NLTC Level 1 Award in Security of Dangerous Goods in SSA 4.3 Transportation operations and maintenance.

NLTC QUALIFICATIONS

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Version and Issue

Version	Date	Issue
1	1st May 2024	

Qualification Overview

1. Objective

National Logistics Training Consortium (NLTC) has developed the qualification with learning outcomes and assessments which have been developed specifically in compliance with the UK Department for Transport Dangerous Goods Division.

The objective of the qualification is compliant with the aims and objectives set by the UK Department for Transport, which are:

a. To provide all staff involved in the carriage of dangerous goods with a working understanding of the relevant security risk(s).

b. To ensure that all staff involved in the carriage of dangerous goods understand their role and responsibilities in providing and maintaining effective security.

Following completion of the qualification, learners obtain the required level of knowledge to:

a. Understand the threat facing the carriage of dangerous goods and how it is assessed.

b. Understand the vulnerabilities surrounding the carriage of dangerous goods.

c. Understand their role in implementing and maintaining effective security.

As set out in the UK Department for Transport guidance for dangerous goods security awareness training, learners will obtain the ability to:

a. Identify sources of threat to the security of dangerous goods.
b. Identify vulnerabilities and carry out the appropriate security-related activities to counter these.
c. Respond to potential risks in a timely manner.
d. Take appropriate action when a security breach is identified.

Learners will obtain an understanding of the requirements set out in ADR 1.10.2, 1.10.3, 8.4 & 8.5. CDG regulation 7 & 8, regulation 24 (2) schedule 2. 5 (5).

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2. Who is it designed for

This level 1 qualification is designed for persons who are involved in the storage, handling or transport of dangerous goods by road.

This includes personnel undertaking roles specifically stated in ADR 1.4, loader, packer, filler, and unloader. Additionally, as set out in 8.2.3 of ADR, this also includes all persons whose duties concern the carriage of dangerous goods by road. Including personnel who are employed by the road vehicle operator or the consignor, personnel who load or unload dangerous goods, personnel in freight forwarding or shipping agencies, and drivers of vehicles carrying dangerous goods who do not require an ADR Driver Training Certificate.

The qualification is equally designed for drivers who hold an ADR Driver Training Certificate, as the content of this qualification exceeds the requirement in ADR 8.2.2.3.2 (O).

3. Pre-Requisites

Learners may only attempt the examination following successful completion of an approved teaching course.

4. Total Qualification Time

Total Qualification Time	Guided Learning	Credits
4 Hours	4 Hours	0

Learners are required to undertake 4 hours of guided learning, provided by an appropriately qualified and approved teacher for this qualification.

5. Level

This qualification is set to level 1.

6. Option Routes

No optional routes are available for this qualification. Learners are required to complete the total qualification time, set out in section 4 of this qualification specification, at an approved NLTC centre.

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7. Cost

Multiple Choice Assessment = £15
(Costs are subject to VAT @ 20%)

8. Method of the qualification

Following completion of the teaching set out in section 4, learners will be required to undertake and pass an assessment set by NLTC. This will include 20 multiple choice questions.

Assumption of the learner's comprehension of the subject will be ascertained by the use of a single multi-choice examination.

Learners may only be permitted to undertake the assessment following completion of the required total qualification time as set out in section 4.

1 point will be scored for each correct multiple-choice question answered. The assessment will consist of 20 questions providing a maximum available score of 20. The required pass mark is set to 70%, requiring a score of 14 or more to pass the assessment.

	Duration	Questions	Points	Pass Mark
Multiple Choice	30 minutes	20	20	70% (14)

Assessments may only be carried out at approved NLTC centres by approved NLTC examiners. The assessment must be undertaken in exacting circumstances to those provided to NLTC for authorisation of the assessment.

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9. Assessment

The method of assessment is set out in section 8.

Assessments may only be provided by an approved NLTC assessment centre.

Centres can provide the assessment either in paper form or on-line.

Assessments can be carried out by the training provider. At least 5 normal working days' notice must be provided to NLTC via the database in order to run this assessment. For verification purposes, centres must permit NLTC quality control officers' access to the assessment.

During the examination, learners may not have access to any reference material or devices which may be used to assist in obtaining answers to questions.

Learners who fail to obtain a pass in the examination may undertake a second assessment provided that this is no earlier than 1 day following the first assessment and no later than 4 calendar months following the first assessment. In the latter circumstance, the learner will be required to attend a full training course if more than 4 calendar months have passed since the first assessment attempt.

10. Duration of certificate

The certificate has a validity period of 2 years.

11. Language

The assessments are provided exclusively in English.

12. Requirements for teaching

In order to teach this qualification, teachers must have a qualification or proof of experience in teaching within a professional adult environment. Teachers are also required to hold level 2 security of dangerous goods, equivalent, or higher qualification which is regulated.

Approved ADR instructors will be accepted as holding an equivalent qualification. Alternatively, approval may be obtained by means of a demonstration of knowledge and ability to teach.

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13. Syllabus

The syllabus for the qualification is set in compliance with the UK Department for Transport guidance for dangerous goods security training.

Syllabus			
Reference		Unit	Level
DGS1	A	The nature of security risks	1
DGS2	B	Relevant regulations (ADR / CDG)	1
DGS 3	C	Recognising security threats	1
DGS 4	D	Methods to address and reduce security threats	1
DGS 5	E	Actions to take in the event of a security breach	1
DGS 6	F	Cyber threats	1

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NLTC Qualifications

NLTC Level 1 Award in the Security of Dangerous Goods

Syllabus

In compliance with UK Department for Transport Security Awareness for the Carriage of Dangerous Goods

Syllabus Reference A: The nature of security risks		
Reference	Topic	Sub-Topic
A.1.	Understanding the meaning of the word ‘threat’ in a security context and how this relates to ‘risk’.	1.1. Understanding the definition of threat, in security terms. 1.1.1. Identification of the likelihood of an attempted security event. 1.1.2. Identification of the heightened or increased likelihood of a security event during certain circumstances, occurrences or activities, and how this can result in an increased probability of a security threat during certain timescales. 1.1.3. Understanding of the three key factors, which result in a threat to security, being: a) Motivation. b) Intent. c) Means & Capabilities. 1.1.4. Understanding that a threat to security is provided (owned) by the attacker. 1.1.5. Understanding of the possible consequences of an attack, including: a) Human b) Economic c) Political d) Reputational impact 1.1.6. (Reserved: level 2)

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		1.1.7. Understanding the definition of vulnerability, in the context of dangerous goods. 1.1.7.1. The ability to identify the characteristics of a target, including people, which could be exploited in an attack. 1.1.7.2. Knowledge that vulnerability is owned by the government and the dangerous goods transport sector. 1.1.8. Understanding the definition of risk, in the context of dangerous goods. 1.1.8.1. Knowledge of the principle that risk is the resulting product of threat plus vulnerability.
A.2	Understanding the types of people or organisations who may pose a threat to the carriage of dangerous goods, including their rationale.	2.1. Understanding that threats to the security of dangerous goods can exist from a range of sources, may be individual or organisational and may be opportunist or planned. 2.2. Knowledge of common sources of threat, including: a) International terrorism b) National (domestic) terrorism c) Criminal activity i. Organised ii. Individual iii. Opportunistic

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		d) Mental illness e) Protestors & activists 2.3. Knowledge of threats associated with employed personnel. a) The insider: a person who has access to security sensitive areas and information, who may benefit from providing such information or access to the threats listed in 2.2, or as a means to carry out theft or destruction for their own means. b) Influenced, or blackmailed staff: Those who may provide information or access to others either due to threats or coercion. See 2.5 c) Disgruntled staff: Those who may seek to gain revenge on an organisation due to circumstances as: i. Redundancy ii. Failure to secure promotion iii. Unfavourable restructure or terms of employment 2.4. Knowledge of threats associated with visitors or personnel with temporary site access. 2.5. Knowledge of various coercion techniques used to manipulate an employee or person with access to secure areas or information. Knowledge of various methods, including:

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		a) Violence b) Threat of harm or disclosure of damaging information c) Threats to family, friends or property d) Befriending e) Favour f) Religious fanaticism 2.6. Knowledge of the method of convincing a person to unwittingly assist in a security breach, by implying the belief that they are proving assistance to a friend or acquaintance that will have little or no consequence. 2.7. Understanding the rationale for a catastrophic event. 2.7.1. This will include knowledge of how a political or terrorist movement can obtain a high media profile by means of committing atrocities, generally against vulnerable, commercially valuable, precious or prestigious targets. 2.7.2. Creating panic, fear and disruption to the regular lives of normal people 2.7.3. The learner will understand the rationale for the atrocity, including: a) Publicity for their cause b) The release of prisoners c) Change of government d) Change of government policy e) Financial reward

