff</li> </ul>
<p><b>2.4 Responsibilities for staffing must be clearly and appropriately allocated</b></p>	<ul style="list-style-type: none"> <li>• Job descriptions for all staff including management</li> <li>• Organisation chart</li> </ul>
<p><b>2.5 Staffing arrangements should be systematically reviewed and findings acted upon</b></p>	<ul style="list-style-type: none"> <li>• Use and review of appropriate performance indicators</li> <li>• Examples of change in arrangements over time</li> <li>• Evidence that staffing reviews are carried out against awarding body requirements for the SVQs being offered</li> </ul>

**3 Staff development provision must meet organisational and individual development needs.**

<b>Criterion</b>	<b>Possible evidence indicators</b>
<b>3.1 There must be a staff development plan and staff should be clear about the kind of support available</b>	<ul style="list-style-type: none"> <li>• Training and development policy</li> <li>• Staff development system eg performance appraisal</li> </ul>
<b>3.2 All new recruits and post holders must have access to induction</b>	<ul style="list-style-type: none"> <li>• Induction programme for all new staff</li> <li>• Induction programme or briefings for existing staff moving to new posts</li> </ul>
<b>3.3 A system of regular review of staff development needs should be maintained</b>	<ul style="list-style-type: none"> <li>• Review of organisational and individual staff development needs</li> <li>• Training and development records</li> <li>• Performance appraisal system</li> </ul>
<b>3.4 Competences of all staff should be progressively developed in line with the centre's business plan</b>	<ul style="list-style-type: none"> <li>• Records of review of organisational and individual staff development needs</li> <li>• Individual training plans</li> <li>• Review system takes account of awarding body's requirement for the particular SVQ(s) being offered</li> <li>• Evidence that staff development, where appropriate, is linked to awarding body requirements and national occupational standards</li> </ul>
<b>3.5 Responsibilities for staff development must be clearly and appropriately allocated.</b>	<ul style="list-style-type: none"> <li>• Organisation chart</li> <li>• Job descriptions and/or job specifications</li> </ul>
<b>3.6 Arrangements for staff development should be systematically reviewed and findings acted upon.</b>	<ul style="list-style-type: none"> <li>• Review of appropriate performance indicators</li> <li>• Examples of changes in arrangements over time</li> </ul>

#### **4 Equal opportunities should be ensured for all clients, candidates and staff**

<b>Criterion</b>	<b>Possible evidence indicators</b>
<b>4.1 The centre must ensure that everyone eligible has an equal chance of benefiting from the services it provides</b>	<ul style="list-style-type: none"><li>• Equal opportunities policy</li><li>• Review of candidate registration and certification data</li><li>• Data on access to assessment</li><li>• SVQ material promotes equal opportunities and is free from discrimination or stereotyping</li></ul>
<b>4.2 Responsibilities for equal opportunities should be clearly and appropriately allocated</b>	<ul style="list-style-type: none"><li>• Equal opportunities policy</li><li>• Job descriptions and/or job specifications</li></ul>
<b>4.3 Equal opportunities arrangements should be systematically reviewed and findings acted upon</b>	<ul style="list-style-type: none"><li>• Review of appropriate performance indicators</li><li>• Review of relevant data</li><li>• Examples of changes in policy arrangements overtime as a result of review</li></ul>

**5 There should be a safe and healthy environment for all candidates, staff and visitors**

<b>Criterion</b>	<b>Possible evidence indicators</b>
<p><b>5.1 Premises should be registered as required by the Health and Safety Executive or Local Authority Environmental Health Department</b></p>	<ul style="list-style-type: none"> <li>• Evidence that the enforcing authority has visited the centre, or has communicated with the centre</li> <li>• Where appropriate, the centre has a fire certificate</li> <li>• Health and safety posters on display</li> </ul>
<p><b>5.2 Responsibilities for health and safety must be clearly and appropriately allocated</b></p>	<ul style="list-style-type: none"> <li>• Job descriptions and/or job specifications</li> <li>• Health and safety policy detailing safety responsibilities of all staff</li> <li>• Designated health and safety officer(s)</li> </ul>
<p><b>5.3 Health and Safety arrangements should be systematically reviewed and findings acted upon</b></p>	<ul style="list-style-type: none"> <li>• Risk assessments, audits and inspections of the safety of the premises, fitting, equipment, machinery and hazardous substances in all locations used by staff and candidates</li> <li>• Written Control of Substances Hazardous to Health (COSHH) assessments</li> <li>• Accident and hazard reports</li> <li>• Examples of changes in arrangements over time as a result of review</li> </ul>

