

Ref:	NR/L3/CTM/306/03
Issue:	1
Date:	05 December 2015
Compliance date:	11 October 2016

Module 03

Skills Assessment Scheme: Verification and audit of the Skills Assessment Scheme

This document is the property of Network Rail. It shall not be reproduced in whole or part nor disclosed to a third party without the written permission of Network Rail.

© Copyright 2015 Network Rail.

Uncontrolled copy once printed from its electronic source.

Published and Issued by Network Rail, 2nd Floor, One Eversholt Street, London, NW1 2DN.



Ref:	NR/L3/CTM/306/03
Issue:	1
Date:	05 December 2015
Compliance date:	11 October 2016

Contents

1 Scope	3
2 Verifier requirements	3
3 Standardisation meetings	3
4 Create and agree an annual verification and audit plan.	3
5 Verification and audit criteria	3
5.1 Training delivery centres (including supporting administration locations)	3
5.2 Approved trainers (outside of training delivery organisation)	3
5.3 Accredited assessors	4
5.4 Line managers and skills assessors	4
5.5 Additional verification or audit	4
6 Verification and audit preparation	5
6.1 Pre-verification/audit communication	5
6.2 Opening meeting	5
6.3 Pre-verification/audit checks	5
7 Completing verification and audit activities	6
7.1 Verification and audit of competence	6
Table 1 – Evidence to be reviewed to establish an individual's competence	6
7.2 Verification and audit of processes and systems	7
Table 2 – Processes and systems to be reviewed	7
7.3 Verification and audit of documentation and records	9
Table 3 – Documents and records to be reviewed	9
7.4 Audit of training delivery centres	10
8 Verification and audit findings	11
9 Onsite observation checks	12
9.1 Arranging the onsite observation	12
9.2 Completing the onsite observation check	12
10 Feedback following verifications and audits	13
11 Evaluation of findings	13
12 Confirmation of findings and actions	14
13 Develop and submit plan to close out actions	14
14 Complete actions and confirm closure and on-going review, monitoring and feedback	14
15 Escalation	15
16 Records of verifications and audits	15

Ref:	NR/L3/CTM/306/03
Issue:	1
Date:	05 December 2015
Compliance date:	11 October 2016

1 Scope

Activities completed as part the Skills Assessment Scheme are subject to verification and audit by Professional Training and Development.

This module contains the requirements for the verification and audit of Skills Assessment Scheme activities.

It applies to people conducting verification and audit activities and the auditee.

2 Verifier requirements

Verifiers completing verification activities for assessments completed under the Skills Assessment Scheme shall be trained, professionally qualified and be able to demonstrate competence in a recognised verifier or auditor qualification.

Additionally verifiers shall have current knowledge and a detailed understanding of:

- assessment processes, techniques and methods (specifically relating to the Skills Assessment Scheme processes and requirements);
- recording and evidence requirements;
- relevant assessment tools.

3 Standardisation meetings

Standardisation meetings are convened throughout the year to:

- confirm verifiers are applying the same criteria;
- discuss good practice;
- identify areas for continuous improvement and areas for development.

Verifiers should attend at least 1 of these meetings during the course of the year.

4 Create and agree an annual verification and audit plan.

An annual plan for the verification and audit of initial and recertification training, assessment and development activities shall be developed by Professional Training and Development and communicated to the auditees.

5 Verification and audit criteria

5.1 Training delivery centres (including supporting administration locations)

Training delivery and administration centres shall be verified or audited once every 3 years. This shall include a 10% check of all the Workforce Development Specialist and a selection of their planned or completed training events.

5.2 Approved trainers (outside of training delivery organisation)

A 10% sample of approved trainers shall be verified or audited every 3 years. This shall include a selection of their planned or completed training events.

Ref:	NR/L3/CTM/306/03
Issue:	1
Date:	05 December 2015
Compliance date:	11 October 2016

5.3 Accredited assessors

Accredited assessors shall be verified. This shall include samples of assessment documentation and at least 1 practical observational audit per year.

The verification shall take account of:

- the number and type of assessments being completed by assessors
- experience of the assessor including level 2 assessors
- previous verification findings

5.4 Line managers and skills assessors

Business units shall be verified or audited once every 3 years. This shall include a 10% check of all the line managers and skills assessor and a selection of completed assessment or ACCs.

5.5 Additional verification or audit

Verifications and audits may also include the examination of trainers, assessors, (accredited and skills) and line managers, each year, who:

- previously did not meet a satisfactory standard;
- are identified as causing concern;
- have recently completed initial approval processes;
- have not completed an Annual Capability Conversation (ACC) within the permitted timescale.

Copyright Network Rail

Ref:	NR/L3/CTM/306/03
Issue:	1
Date:	05 December 2015
Compliance date:	11 October 2016

6 Verification and audit preparation

6.1 Pre-verification/audit communication

At least 6 weeks prior to the verification/audit, Professional Training and Development shall issue the responsible person with:

- the timeline of verification and audit activities;
- details of what evidence is shall be provided for verification and audit activities;
- dates when evidence for verification/audit activities shall be made available;
- details of the verification and audit interviews that will need to be completed.

NOTE: *The responsible person in this context means a person who is charged with the control or management of a group or process. They are the person to whom the outcomes of verifications and audits will be given, and should take responsibility to close actions arising from verifications and audits.*

At least 3 weeks prior to the verification/audit, Professional Training and Development shall confirm arrangements for the activities to be completed with the responsible person.

The responsible person shall make all requested evidence available to the verifier/auditor by the dates it is requested.

6.2 Opening meeting

Before the verification/audit activities commence the verifier/auditors shall meet with the responsible person to confirm and agree the scope and arrangements of the verification/audit activities.

The opening meeting should cover all relevant elements associated with the verification/audit including the:

- process and/or protocols to be used;
- confidentially arrangements;
- explanation that verification/audit is based on a limited sample;
- confirm planned arrangements and timescales;
- questions or issues that need attention

6.3 Pre-verification/audit checks

Prior to verification/audit activities commencing the verifier/auditor shall confirm whether there are any outstanding actions from previous verifications and audits, and whether there are any authorised variations in place.

Where there are outstanding actions from previous audits or non-compliances / variations are found, the verifier/auditor shall record the details and add them to the appropriate section of the verification/audit records.

NOTE: *Information on previous verifications/audits can be found using (CMO) or PD&T records of verifications.*

Authorised variations are recorded on Network Rail's standard variation database (Tracker).