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		2.8. This part should refer to events, such as: • The Berlin Christmas Market attack 2016 • Nice Promenade 2016 2.9. Understanding the rationale of suicide attacks.
A3	Knowledge of the types of threat to the security of dangerous goods.	3.1. Knowledge of the types of intended result gained from the theft of vehicles loaded with dangerous goods, including: a) Theft for the value of the vehicle. b) Theft of the vehicle for use as a weapon. c) Theft of the fuel contained in the vehicle. d) Theft of the load for resale purposes e) Theft of the load of terrorist purposes 3.2. Knowledge of the method and potential consequence of vehicle hi-jack when carrying dangerous goods. 3.3. Knowledge of the method and potential consequence of vehicles carrying dangerous goods being sabotaged. 3.4. Knowledge of the method and potential consequences of vehicles loaded with dangerous goods being stolen from site and other parking areas. This should include a description of the vulnerabilities of parked vehicles being loaded with dangerous goods. 3.5. Knowledge of the necessity to confirm the identity of the consignee. Confirming the importance of proper checks being carried out on purchasers of dangerous goods in order to prevent dangerous goods being delivered directly to individuals or organisations who may use these to cause harm or distraction.

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		3.6. Knowledge that some loads that are ready or being prepared for transport may be at greater risk than others where they are relatively easy to transport once stolen.

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B.1	(Note: Syllabus B.1 refers to security regulations set out in ADR and CDG, this is in addition to the guidance set out in the Department for Transport security of dangerous goods document.) Security requirements set out in ADR & CDG.	1.1. Recognition of ADR 1.10.2 security training. 1.1.1. Training must be undertaken and be periodically supplemented with refresher training. 1.2. High Consequence Dangerous Goods 1.2.1. The definition of (HCDG) High Consequence Dangerous Goods, and for (HCRM) High Consequence Radioactive Material. 1.3. Knowledge of the security plan 1.3.1. The requirement for participants involved in the carriage of High Consequence Dangerous Goods or High Consequence Radioactive Materials, to develop and implement a security plan. 1.4. Knowledge of CDG regulation 7, regarding the carriage of explosives within the UK, which are relevant to the driver. a) Delivery within a reasonable length of time. b) Delivery to the correct (qualifying) premises c) Unloading as soon as reasonably practicable following arrival on site. d) Non-detachment of trailers loaded with class 1 goods.

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		1.5. Reserved (level 2) 1.6. Reserved (level 2) 1.7. Knowledge of ADR 1.10.1. 1.7.1 Necessity for all persons engaged in the carriage of dangerous goods to consider security requirements. 1.7.1. Dangerous goods only being offered for carriage to carriers who have been appropriately identified. 1.7.2. Areas within dangerous goods sites to be: a) Properly secured. b) Well lit c) Where possible and appropriate, not accessible to the general public. 1.7.3. Competent authority's right to carry out safety, and security, inspections. 1.8. The role of the Dangerous Goods Safety Advisor

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		1.8.1. Knowledge of the duties of the DGSA as set out in ADR 1.8.3.3. Particular emphasis on the DGSA role regarding the existence of the security plan.
C1	Understanding and ability to recognise potential vulnerabilities, both common and uncommon.	1.1. Knowledge of common vulnerabilities; including: a) Lack of access control measures to sensitive areas.

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		b) Loaded vehicles left unlocked, with keys easily available. c) Vehicle keys left unsecured and available to so as to permit unauthorised people access to the vehicle. d) Inadequate security around areas used for the temporary storage of dangerous goods. e) Inadequate security measures regarding vehicle scheduling. f) Failure to conduct adequate checks of people seeking access to High Consequence Dangerous Goods. 1.2. Knowledge of uncommon vulnerabilities; including: a) Hostile reconnaissance (2.2.1) b) The insider (2.2.2) 1.2.1. Hostile reconnaissance, includes: a) Being commonly used by terrorists prior to an attack, to gather information. b) May include:

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		i. Unusual questions regarding the type of security on site. ii. Vehicles parked suspiciously around a site perimeter, for extended periods of time without any reason. iii. Individuals bringing unusual / unnecessary packages on to site. iv. Suspicious behaviour from an individual attempting to enter a site, such as: • Being nervous • Perspiring • Wearing inappropriate clothing v. Unusual occurrence, such as unauthorised people found in normally restricted areas. vi. Internet searching, including social media. [This syllabus point, concludes with syllabus point D.2 (2.4)] 1.2.2. The insider threat, includes: a) Risk posed by persons who have access to a site. This could include contractors or anyone with access to physical or sensitive information assets.

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		b) Agency staff 1.3. Encouragement of staff to express concerns about other members of staff, including signs, such as changes in behaviour and the benefits and mechanisms of providing the ability to do this is confidence. 1.4. Encouragement of staff to express concerns about other members of staff, including the benefits and mechanisms of providing the ability to do this is confidence. 1.5. The necessity to encourage vigilance amongst staff, with regards to observing and reporting suspicions. 1.6. Understanding that an employee or contractor, including those of long service and previous good character, could become a security concern at any time. 1.7. Knowledge of the potential signs relating to a security concern for an individual; including: a) Drug / alcohol misuse

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		b) Support for extremist views (particular emphasis when violence is advocated or agreed with) c) A sudden change in: • Religion • Political or social affiliation • Negative attitude towards performance at work • Negative attitude towards security matters on site • Major, unexplained, changes in lifestyle and financial status • Loss of interest in work • Negative reaction to a career change • Stress or excessively emotional behaviour • Clearly unhappy / alienation from colleagues d) A change in a working or shift pattern, which results in working alone, working unusual hours and reluctance to take leave. 1.8. Emphasis on the link between personnel and physical security measures. For example, a good security device is no good if the user does not switch it on. 1.9. The necessity to involve the police in the event of an employee or contractor being involved in a criminal activity, so that this activity appears on DBS checks carried out by potential future employers.
C.2	Understanding the key areas of vulnerability for sites.	2.1. The importance of developing site risk assessments for security purposes. 2.2. Recognition of areas where a site will be vulnerable.

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		2.2.1. Areas where access to site is provided, such as gates and barriers. This will include access to vehicles and access to personnel. 2.2.2. Visiting vehicles, including those used by contractors and those used by hauliers. 2.2.3. Checks which should be carried out on visiting vehicles, including: a) Authority to access site. b) Equipment carried. c) Details of the driver. 2.2.4. If a visiting vehicle is carrying a passenger or crew: a) Does the site permit passengers on site? b) Identity of the passenger (ADR 8.1.2.1.d requires identity, including photographic identity to be carried). c) Qualification and reason for the passenger being onboard the vehicle. 2.2.1. The site perimeter, which should include regular checks for damage or attempts made to gain entry to site. Items left near to the perimeter fencing, on either side, which could be used to assist access to the site. For example, a pallet laid onto a fence, which could assist someone climbing over the fence.

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		2.2.2. Buildings on site, which could be used for individuals to hide in until a time appropriate to begin criminal or terrorist activity, with a greater chance of not being seen. a) Building may also be used to assist in site access. b) People with access to site. 2.3. Knowledge of the vulnerability of information. 2.3.1. Learners should gain an understanding that knowledge of sensitive information, has the potential to result in catastrophic consequences. This should include knowledge of cyber security. 2.3.2. Procedures, security policies and access controls should be provided for: a) Types and amounts of dangerous goods stored on site. b) Security arrangements. c) Vehicle movements. d) Access controls

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C.3	Understanding the key areas of vulnerability whilst in transit	3.1. Understanding of potential vulnerabilities to the vehicle and cargo, whilst in transit; including: 3.1.1. The learner should be aware of the procedures for locating a safe parking area. a) The ability to observe indicative signs of a previous security breach activity, including: i. Smell of diesel on the ground. ii. Remains of cut straps, curtains or other load securing device on the ground. iii. Broken glass (windscreen, lights, or reflectors) b) The importance of parking in an area where there is a phone signal. c) The advantage of parking in an illuminated area to prevent theft. 3.1.2. Adherence to the company safe parking policy.