**6 Premises, facilities, equipment and material must be appropriate to the delivery of SVQs and units offered**

Criterion	Possible evidence indicators
<p><b>6.1 The centre must ensure that premises, facilities, equipment and materials are suitable for the range and number of candidates, staff and visitors and the delivery of particular SVQs and units.</b></p>	<ul style="list-style-type: none"> <li>• Facilities and equipment meets the requirements of the national occupational standards and the awarding body requirements</li> <li>• Procedures for the regular maintenance and updating of equipment, servicing records</li> </ul>
<p><b>6.2 There should be appropriate access to premises and facilities</b></p>	<ul style="list-style-type: none"> <li>• Legally correct access arrangements for disabled people</li> </ul>
<p><b>6.3 Responsibilities for the management of premises facilities, equipment and materials must be clearly and appropriately allocated</b></p>	<ul style="list-style-type: none"> <li>• Job descriptions and/or job specifications</li> <li>• Organisation chart or responsibilities chart</li> </ul>
<p><b>6.4 The management of premises, facilities equipment and materials should be systematically reviewed and findings acted upon.</b></p>	<ul style="list-style-type: none"> <li>• A repair and renovation programme</li> <li>• Review of appropriate performance indicators</li> <li>• Examples of changes in arrangements over time as a result of review or proposals to introduce new SVQs</li> </ul>

**7 Communication and administration arrangements must meet the needs of external bodies, clients, candidates and staff**

Criterion	Possible evidence indicators
<p><b>7.1 The centre must have an effective communication system both internally and with all key bodies</b></p>	<ul style="list-style-type: none"> <li>• Records of assessors meetings</li> <li>• Records of internal verifiers meetings</li> <li>• Records of joint assessor/internal verifier meetings</li> <li>• Range of communication methods within the centre, eg memos, staff notice board, SVQ notice board, candidate notice board</li> <li>• Named contact for receipt of awarding body documentation</li> <li>• Assessors and internal verifiers have access to the most recent awarding body guidance</li> <li>• Centre provides feedback to awarding body in relation to the content and structure of the SVQ</li> <li>• Centre makes use of current awarding body documentation eg candidate portfolios, assessment recording material, candidate registration and certification documents</li> <li>• Centre has a copy of the national occupational standards</li> </ul>
<p><b>7.2 Record keeping must be appropriate to the delivery of SVQs and units and the management requirements</b></p>	<ul style="list-style-type: none"> <li>• Assessment records</li> <li>• Internal verification records</li> <li>• Candidate registration and certification records</li> <li>• Records are legible, auditable and traceable</li> <li>• Retention of records complies with legislative requirements</li> </ul>
<p><b>7.3 Responsibilities for the management of communication and administrative functions must be clearly and appropriately allocated.</b></p>	<ul style="list-style-type: none"> <li>• Document control procedure</li> <li>• Job descriptions and/or job specifications</li> </ul>
<p><b>7.4 Communication and administration arrangements should be systematically reviewed and findings acted upon.</b></p>	<ul style="list-style-type: none"> <li>• Review of appropriate performance indicators</li> <li>• Examples of changes in arrangements overtime as a result of review</li> </ul>

**8 The centre must be financially sound and can make a reliable provision for approved SVQs**

<b>Criterion</b>	<b>Possible evidence indicators</b>
<b>8.1 The centre must have adequate financial resources to meet its obligations as an approved SVQ centre.</b>	<ul style="list-style-type: none"><li>• Published company accounts</li><li>• Signed statement from head of the centre assuring financial stability over the period of approval</li><li>• Audited statutory accounts</li><li>• Bank reference</li></ul>

**9 The needs of individual candidates must be identified, action plan or personal training/assessment plans formulated, progress reviewed and support provided where needed.**

Criterion	Possible evidence indicators
<p><b>9.1 Candidates must have the opportunity to discuss their starting points and possible goals and relate these to learning and/or assessment opportunities through action plans or personal training plans.</b></p>	<ul style="list-style-type: none"> <li>• Procedures for initial identification of needs which are appropriate to the purpose of the organisation’s programmes and provide a:               <ul style="list-style-type: none"> <li>➤ framework (e.g. structured interview)</li> <li>➤ focus on the individual</li> <li>➤ supportive environment</li> <li>➤ link to ongoing review</li> <li>➤ means for taking account of occupational choice or other valid goals of candidates, eg skills improvement and progression to other education and training programmes</li> <li>➤ means for identifying special circumstances and needs</li> </ul> </li> <li>• Procedures for the preparation of action plans/ personal training plans which :               <ul style="list-style-type: none"> <li>➤ recognise current competence (skills, knowledge, and abilities)</li> <li>➤ outline the candidates’ aspirations (employment aims or further education goals)</li> <li>➤ note any special circumstances and needs which must be taken into account</li> <li>➤ identify the SVQ to be achieved</li> <li>➤ log the planned programme</li> <li>➤ outline the opportunities for ongoing assessment and review</li> </ul> </li> </ul>
<p><b>9.2 Candidates prior achievements should be taken into account</b></p>	<ul style="list-style-type: none"> <li>• Procedures for ensuring that candidates have the opportunity to build on prior achievements rather than undertake repetitive experiences</li> <li>• Evidence of actual occurrences (from candidates’ records) that prior achievements are recognised, eg achievement of “common” units</li> <li>• Evidence that additional support is available to help candidates to top up achievements so that they can enter programmes that lead to the highest possible level of qualification</li> <li>• Procedures for encouraging and helping candidates to take up certification of relevant prior learning and achievement if initial identification of needs suggest they have already achieved a goal.</li> </ul>