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		3.2. Understanding that immobilisers and other anti-theft or security devices, if supplied or fitted to a vehicle must be used. That this use must be correct and not tampered with. Such devices must be applied whenever leaving the vehicle. 3.3. Knowledge of the methods by criminals to make a vehicle stop in order to carry out their attack / activity. 3.3.1. This section will include providing the learner with knowledge of several known methods, including: a) The around the corner scam. b) The brick between the wheels. c) The fallen off number plate. d) The injured person This section should include knowledge of how to avoid falling prey to these scams. Emphasis on remaining in the cab and calling for assistance or corroboration, should also be included. 3.3.2. Impersonation of enforcement officers should also be included. This must include this syllabus 4.4 and C.4 (4.7.1) use of the dangerous load card.

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		3.4. Explain the methodology and rationale of the dangerous load card. (Note: for 4.4 a current version of the dangerous load card should be displayed). 3.5. Explanation of the potential consequences of a vehicle / dangerous goods being obtained by criminals or terrorists.

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D.1	Understanding how the assessed risk affects the security measures applied.	1.1. Knowledge of the two forms of security measures: a) Preventative Measures (1.2) b) Response Planning (1.3) 1.2. Preventative Measures: 1.2.1. Knowledge that 'Preventative measures' aka 'counter measures' are policies and actions which are put in place to avoid an event or specific incident. Preventative measures form the standard routine within a security policy. 1.3. Response planning: 1.3.1. Knowledge that if an event, or specific incident did occur, Response plans are those which were developed in order to respond to such an event or specific incident.
D.2	Understanding the need to protect information	2.1. Understanding that every person / participant within the chain of the transportation of dangerous goods has an obligation to do so safely and securely. This section must emphasize that the secure transportation of dangerous goods is reliant upon individuals having the utmost integrity, discretion and trustworthiness as well as the ability to do so securely regarding the recognition of threats to security including those posed by cyber-attack. 2.2. Understanding the necessity to guard information and implement a strict 'need to know' format for all details pertaining to the storage and transportation of dangerous goods.

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		2.2.1. Journey details, including transport documentation, should not be easily available for other people, unrelated to the transport operation, to see or have access to. 2.2.2. Drivers should not ask for directions unless the source of the information is known to them and related to the transport operation. 2.2.3. Journey planning should be undertaken prior to any journey. This should include as a minimum: a. The appropriate route to take considering the type and dimensions of the vehicle and the security risk posed by the type of load. b. Facilities throughout the journey regarding necessary stops for comfort breaks, rest periods and re-fuelling, if required. c. Avoidance of high risk routes, for example travelling through remote areas where an ambush or hijack would be more likely. d. Avoidance of predictable repetition. ‘Same place, same time’ ability for criminals or terrorists to calculate an attack. e. The ability for the driver to find the destination without going off-route. f. Potentially suitable diversion routes in case of first choice route closures.

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		2.2.4. Drivers should not divulge to any person, with the exception of persons within the organisation who require the information for operational reasons, details of their route, shift times, cargo, or locations of where they will be parked. 2.3. Social media 2.3.1. Candidates to be aware of the company social media policy. 2.3.2. Knowledge that any post on a social media platform could inadvertently provide essential information to criminals or terrorists. 2.3.3. Knowledge of the potential dangers that seeking advice for parking or locating a delivery address by means of requesting information over social media, can cause. 2.3.4. Understanding that posting photographs or tagging locations via social media, including responses to other posts, can provide vital information to criminals and terrorists. 2.4. Hostile reconnaissance: [Continuation from C.1 (1.2.1)] *This section refers to hostile reconnaissance where the driver / employee will be approached directly and questioned about security measures. Section C.1 refers to clandestine or in-direct reconnaissance methods.* 2.4.1. Understanding that all information relating to the storage, use and carriage of dangerous goods, is sensitive. Any provision of information to any person or organisation outside of the transport chain, regardless of how tentative, must not be permitted. Learners must be aware of the potential consequences of providing information to other people.

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		2.4.2. Understanding of coercion. This includes the methods set out in A.2 (2.5). a) Friendly coercion: where a person will befriend a person with access to locations or information, which could result in a security breach. Emphasize that this is not limited to new friendships. b) Assistive coercion: where a person is led to believe that they are doing a, non-consequential, good deed, or favour, for a person in order to provide them with assistance. c) Pressured coercion: where a person is placed under pressure, often by means of peer pressure, or made to believe that by not providing assistance, that they are acting unjustly by refusing to comply with the request(s). d) Blackmail: where a person is forced to comply with the requests of another person under fear of the consequence of not complying with their request. This could include threats of violence, harm to loved ones or disclosure of information. 2.4.3. Understanding that activities outside of the workplace, could be manipulated by criminals and terrorists in order to deceive a person into divulging sensitive information. 2.4.4. Understanding that guarding knowledge of an employer, a role or position, within an organisation involved in the transport of dangerous goods is essential.

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		2.4.5. Understanding the necessity to guard information regarding routes, estimated times at certain locations, goods carried, details of site procedures and other information regarding site and vehicle details.
D.3	Understanding what should be done to reduce the vulnerability of a site.	3.1. Knowledge of the security measures locally applied. a) Common security related activities (3.2) b) Specific duties (3.3) 3.2. Understanding that common security related activities are those undertaken by all personnel on site. This should include: a) Wearing access passes, clearly visibly, at all times. b) Checking the access passes of other people on site; challenging people who are not wearing a pass or wearing an incorrect pass. c) Identification of security breaches d) Reporting of security breaches, including the procedure and knowledge of who to report to. e) Protection of PPE and workwear which includes company ID / logos, which could be used by criminals to pose as employees of the business. f) Denying people the opportunity to 'tailgate' at secure doors and gates (this involves a person entering a secure area by means of walking through a door or gate close to an authorised person who has opened the door or gate).

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		3.3. Understanding that specific personnel may have specific duties and responsibilities. 3.3.1. Understanding that specific security measures allocated to a specific person or role, if undertaken correctly, can significantly reduce the vulnerability of the site. 3.3.2. Understanding the necessity for communication between individual departments regarding security measures, threats, vulnerabilities and known issues. 3.4. Auditors. 3.4.1. Understanding that some people actively film themselves at dangerous goods premises in order to gain a social media following. 3.4.2. Understanding the appropriate actions to take, if approached by such an auditor. This should include non-disclosure of any information, refusal to enter into dialogue and removing any items from view, which may have information regarding a load or destination. 3.5. Understanding the necessity to develop direct reporting procedures, for all staff to be aware of, in regard to witnessing hostile reconnaissance.

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D.4	Understanding the security measures which should be applied when transporting dangerous goods by road.	4.1. Knowledge of ADR 1.10.1.4, in regard to drivers and crew carrying a means of identification, including photographic identity. 4.2. Knowledge of ADR 7.5.1.1, in regard to compliance with the regulatory provisions, including those set out for security. 4.2.1 Knowledge of ADR 7.5.1.2 & 7.5.1.3, in regard to loading and delivering not taking place if deficiencies are noticed during inspections which might affect safety or security. 4.2.2 Understanding that site personnel should be carrying out checks on visiting vehicles and drivers. 4.3. Reserved (level 2). 4.4. Consideration when taking over control of a vehicle: 4.4.1 Understanding the necessity for a driver to carry out a thorough security inspection of the vehicle. This should include the driver looking for: a) Signs of tampering b) Damage to locking and other mechanisms or devices fitted for the security purposes of the vehicle and load. c) Damage to the fabric of the vehicle, likely to impair the effectiveness of seals, for example cuts made in curtains. d) Covert tracking devices 4.4.2 The necessity to confirm the sealed state of security seals, if applicable.

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		4.4.3 Transport documents should be checked for authenticity and to confirm that no alterations or amendments have been added, which could result in the vehicle going to a location favoured by a criminal or terrorist. 4.4.4 Drivers should be trained and have a good understanding of how to operate security equipment and devices which are installed on their vehicle. 4.4.5 Drivers should be trained and understand the necessity and appropriate procedures to report any signs of tampering, irregularities in loading, and malfunctioning security equipment. 4.5. Considerations when the vehicle is in transit. 4.5.1 Carriage of passengers. 4.5.2 If, due to unforeseen circumstances, it is not possible to follow a pre-planned route; the driver should inform the carrier and agree an alternative route. This agreement should be made between the driver and person known to the driver. 4.5.3 Pre-planned stops should be arranged. 4.5.3.1 Reasonable efforts should be made to avoid stopping, bearing in mind driver's hours, comfort breaks and working time rules. 4.5.3.2 If a stop is required security must be considered 4.5.3.3 Locations for stops should be sufficiently secure and fit for purpose. 4.5.3.4 Insecure / causal parking locations should be avoided.

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		4.5.3.5 Predictable patterns, i.e., regularly stopping at the same place at the same time, should be avoided. 4.5.4 When leaving the vehicle, the driver should ensure that: a) The cab has been secured. b) All security / immobiliser devices have been correctly activated. c) Valuables and transport documents are not in view. 4.5.5 When returning to a vehicle, following a stop, the driver should carry out a thorough security inspection of the entire vehicle in order to ascertain that the vehicle has not been compromised or tampered with whilst it was parked. 4.5.6 Seeking directions or advice regarding parking locations, etc, should be undertaken as set out in C.2 (2.2.2). 4.5.7 Pre-planned parking should be arranged with locations that have secure facilities for overnight parking. Drivers who are involved in overnight stays. Should ensure that all doors are locked when sleeping in the cab. 4.5.8 Vehicle keys should be kept securely at all times. The practice of leaving keys in 'hiding places' for other drivers to find when they take over a vehicle should not be undertaken. 4.5.9 Detached trailers and freight containers should only be parked in pre-arranged parking areas, which are suitable and secure. If any security devices are fitted, these should be activated. 4.6. Appropriate action in the case of an emergency

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		4.6.1 This should include the safety hierarchy of: The driver, the public and then the environment. 4.6.2 Understanding of the action to take, depending on the situation. This will include: a) Safety b) Containment c) Reporting 4.7. The dangerous load card. 4.7.1 [Continuation from C.4. (4.4)] Drivers must be aware of the procedure to follow to confirm the identity / authenticity of an enforcement officer, when being stopped. This will include a recap / confirmation of understanding, of the procedure when using the dangerous load card. 4.8. Considerations at the point of delivery. 4.8.1 The necessity to compare that the delivery point matches the information on the transport document. Drivers should be alert to the possibility of deception [see C.4 (4.3.1.a)] 4.8.2 The necessity to ensure that, whenever it is possible to during unloading, the cab should be secured, and any security or immobilizing devices should be activated.

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E.1	Understanding what procedures should be followed in the case of a security breach.	1.1. Understanding what constitutes a security breach. This activity or occurrence indicates that the security of the dangerous goods has been compromised. Indicative examples should include: a) A vehicle being tampered with. b) A perimeter fence being cut, broken or damaged. c) An unauthorised person in a secure location or area. d) Theft of a vehicle. e) Theft of paperwork relating to a delivery.
E.2	Emergency procedure to follow.	2.1 Understanding of the procedures to follow when a security breach occurs. This should include that a suspected breach should be treated as an actual breach. 2.2.1. Understanding that in the case of 2.1, a breach of security should be assumed until that breach of security has been proven not to be a breach of security. 2.2 Knowledge of participants being aware of their individual duties during an evacuation procedure. 2.3 Knowledge of the procedures set out for reporting a breach of security.

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E.3	Specific responsibilities.	3.1 Understanding that specific personnel may have specific responsibilities relevant to them during an activity or occurrence relating to the response plan following a security breach. 3.2 Personnel, as set out in 3.1, should be aware of these responsibilities, have received appropriate training, and be capable of carrying out such duties. 3.3 Specific responsibilities that are set out in the security plan, should be known to the relevant personnel. These relevant personnel should have received appropriate training and be capable of carrying out such duties.

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F.1	Phishing attacks	1.1. Understanding how phishing works 1.2. The necessity to set policies and provide training which will remove the possibility of staff opening links or being directed to websites which could result in the download of malware or ransomware. 1.3. Understanding of ‘spear phishing’ and how this may appear plausible due to the attacker demonstrating some knowledge of the organisation. 1.4. Knowledge of DMARC 1.5. Knowledge of the multi-layered approach to mitigate a phishing attack: a) Increase the difficulty for attackers to reach individuals within an organisation. b) Set a means for staff to identify and report suspected phishing attacks. c) Increase security levels to decrease the probability of undetected phishing emails. d) Set procedures which result in the response time to identification of a phishing attack to the shortest possible time.

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F.2	Malware & Ransomware	2.1. Understanding of how malware works. 2.1.1. The possible effects of malicious software, including: a) Rendering devices locked or unusable. b) Data, theft, deletion, or encryption. c) Over taking control of a device, resulting in that device being used to attack other organisations. d) Obtaining credentials, permitting access to other systems within an organisation. e) Mining – cryptocurrency f) Sales to services which will be charged to the victim of the attack. g) DDOS – Deliberate Denial of Service

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		2.1.2. Actions for recovery a) Making regular system back-ups. Including isolated storage. b) Procedures to prevent malware spreading to other devices within the organisation. c) Methods to prevent malware from running on devices within an organisation. d) Setting of procedures necessary to prepare for a malware attack. e) Development of a recovery / disaster plan 2.1.3. Steps to take if an organisation has been infected by malware. 2.2. Understanding of how ransomware works. 2.2.1. Knowledge of the threats connected to ransomware, including permanent loss, or encryption, of files, and publication of files to the general public or directly to competitors. 2.2.2. Risk associated with paying attackers, including no guarantee that they will return access to the victim. The risks of infection remaining in a device or system, and the increased possibility of future attacks, including the risk that they may sell the information even after being paid.

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F.3	Password security	3.1. Understanding of the importance of setting unpredictable password, regularly changing passwords and guarding passwords. 3.2. Knowledge of common methods used to obtain passwords, including: a) The ability to convince a person to reveal passwords. This may be by means of coercion, phishing, or tricking. b) Security weakness, for example multiple users sharing the same password; commonly referred to as 'password spraying'. c) Aggression, threat, or blackmail. d) Theft or obtaining knowledge of a password list or hash file, where the hash can be broken providing the attacker of knowledge of the original passwords. e) Shoulder surfing and leaving devices unattended or otherwise insecure. f) Insecure storage of passwords, for example, written on sticky notes or keeping passwords in an easy to find place. g) Manual password guessing, for example using birth dates or other memorable words relevant to the user which could be guessed or calculated by the attacker. (See 3.2.1).

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		3.2.1. Ensuring all password holders are aware of the necessity to guard the passwords, the methods set out in 3.2 and methods used by attackers to obtain personal information (relevant to 3.2 g), such as being asked to calculate a 'Star Wars' name by using possible memorable words, such as mother maiden name, first pet, favourite teacher, etc. 3.3. The benefits of implementing policies for passwords which: a) Reduce the organisations dependence on passwords. b) Throttling: Setting a time delay following a set number of attempts to input a password. c) Protection of password. d) Regular updates for passwords including set and ad-hoc periods, termination of employment or change of role, or following a significant event. 3.4. Methods for the random generation of passwords and secure keeping of all information regarding passwords. 3.5. Understanding the security benefits of using multi-function authentication. 3.6. Knowledge of Business email compromise (or BEC) which is a form of phishing attack where a criminal attempts to trick a senior executive (or budget holder) into transferring funds or revealing sensitive information.

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F.4	IT Maintenance	4.1. Recognition of the importance to regularly update devices and systems. 4.2. Recognition of the importance to accept updates provided by operational systems regarding security updates. 4.3. Knowledge of the method to implement a maintenance programme for data and systems. 4.3.1. When maintenance is offered to a third party, sufficient checks should be carried out on the contractor prior to and during engagement. 4.3.2. In the event of changing contractors, measures must be taken to ensure no loss of data or continued access is available to the outgoing contractor. 4.3.3. Implementation and understanding of a ‘clear desk’ policy.

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NLTC QUALIFICATIONS

Centre Operational Procedure

- NLTC Level 1 Award in Security of Dangerous Goods
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NATIONAL LOGISTICS TRAINING CONSORTIUM

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Section 1. Method of Qualification

1.1. Qualification title

The title of the qualifications are:

NLTC Level 1 Award in Security of Dangerous Goods in SSA 4.3 Transportation operations and maintenance.

NLTC Level 2 Award in Security of Dangerous Goods in SSA 4.3 Transportation operations and maintenance.

1.2. Qualification descriptive overview

The qualifications are based on the UK Department for Transport document titled 'Guidance for the design and delivery of security awareness training for the carriage of dangerous goods by rail and road'.

The level 2 award is intended for managerial personnel, who are involved in implementing security procedures.