**9 The needs of individual candidates must be identified, action plan or personal training/assessment plans formulated, progress reviewed and support provided where needed. (Continued)**

Criterion	Possible evidence indicators
<p><b>9.3 Induction to the organisation and SVQ or unit must be provided for all candidates</b></p>	<ul style="list-style-type: none"> <li>• Outline of the induction process, examples of candidates' induction packs etc which demonstrate adequate introduction to the organisation and the SVQ</li> <li>• Evidence of ongoing induction in cases where candidates registers for an individual unit or for the full SVQ or undertakes assessment in a number of different organisations or with a number of distinct phases</li> </ul>
<p><b>9.4 All candidates must have regular opportunities during the SVQ and unit to review their individual progress and goals and replan where necessary</b></p>	<ul style="list-style-type: none"> <li>• Candidate assessment records</li> <li>• Revised assessment plans</li> <li>• Records of meetings between assessors and candidates</li> <li>• Unit evidence submitted for internal verification</li> <li>• Internal verification records</li> <li>• Unit certification requests</li> </ul>
<p><b>9.5 There should be a system for referral of candidates to specialist services if reviews show that this is needed</b></p>	<ul style="list-style-type: none"> <li>• A list of specialist support services available (eg candidate support services, internal trained specialists, external agencies) with details of how they may be contacted</li> <li>• Guidelines on when and how staff should refer candidates to these services</li> </ul>
<p><b>9.6 There should be a pre-exit guidance provided to support post-SVQ or unit progression</b></p>	<ul style="list-style-type: none"> <li>• Procedures for pre-exit guidance which demonstrate adequate guidance on options available to candidates in light of the likely achievements of their goals and their future aspirations</li> </ul>
<p><b>9.7 Responsibilities for guidance services must be clearly and appropriately allocated</b></p>	<ul style="list-style-type: none"> <li>• Organisation chart or responsibilities chart; job descriptions and remits showing responsibilities of staff, including senior management</li> </ul>
<p><b>9.8 The operation of the guidance system should be systematically reviewed and findings acted upon</b></p>	<ul style="list-style-type: none"> <li>• Systematic use of appropriate performance indicators</li> <li>• Reports, notes of meetings and action plans related to monitoring, review and development activity</li> <li>• Examples of changes in arrangements over time as a result of review</li> <li>• Examples of staff development activity as a result of review</li> </ul>

- 10 Assessment instruments must allow evidence of all candidates' sustained competence to be gathered. The evidence must conform with the standards required by the awarding body for the SVQ or unit. Assessment must be internally verified. Awarding body requirements for external verification must be met. There must be an appeals system.**

Criterion	Possible evidence indicators
<b>10.1 The planned assessment instruments for programmes leading to SVQ or units must conform to awarding body arrangements</b>	<ul style="list-style-type: none"> <li>• External verifier approval of assessment instruments</li> </ul>
<b>10.2 The planned assessment instruments must be appropriately resourced and implemented for all candidates for all outcomes/elements of competence and performance criteria</b>	<ul style="list-style-type: none"> <li>• Internal verification reports</li> <li>• External verification reports</li> <li>• Candidates with special requirements or special needs are considered as part of the assessment design.</li> <li>• Assessment activities complies with the awarding body's assessment methodology and the NTO's external quality control of assessment model</li> </ul>
<b>10.3 The evidence of candidates work, must be accurately judged by assessors against the awarding body standards required for the SVQ or unit</b>	<ul style="list-style-type: none"> <li>• Internal verification reports</li> <li>• External verification reports</li> <li>• Assessor meetings (including meetings with internal verifiers)</li> </ul>
<b>10.4 The evidence of candidates' work records of assessors' judgement and records of internal verification must be retained in accordance with awarding body requirements.</b>	<ul style="list-style-type: none"> <li>• Records of assessment securely retained for examination by internal verifiers and external verifiers</li> <li>• Internal verification reports</li> <li>• External verification reports</li> </ul>
<b>10.5 There must be an effective and accessible system of appeals</b>	<ul style="list-style-type: none"> <li>• The appeals system includes: clearly defined grounds for appeal: the timescale for the appeals mechanism to progress: the appeals mechanism</li> <li>• Evidence that the appeals system has been communicated to all candidates</li> <li>• Evidence that the appeals system is accessible to all candidates within stated time limits (as defined by awarding body) and available for scrutiny by an external agency (if applicable)</li> </ul>
<b>10.6 Responsibilities for assessment and internal verification must be clearly and appropriately allocated</b>	<ul style="list-style-type: none"> <li>• Organisation chart</li> <li>• Job description and/or job specification</li> </ul>
<b>10.7 The operation of the assessment and internal verification systems must be systematically reviewed and findings acted upon</b>	<ul style="list-style-type: none"> <li>• Review of appropriate performance indicators</li> <li>• Examples of changes in arrangements over time as a result of review</li> <li>• Examples of changes in arrangements as a result of external verification feedback</li> </ul>