The level 1 award is intended for operational personnel, who are required to comply with security procedures.

1.3. Validity period

Level 1 award = 2 years
Level 2 award = 5 years

1.4. Refresher training and assessment

1.4.1. Once the qualification has been awarded, it is valid for the period set out 1.3. Qualification holders who intend to hold the qualification past its initial validation are required to undertake a full training course and undertake and pass the relevant examinations for the required qualification. No reduction in teaching time or assessment is provided.

1.4.2. A candidate may extend the validity of their qualification at any time during its validity.

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1.5. Method of teaching

1.5.1. Teaching must be carried out by an NLTC centre who holds approval for this qualification. The teacher must also be approved by NLTC for this qualification.

1.5.2. Teaching must be undertaken in the exact conditions that the centre advised NLTC of during the qualification intention process.

1.5.3. Teaching for this qualification must be provided by direct, live, tuition. This may be carried out either in a classroom or by remote training. If teaching is carried out by remote means, the requirement for the candidate to attend the examination in person remains relevant.

1.6. Pre-requisites

No pre-requisite requirements are applicable learners for these qualifications.

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Section 2. Approvals

The qualification may only be provided by a centre which holds specific approval from NLTC to provide the qualification. The centre may only provide the qualification by means of a teacher who has been specifically approved by NLTC for this qualification, and the assessments may only be carried out by an assessor who has been specifically approved by NLTC for this qualification.

2.1. Centre approval

2.1.1. Centres must apply to NLTC for approval to provide this qualification. Existing NLTC centres can do this via the NLTC members website. Other centres can do this via the NLTC general website.

2.1.2. Unless NLTC already has evidence that a centre meets the requirements set out in 2.1.3, a quality control visit will be required, at the centres expense, in order to ascertain that the requirements of 2.1.3 are met. In this case, approval as an ADR centre will be considered to fulfil this requirement.

2.1.3. The centre must have all items and requirements as listed within this part.

a. A suitable classroom / training facility

This requires a training facility to be of a standard expected for teaching. In addition to the items listed in this part, the facility is required to be of a reputable standard in terms of décor, access, lighting, heating, basic facilities for ablutions and safety standards i.e., electrical supplies, etc.

b. Means to display a PowerPoint presentation with clear view and suitable audible facilities

c. A copy of the Department for Transport Guidance for the design and delivery of security awareness training for the carriage of dangerous goods by rail and road. This may be by electronic means, provided that candidates are permitted access to it.

d. A desk and chair for each candidate, which provide an unrestricted view of the teacher and any materials used for teaching.

e. Free from external distractions

f. A computer or laptop for candidates use during their examination.

g. A means to demonstrate teaching, such as a flip chart or white board.

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2.1.4. Approval may be provided by remote means, i.e., a virtual tour of the site and facilities. In this case though, centres should be aware that if, during verification visits or audits, the centre is found to be non-compliant with the terms of 2.1.3, approval can be suspended or withdrawn.

2.1.5. Once centre approval is provided, the centre is approved. This is not limited to a single location operated by the centre. All locations used by the centre will receive approval, provided that the centre confirms that the location meets with the requirements of 2.1.3.

2.1.5.1. If any location used by a centre is non-compliant, the approval for the centre may be suspended or withdrawn.

2.1.6. Centre approval is provided on an annual basis. Provided that compliance has been maintained within the previous year, re-approval will be automatically administered.

2.1.7. Approval is at the discretion of NLTC and can be suspended or withdrawn at any time.

2.2. Teacher approval

2.2.1. Centres must have at least one teacher for this qualification.

2.2.2. Centres must add teachers onto the teacher / trainer tab on the NLTC members website.

2.2.3. Teachers are required to demonstrate teaching ability and subject knowledge. Teachers must hold a current level 2 certificate for this qualification in order to teach both levels 1 and 2.

Teachers must provide certification teaching qualifications or prove experience in teaching within an adult environment. Acceptance of these is at the discretion of NLTC.

Teachers who hold approval as an ADR instructor, will be considered to be suitable for teaching these qualifications, provided they hold the level 2 qualification.

2.2.4. Approval for teachers is transferable between centres. i.e., an approved teacher can teach for multiple centres.

2.2.5. The terms of 2.1.7 are equally relevant to teachers. In addition, the actions of a teacher can place the continued approval of the centre at risk.

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2.3. Examiner approval

2.3.1. Each centre must appoint at least one person to act as an invigilator , i.e., a person who carries out the examinations. This may be the teacher or may be another person who is unfamiliar with the teaching; but is familiar with the method of assessment.

2.3.2. Centres should add the invigilator(s) details to the NLTC members website. The responsible person must confirm that the invigilator has a good understanding of the requirements of section 4 of this procedure.

2.3.3. The terms of 2.1.7 are equally relevant to assessors. In addition, the actions of an assessor can place the continued centre approval at risk.

2.4. Responsible person

Each centre must register a responsible person with NLTC. This person is the point of contact with NLTC and must be a person within the organisation of the centre who holds sufficient authority to carry out compliance with this procedure.

The responsible person holds the responsibility to ensure that that the centre sets and remains in full compliance with the requirements of this procedure.

The responsible person must inform NLTC of any alterations to personnel or circumstance within their organisation.

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Section 3. Teaching

3.1. The qualification may only be provided by teachers who are approved by NLTC for this qualification.

3.2. The syllabus sets out the duration (teaching units) and criteria for each learning outcome. Teachers must abide by the terms of this syllabus.

Under no circumstances may any teaching include less duration or content than set in the syllabus.

3.3. Each teaching unit is 30 minutes.

3.4. Start of course briefing.

Prior to the start of teaching, the teacher must set out the basic health, safety and site-specific rules for the centre and location.

This must include at least:

a. Fire procedures

b. First aid procedures

c. Smoking rules

d. Toilet facilities

e. Facilities for refreshments

f. Facilities, arrangements, or locations available for lunch

The briefing must also include:

g. The qualifications and experience of the teacher

h. The duration of the teaching, including start times, end times and break times.

i. How the qualification will be delivered

j. How the assessments will be carried out

k. Sharing of information with NLTC

l. The period of validity

- i. Of the qualification when passed
- ii. To undertake the assessment following the teaching
- iii. To retake an assessment following a failure

l. The method of refresher teaching and assessment

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3.5. Joining instructions

Centres should provide each candidate with a joining instruction at least 1 week prior to the start date of the teaching. These, at least, must include:

a. The full address of the venue

b. The start and end times and dates

c. The requirements as set out in 1.2.4 & 1.6 of this procedure

d. A request for any reasonable adjustments or special requirements. (See 7.1)

3.5.1. In addition to these minimum requirements, the centre should include its own policies for refunds, resits, etc as well as any arrangements for lunch, car parking or other pertinent subject relative to the qualification.

3.6. Breaks

A break of 15 minutes must be taken following any three teaching units (90 minutes). When this break occurs near to lunch time, this break must have a duration of at least 45 minutes.

3.7. Teaching is limited to a maximum of 12 teaching units (6 hours). However, if the teaching element of the qualification is being used to obtain Driver CPC, the additional hour required may be taken. This hour, however, must not be used to prolong the teaching of this qualification.

3.8. Identity checks

Teachers must carry out a thorough identity check of each candidate. This will include comparisons of photographs and signatures. The preferred form of identity is a driving licence. If this is not available, the candidate is required to produce a form of identity which includes their photograph and signature, which has been provided by the government, e.g., a passport.

Note that there is no requirement for this to be solely a UK identity document if the candidate is not a UK resident.

3.9. Practical exercise

Teaching must include the candidates undertaking practical exercises. These must incorporate at least:

For level 2:

a. A mock scenario involving a driver informing an operator of a security incident, in order to see what actions the operator will take.

b. Assessment of risk ratings for different circumstances.

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For level 1:

4.1.3.1. Assessment of risk ratings for different circumstances.

3.10. Assistance to candidates

Teachers should relay teaching during the qualification, which is suitable for the candidate to obtain the ability and knowledge to pass the assessments.

Teaching must not be directly aimed at assessment questions. Any ‘coaching’, ‘hinting’ or other advantage provided to candidates that is specially directed to gaining an advantage of the assessments via pre-knowledge of likely questions, is strictly forbidden. This may result in the teacher’s approval being withdrawn and may also result in the centres approval being withdrawn.

If a candidate requires a reasonable adjustment; this must be undertaken via the content set out for reasonable adjustments in this procedure. Teachers or centres may not, under any circumstances, provide any adjustments unless the terms of section 7 of this procedure has been complied with and specific authorisation has been provided from NLTC.

3.11. Class limits

For remote teaching:

All candidates must be visible throughout the teaching on the teachers screen. The size of the screen used by the teacher must be sufficient so that the image of each candidate is clear.

A maximum of 16 candidates is permitted for remote teaching.

Classroom teaching:

a. The size of the classroom:

10 square metres are required for the teacher.

2 square metres are required per candidate.

b. The number of facilities available for the candidates:

Each candidate must be provided with an individual chair and desk space which is large enough for the candidate to take notes.

c. A maximum of 20 candidates per teacher

3.12. Teaching materials

It is recommended that centres use NLTC teaching materials (PowerPoint, course manual, etc) for the qualification; however, centres may use their own or other materials provided the points below are met.

A sample of the intended materials must be provided to NLTC for conformation of compliance with the items set below, prior to being used for teaching.

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a. The material must cover the entire syllabus

b. The material must be set to the appropriate level for the qualification

c. The material must not provide, clues, prompts or other pointers providing direct assistance to assessment questions

d. The material must not include any offensive of discriminatory content

e. The material must be of a good quality

f. The material may contain some film clips, these must not make up more than 15% of the material

g. The material must have sufficient content to meet the teaching unit requirement for the qualification.

3.12.1. Note that a charge of £350 for approval of non-NLTC materials will be made.

3.12.2. Following approval, materials may not be altered. If any alterations are required, the materials must be resubmitted to NLTC for approval.

3.12.3. Materials must be re-submitted on a five-yearly basis for re-approval. If any change of legislation, etc, forces a change to materials, all materials must be changed in line with that alteration in as short a period of time as possible. In this case only the alteration needs to be advised to NLTC. No charge will be made to review and approve the alteration in this case.

3.12.4. All teaching must include a suitable PowerPoint presentation and a course manual. Centres using NLTC materials must use provide each learner with an NLTC course manual.

3.13. Remote teaching

3.13.1. Remote teaching of the qualification is permitted, provided that all parts of this procedure are met and:

a. NLTC must be provided with access to the teaching platform in order for verification to be undertaken.

b. All candidates must be in full view of the teacher's screen at all times.

c. Candidates must be in a suitable teaching environment and free from distractions or undertaking any other activity during the teaching.

3.13.2. Prior to the start of the teaching, candidates must be provided with the candidate forms to complete.

3.13.3. At the commencement of the teaching, candidates must show the completed candidate forms to the teacher on screen and show their form of identity.

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3.13.4. The teacher must be able to carry out a meaningful and accurate check of each candidates identity prior to the start of the teaching. This must be re-established prior to the start of the examination.

3.13.5. The terms of 3.12.4 are equally applicable to remote reaching as for classroom teaching.

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Section 4. Examinations

4.1. The qualification requires a multiple choice assessment paper to be completed, under strict examination conditions.

4.1.1. Assessments may not be undertaken until the candidate has completed the teaching element of the qualification.

4.1.2. Assessments must be undertaken at the date, time, and location, advised to NLTC by the centre during the qualification intention input on the NLTC database. Any alterations to this must be advised to NLTC as soon as possible.

If, due to last minute unforeseen circumstances, it is not possible for a centre to carry out the assessments as previously advised to NLTC, the assessments must not be carried out until such time as any alterations have been advised to NLTC.

4.1.3. The assessment must be carried out at an approved NLTC centre, by an approved NLTC assessor.

4.1.3.1. The preferred method of assessment is online; however, the option to provide the assessment by means of paper examinations is available. This must be requested by the training provider. Examination papers will not be sent automatically to every centre.

4.1.4. Each candidate must be provided with a means to undertake the assessment. For online assessments this will include a laptop or PC & monitor.

4.1.4.1. Candidates may not use their own laptops for this purpose. Only equipment provided by the centre may be used.

4.1.4.2. A single PC or laptop may be shared between two or more candidates provided that each assessment has been completed prior to another assessment by a different candidate begins.

4.1.5. The assessment venue must:

a. Provide a distraction free environment

b. Provide each candidate with a laptop or PC & monitor, of a suitable size to undertake the assessments.

c. Have a suitable internet facility, for online assessments

d. Provide each candidate with sufficient desk space to house a PC monitor or laptop, or for the assessment paper if the paper assessment is going to be used.

e. Have the ability to seat candidates so that any response provided by one candidate cannot be read by other candidates.

4.1.6. It is recommended that centres have back up facilities in case of internet failure during assessments. The centre should carry out an assessment of actions to take in case of internet failure prior to running any assessments.

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4.1.7. Assessments following remote teaching.

4.1.7.1. Assessments are not permitted remotely and must be carried out at an approved centre.

4.1.7.2. The teacher of the qualification must either:

a. Be present at the assessment in order to confirm that the candidate attending the assessment is the candidate who undertook the teaching for the assessment.

b. Be shown, by remote means, the candidate undertaking the assessment, by the assessor providing the assessment. In this case, the teacher must provide conformation to the assessor.

4.1.7.3. The identity of the candidate must be confirmed by a visual inspection of the document as set out in 3.8 of this procedure.

4.2. Pre-Examination Procedure

4.2.1. Prior to the start of the examinations, the assessor must:

a. Confirm the identity of each candidate undertaking the assessment, unless identity has been confirmed prior to the teaching when the assessment will take place immediately following the teaching.

b. Confirm that the terms of 4.1.5 have been met

c. Provide each candidate with an examination briefing, as set out in 4.2.3.

4.2.2. The centre must adhere to the procedure for assessment, as set out in this part:

a. Assessments must be undertaken individually by candidates; the assessment must demonstrate the individual candidate's ability and knowledge. Under no circumstances may candidates be permitted to confer or obtain any advantage during an assessment. This includes but is not limited to any assistance from the assessor / teacher, materials on display in the location, or sight of other candidate's answers.

b. All means of mobile communication must be switched off.

c. Any item that is likely to provide an advantage to the candidate, such as a wall poster, etc, must be removed or totally obscured.

d. Candidates must be seated in such a way that other candidates' responses cannot be viewed, as set out in 4.1.5.e

e. Candidates may only use, and have access to, the permitted assessment materials during the assessments. As set out in 4.2.4.

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4.2.3. Prior to the assessment the assessor must inform the candidates of:

a. The rules for the assessments, as set out in 4.2.2.

b. The method, duration, number of questions and required pass mark, of the assessment. This should include a description of how to complete the assessment.

c. The appeals procedure

d. An appropriate means to obtain the attention of the assessor without disruption to the other candidates.

e. The required behavioural standard, with regards to compliance with NLTC rules and appropriate behaviour in regard to disturbance to other candidates.

f. The possibility of being expelled from the examination as a result of failing to comply with the rules.

g. The re-sitting procedure and timeframe requirements to undertake a re-sit of the assessment or assessments.

4.2.4. The only permitted materials for the assessment, are the laptop and mouse (for online exams) and a pen (for written exams). No other materials will be permitted during the assessment.

4.2.5. If the assessor witnesses any action by a candidate that is contrary to the rules in this part, the candidate must be expelled from the assessment. This should then be referred to NLTC. Any failure to comply with this could result in removal of approval for the invigilator and the centre.

4.3. Assessments procedures

4.3.1. Level 1 Qualification
The assessment consists of 20 multiple choice questions.

a. Up to 30 minutes (90 seconds average per question) is provided for the assessment; however, candidates may end their assessment at any time up until the 30 minutes expires.

b. The required pass mark is 14 (70%)

c) For paper assessments

i. candidates must be provided with an answer sheet. This must be the appropriate NLTC answer sheet for this qualification, which is available to print from the NLTC database.

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ii. Candidates must also be provided with the question paper. Centres are provided with backup question papers, which may only be used when it is not possible to use the online question facility. The question papers must not be marked in any way. The centre is responsible for ensuring that the question papers provided to candidates are in good condition and not marked.

iii. Candidates must be provided with a pen; however, candidates may use their own. Only blue or black ink is acceptable.

iv. The candidate should select one correct answer from the four options. This must be indicated by means of a X shown in the appropriate box in the answer sheet. If the candidate wants to change their answer, which is acceptable at any point up until the end of the examination or when the candidate hands in the paper or leaves the room, the original selection should be scribbled over (clearly indicating it is no longer the choice) and an X should be placed into the appropriate box in the answer sheet. If the candidate then intends to revert back to the original answer, they should scribble over the second choice and then write the letter of the option next to the question number on the answer sheet. Alternatively, they may request a new answer sheet from the invigilator. In this situation, the candidate must include all answers onto the new sheet. No additional time will be permitted for this, and no consideration will be applied for any failings caused by the candidate entering incorrect answers / information on to the new answer sheet.

d) For online assessments

i. Candidates must undertake a brief tutorial from the invigilator, prior to starting the assessment.

ii. The candidate will select one choice from the four options, in the same way as the paper assessment. Any alterations to answers which the candidate may require will be available to do online.

4.3.2. Level 2 Qualification

The level 2 qualification consists of 20 x multiple choice questions and 10 x missing word questions.

a. Up to 45 minutes (90 seconds average per question) is provided for the assessment; however, candidates may end their assessment at any time up until the 30 minutes expires.

b. The required pass mark is 70%.

c. Each examination will consist of multiple choice and missing word answers. These will be randomly placed on each examination.

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d. The contents of 4.3.1 c. & d. are equally relevant to the level 2 qualification. Additionally, however, the candidates must be aware of the method to complete the missing word element of the examination.

In this case a question will be asked and at the end of the question there will be an open box, which the candidate must place their written answer into. Generally, this will be a single word or short written answer.

i. Minor spelling errors, where the intended answer can obviously be determined, will be accepted. For example, placing ‘ei’ instead of ‘ie’ in the word.

ii. For written examinations, illegible answers will not be marked. This will result in the candidate failing that question.

4.4. Re-sitting failed assessments.

4.4.1. In the event that a candidate fails the assessment, they may be permitted to re-sit the assessment no sooner than 1 day following the result of the first attempt.

Each re-sit must use a different examination series.

If a candidate retakes an examination within 1 day of failing their examination or uses the same examination series on consecutive exams, the candidate will not be awarded the qualification even if the pass the examination.

4.4.2. In the event that the candidate, on their second attempt also fails to pass the assessment; the candidate will not be permitted to undertake a third assessment until remedial teaching from the centre has been undertaken.

4.4.3. In the event that the candidate fails the third attempt, they will be required to undertake the teaching again. A further attempt to pass the assessment may then be undertaken provided that a period of at least six months has passed since the first attempt of that examination.

4.4.4. Candidates are not obliged to take the re-sit assessment at the same centre which they used for the teaching or the previous assessment.

4.5. Security of assessment materials

Centres are responsible for ensuring absolute security of assessment materials at all times.

When a centre has been provided with written examination papers, the centre must ensure that when these are not in use, they are securely locked in a safe or other secure device.

During examinations, the papers must be secured in a lockable case / holder until, and after, they are required for the examination.

Invigilators must ensure that no copying or noting of any examination materials occurs and that no candidate has any indication of examination questions prior to taking the exam.

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4.6. Approval to use paper examinations.

a. In order to maintain the quality of the qualifications, it is preferred that all examinations are run using the online method. However, in exceptional circumstances, only, the option to use paper based examinations will be considered.

b. In this case, an exceptional reason is considered to be a significant difficulty or impossibility to use the online examinations. This is limited to running an examination in a highly secure area, where access to internet as a third party is forbidden for legitimate security reasons.

c. The decision to approve any centre for paper based examinations is solely at the discretion of NLTC.

d. If approval is provided it will only be relevant to the specific exam it has been required for. The centre may not use the paper exams for other examinations unless specific approval has been provided.

4.7. Procedure for paper examinations.

a. The centre should contact NLTC, with at least 10 normal working days' notice, in order to request a paper based examination for a qualification. The request must include the reason why it is not possible to carry out the examination online and the number of papers required.

b. If approval is provided for a paper examination, NLTC will post out the required number of papers to the centre. The centre should print off the response sheets from the database.

c. In order to cover the cost of printing, postage and marking, an additional charge of £25 will be made for the paper examination.

d. The package containing the paper examinations must not be opened until immediately before the start of the examination.

e. The exam must be run as set out in 4.3.1.c. When the examination has ended, the centre must seal the examination papers and the response sheets into a good quality envelope and return them to NLTC via recorded delivery. If it is possible, it is advised that the centre scans and sends the response sheets via the database as well.

f. NLTC cannot accept any responsibility for not receiving the papers or being unable to mark them due to receiving them later than 5 normal working days following the exams. It is the responsibility of the centre to ensure this has been complied with.

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Section 5. Renewal of qualification.

5.1. The level 1 qualification has a validity period of 2 years, and the level 2 qualification has a validity period of 5 years; however, the candidate may renew the qualification at any time during this period.

5.2. If the qualification is renewed and the assessment is successfully passed, the candidate will receive a new certificate from NLTC, which will have a validity, relevant to the qualification, from the date that the assessment was marked.

5.3. When renewing the qualification, teaching and assessment is identical to the training and assessment required for initially training and assessing of this qualification.

5.4. Teaching and assessing of candidates undertaking a qualification renewal, may be undertaken during teaching and assessing of candidates taking the qualification for the first time.

Section 6. Quality control.

Access to site for teaching and assessments

6.1. For the reputation of the qualification, NLTC and other centres providing the qualification, NLTC will carry out verification visits and audits on centres. Moderation and analysis pass and fail rates per centre and per teacher will also be undertaken.

6.1.1. Centres must permit NLTC quality control officers unhindered access to view teaching and / or assessments of this qualification.

Any failure or refusal by any centre, teacher, or invigilator, to permit unhindered access to an NLTC quality control officer will result in the assessment for that qualification not being processed. It will also result in action being taken against the centre and the teacher or assessor.

6.1.2. 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.

6.2. Unannounced verification visits

NLTC quality control officers may carry out unannounced verification visits at any time during teaching or assessment in order to ascertain:

a. The quality of the teacher, assessor, and the centre

b. Adherence to this policy

c. Adherence to the syllabus and qualification specification

d. Malpractice or maladministration

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6.2.1. The duration of the visit will be long enough for the quality control officer to establish the points set out in 6.2 and to receive feedback from the centre, teacher, or assessor regarding the qualification.

6.2.2. 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 teaching or assessment.

6.2.3. Quality control officers will not disrupt teaching or assessments, except when entering the area and introducing themselves; or if they deem it necessary to correct anything or cease the teaching or assessment due to a serious infringement.

a. Correcting will only be undertaken if a teacher or assessor has said or done anything that is contrary to this policy, the syllabus, or the qualification specification.

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

b. Quality control officers have authority, in extreme circumstances, cease the teaching or assessment of the qualification. This is limited to witnessing serious failures of the points a – c of 6.2 or any evidence of part d in 6.2.

6.2.4. Upon arrival, quality control officers will present the centre, teacher, or invigilator 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.

6.2.5. 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(s) relevant to the qualification.

6.3. Audits

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 policy.

6.3.1. Following 3 attempts to arrive at a mutually convenient date, NLTC may impose a date for the audit.

6.3.2. The audit will be carried out by an NLTC quality control officer.

6.3.3. The centre must permit the quality control officer unhindered access to all documents relevant to this qualification during the audit.

6.3.4. Centres are invited to request information or advice from the quality control officer regarding this or any other qualification offered by NLTC. It would be preferred for the centre to inform NLTC directly of any likely request in order that NLTC can furnish the quality control officer with the relevant information and / or documents.

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6.3.5. It is estimated that an audit will take, in the region of 3 hours, however NLTC suggests that the centre prepares for longer than this.

6.4. Grading

6.4.1. 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 assure 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.

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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 upgrade 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 7.3.2 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.

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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.

6.5. Assessment verifications

In order to verify assessments, quality control officers have authority to request that the invigilator appointed by the centre does not partake in the assessment. In this case the quality control officer will run the assessment, using the verification version of the assessments.

Following this, the score achieved by the candidate(s) will be compared with the average score achieved by candidates attending the qualification at that centre.

Equally, all centre pass marks will be analysed for comparison with the national average.

In either case, a score that is not reasonably relatable to the average score will be investigated by NLTC. In the event that the score is significantly different to the average and no immediate plausible explanation can be provided, NLTC may impose a grade 4 and act accordingly.

6.5.1. As an alternative to the assessment verification described in 6.5, the quality control officer may decide to witness the assessor providing the assessment(s). The decision to use the verification assessment materials is at the discretion of the quality control officer; however, the decision may be implemented by the senior quality control officer.

6.5.2. In the event that a quality control officer views a serious infringement by the invigilator, the quality control officer has authority to take over the examination as the invigilator and remove the original invigilator from the examination room. If the invigilator refuses to cooperate with this, the examinations will not be processed and the centre will receive an automatic grade 4.

6.6. Follow up visits.

Quality control officers may carry out multiple verifications on centres. This will be either as a result of a random selection made by the senior quality control officer, in which case centres should not regard multiple visits as any sign that NLTC is carrying out unwarranted verification and victimising certain centres. Alternatively, quality control officers may carry out multiple visits to centres as a result of a grade 3 or lower previous visit.

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Section 7. Reasonable adjustments.

7.1. Centres should inform candidates of the process for claiming a reasonable adjustment, in the joining instructions.

7.1.1. 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.

Any request for a reasonable adjustment must be made in period of more than 5 normal working days prior to the expected start date of the teaching for the qualification.

7.1.2. A reasonable adjustment will only be permitted with written authorisation from NLTC specifically for that candidate undertaking that qualification only.

7.2. Translators or other digital means of assistance are not permitted.

7.3. 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).

7.4. Centres are not permitted to apply any adjustments or alterations from the terms of this procedure without authority from the NLTC. This includes, but is not limited to:

a. Assisting candidates by reading or explaining the meaning of examination questions.

b. Permitting the use of non-authorised materials or devices, such as translators.

c. Permitting additional time on paper examinations.

d. Re-printing of paper examinations in larger print or different coloured papers.

7.5. In the event that a request for a reasonable adjustment has not been provided to NLTC in sufficient time for NLTC to provide authorisation for it, no adjustment may be provided. In this case it is advisable for the candidate to take the examination at a later date following sufficient time for NLTC to authorise the adjustment.

7.6. If an adjustment requires a specific verification visit to be made, the centre will be charged for the visit as set out in 8.3 of this procedure.

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Section 8. Costs.

8.1. Centre approval

8.1.1. The charge for annual centre approval is £500.

8.1.2. The charge for centre approval includes membership to NLTC (consortium), therefore, members of the NLTC (consortium) will not be required to pay the £500 centre approval for this qualification.

8.1.3. As set out in 2.1.2, when the requirements of 2.1.3 are not already known to NLTC, a centre approval visit may be required.

This is charged at £350 plus travel and, if required, accommodation.

If the centre approval can be carried out remotely, the cost of travel will not be relevant.

8.1.4. Centre approval includes all locations operated by the centre. Following centre approval, it is not required for each location to be approved by NLTC. It is, however, necessary for each location to be compliant with the terms of this policy.

8.1.5. Centre approval costs are annual and must be paid by the anniversary date of the centre's approval, at the very latest, each year. Failure to complete this payment by this date will result in the centre's approval being ceased. In this case the centre will be required to undertake initial approval, including the charge set out in 8.1.3, even if the centre is known to NLTC.

8.1.6. Centre approval charges are not refundable.

8.1.7. All charges in section 8, except 8.2.5, are subject to VAT @ 20%.

8.2. Assessment charges

8.2.1. The charge for the assessment is:

Level 1 = £15

Level 2 = £20

8.2.2. The charge for the assessment is made and must be paid when the centre enrols the candidate on to the qualification database.

8.2.3. The charge is made regardless of the outcome of the result.

8.2.4. The charge is not refundable and will not be offered as a credit to the centre, if for example, the assessment does not take place.

8.2.5. Centres must provide an approved course manual for each learner attending the teaching. NLTC course manuals are purchased via the database. The charge is £5 per manual, with orders in multiples of 10. Postage costs are additional.

8.2.6. Resitting and renewal assessments are charged at the rate set out 8.2.1.

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8.3. Verification Charges

8.3.1. 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.

8.3.2. Follow up verification visits are charged at £350 plus travel and, if required, accommodation.

8.3.3. Audits are charged at £350. However, provided a centre obtains 20 or more candidates on NLTC regulated qualifications, regardless of the subject, within the previous twelve month period, this charge will not be relevant.

8.3.4. Verification charges are subject to VAT

8.3.5. 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.

8.4. Appeal Charge

8.4.1. As set out in 10.2.4, 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.

8.4.2. 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 breakfast and evening meal.

8.4.3. If the appeal is successful, no charge will be made, and the deposit will be returned to the centre.

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Section 9. Database.

9.1. 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.

9.2. Qualification Intention

9.2.1. The intention to run teaching and / or 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.

9.2.2. For purposes of quality control, centres must inform NLTC of their intention to run the qualification at least 7 days prior to the intended start date of the qualification beginning.

The database will not accept intentions that provide less than 7 days notification.

9.2.2.1. Provided that a justifiable reason is provided and that the centre does not have a record of requesting qualifications with less than 7 days' notice, which is higher than the average within NLTC, NLTC quality control officers may authorise a qualification to be run with less than 7 days notification.

9.2.3. 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:

a. The address of the venue, including any relevant room number, etc.
b. The name of the teacher or teachers
c. The date and time that the teaching will begin each day
d. Any relevant details, for example specific security requirements on site.
e. The details of who will be carrying out the assessments.
f. The date and time that the assessment will begin
g. Any necessary information regarding the assessment, not covered within the required fields.

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9.2.4. 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.

9.3. Candidate Details

9.3.1. Candidates must be enrolled onto the database, at the latest, during the first day of teaching or assessment, as applicable.

9.3.2. All required fields in the enrolment page must be completed for each candidate.

9.3.3. Each candidate will be provided with a unique learner number.

For renewing qualifications or assessment resits, the centre must ensure that the unique learner number assigned to the candidate is the same one as issued in this part.

9.3.4. For paper examinations, the centre must input which series will be used. Note that a candidate re-taking an examination must not take the same series again.

At this point the centre will be charged for the purchase of the assessment code.

Once payment has been received, the centre will be provided with the assessment code or codes for the candidate.

9.3.5. For candidates undertaking re-sits of previously failed assessments, the centre should tick the ‘re-sit’ box on the enrolment page.

9.4. Assessments

9.4.1. Online examinations are run via the assessment portal.

9.4.2. In order to run the assessments, the centre must log the device being used by the candidate into the NLTC assessment portal.

The candidate should then enter their assessment authorisation number (9.2.4) to being the assessment.

9.4.3. Assessment syllabus will display the questions and provide the candidates with a means to answer the questions online.

9.4.4. Following completion of the assessment, the result of the assessment will be shown to the candidate.

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9.5. End of Qualification Archive

9.5.1. Within 5 normal working days following completion of the qualification, regardless of the result, the centre must upload all documentation to the database, including, but not limited to:

a. Candidate enrolment forms

b. Confirmation of practical exercise completion

c. Candidate feedback forms

For paper based examinations

d. Examination answer sheets.

9.5.2. The teacher / assessor should also make any notes that are relevant to the qualification or an individual candidate, on the database.

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Section 10. Complaints & appeals.

10.1. Centre Complaints

10.1.1. Centres have the right to raise a complaint to NLTC. This must be undertaken using the process set out in this part.

10.1.2. The complaint must be made in writing, including email, to the relevant department.

10.1.3. NLTC will provide acknowledgement of the compliant within 5 normal working days of receipt. If by this time NLTC has not provided the centre, the centre should request conformation of receipt of the complaint.

10.1.4. Following conformation 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.

10.1.5. Whistle-blowers, informing NLTC of malpractice or maladministration will be treated with absolute confidentiality.

10.2. Centre Appeal

10.2.1. If the centre, teacher, or assessor, does not agree with the decision following a complaint, they may undertake the appeal procedure.

10.2.2. 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.

10.2.3. 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.

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

10.2.4. 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 8.4.

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

10.3. Candidate Complaint

10.3.1. Candidates must be provided with contact details and means to raise a complaint to NLTC regarding centres, teachers, or invigilators.

10.3.2. Complaints from candidates regarding the qualification directly or any other matter that is not included in 10.3.1, must be made to the centre and forwarded from the centre to NLTC. This must not be directly from the candidate.

10.3.3. In the case of 10.3.1. the complaint will be directed to the quality control department, who will liaise directly with the candidate making the complaint.

10.4. Candidate Appeal

10.4.1. Centres must make it clear to candidates that they have a means of appeal following assessment results.

10.4.2. The appeal must be made directly to the centre and within 5 normal working days following disclosure of the result of the assessment.

10.4.3. 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.

10.4.4. 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.

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10.4.5. 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 10.2.4 and 10.2.5 will be applicable.

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