

FTA Consultancy Report

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Accrediting Bodies - Code of Practice Audit

Company:

RTITB

Auditor:

[REDACTED]

Date:

3rd & 4th January 2019

Accrediting Bodies - Code of Practice Audit



AB Name: Auditor Name: Audit Date:	RTITB, Access House, Halesfield 17, Telford, TF7 4PW 3rd & 4th January 2019	
Criteria for Membership	No observations recorded for this section.	Passed
Sanctions	No observations recorded for this section.	Passed
Training Provider Minimum Requirements	No observations recorded for this section.	Passed
Registration System	No observations recorded for this section.	Passed
Monitoring	Training records are kept on NORS until delegate age of 80, 6 year requirements stated in the accreditation criteria but not directly stated in the annual accreditation report. Report to be updated on the 1st February to include records retention	Passed
Communications	No observations recorded for this section.	Passed
Auditor Summary & Action Plan	RTITB to update the Annual Accreditation Report to include records retention. Due 1 February, 2109.	Passed

Accrediting Bodies - Code of Practice Audit

1.0	Criteria for Membership	Auditor Comment based on evidence demonstrated.	Criterion Met?
1.1	Can the Accrediting Body demonstrate that they are continuously maintaining their eligibility to be an Accrediting Body?		
1.1	Is the Accrediting Body structure & performance such that it fosters confidence in its accreditation system?		
1.1.1	Can the Accrediting Body demonstrate that they have the financial stability and resources required for the operation of an accreditation systems?	Available via companies house	FM
1.1.2	Can the AB provide at least two sets of accounts prepared by professionally qualified and registered external accountants for themselves or their parent company?	All held on companies house with copies available for 10+ years	FM
1.2	Does the AB have corporate governance including the following?		
1.2.1	* Quality Assurance Policy	Yes	FM
1.2.2	* Equal Opportunities Policy	Yes, statement of policy signed by [REDACTED]	FM
1.2.3	* Data Protection Policy and ICO Registration	Yes reference number ZA127937, reference also contained in section 11 of the Terms and Conditions of Accreditation	FM
1.2.4	* Health & Safety Policy	Yes, statement of policy signed by [REDACTED]	FM
1.2.5	* Anti-Bribery and Corruption Policy	Yes, document number IND007 V1.0313 details also contained in section 10 of the Terms and Conditions of Accreditation	FM
1.2.6	* Complaints Procedure	Yes, document number V4.1217	FM
1.2.7	* Procedure for investigating malpractice/maladministration	Yes details in schedule 2 of the Terms and Conditions of Accreditation	FM
1.2.8	* Relevant Insurance (adequate arrangements to cover liabilities arising from all operations/activities)	Yes	FM
1.2.9	* Appeals procedure	Yes, document number V4. 1217	FM
1.2.10	* An organisational chart	Yes, document number V1.1118	FM
	The policies and procedures should be supported by, and evaluations regularly undertaken and reported to, senior management and understood by all accrediting body employees/sub-contractors/ representatives.		
1.3	Has the AB achieved IOS9001:2015. If not, will it achieve accreditation withing 2 years of joining the ABA?	Issued by Cfa [REDACTED]	FM
1.4	Do all Accrediting Body monitoring officers (i.e. those who undertake audits of courses, training providers and evaluate new instructor applications) hold a formal audit qualification, and have held a recognised lift truck instructor qualification, are DBS checked and able to demonstrate continued professional development.	12 Auitors. Files checked - [REDACTED]	FM
1.5	Can the Accrediting Body demonstrate there is effective communication between management, administration and the monitoring team?	Quaterly stadardisation meetings and 4 monthly management meetings which are minuted and held on file with regular email communications to TP's and staff members	FM
1.6	Did the Accrediting Body provide the auditor with details of their activity in the form of a pre audit questionnaire	N/A	FM
1.7	Can the AB demonstrate that the activities of the body do not affect its objectivity and impartiality and it does not deliver or be directly or indirectly involved in the management of operator training for the machine types upon which it offers accreditation?	All training carried out by the TP. No evidence was found that any training or management of operator training was carried out by the AB	FM
	Overall Section Result	No observations recorded for this section.	Passed

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2.0	Sanctions	Auditor Comment based on evidence demonstrated.	Criterion Met?
2.1	Does the AB have in place contractual agreements with the Training Providers which include the following;		
2.1.1	Evidence of ABA membership	Yes, letter heads etc	FM
2.1.2	A clear statement of its rules and procedures for granting, maintaining, extending, suspending and withdrawing accreditation	Yes, details contained in Terms and Conditions of Accreditation, Accreditation Criteria	FM
2.1.3	Clear and transparent information about the fees charged to applicants	Fees set out in the accreditation application form	FM
2.1.4	Information about procedures for handling complaints, appeals & disputes	Details contained in Terms and Conditions of Accreditation, Accreditation Criteria	FM
2.2	Contravention of the contractual requirements set by the Accrediting Bodies; fraudulent activity, misrepresentation, working outside of the individual AB's accreditation criteria, inappropriate behaviour and falling below the defined standards, will incur sanctions.	Details held on office database detailing type of complaint, investigations, sanctions/outcome.	FM
2.3	A widely accepted model will form the basis upon which the sanctions will be applied by the Accrediting Bodies i.e. the starting point (level 1) being that the Accrediting Body impose an action plan on the Training Provider.	Details in Accreditation Criteria appendix 1	FM
2.4	Accrediting Bodies must clearly inform Training Providers, in writing, that a sanction has been imposed.	Yes via visit outcome report or through complaint procedure	FM
2.5	The written action plan between the Accrediting Body and Training Provider will detail the non compliance issue(s), the criteria being contravened and the required action to be implemented to rectify the non compliance issue and the required timeframe.	Examples seen via completed visit out come reports:- <small>21 day time frame on non compliant areas with discretionary 14 day extension</small>	FM
2.6	When an Accrediting Body suspends or withdraws the accreditation of a Training Provider or an Instructor's registration, it will notify all ABA members and the appointed body.	Other members informed immediately with details also held on a spreadsheet for internal use. Spreadsheet shows 23 suspensions in 2018 all showing that notification was sent to ABA members	FM
2.7	Accrediting Bodies will ensure that they maintain regular contact with each other and the appointed body. This will reduce possible fraudulent activity (e.g. a Training Provider having their application for accreditation rejected or revoked by one Accrediting Body and then moving on to another Accrediting Body to make a new application for accreditation).	Quarterly meetings with additional sub meetings held as and when required	FM
2.8	When a Training Provider is suspended or has had their accreditation withdrawn no other Accrediting Body may accredit said Training Provider	All other members informed via email of withdrawl	FM
Overall Section Result		No observations recorded for this section.	Passed

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Training Provider – Minimum Requirements

3.0	Auditor Comment based on evidence demonstrated.	Criterion Met?
3.1 Training Providers must have a defined programme for every course and associated course documentation (e.g. training syllabi and course materials), which is pre-approved or created by the Accrediting Body.	All details held in the course syllabus with timings etc broken down in to subjects/modules	FM
3.2 Training syllabi must be comprehensive and include as a minimum;		FM
3.2.1 * The aims and objectives of the course	Contained in Course Instructor Guide	FM
3.2.2 * Schedule of Training or timetable	As above	FM
3.2.3 * Detailed course programme and content	As above	FM
3.2.4 * Duration of course dependent on ratio	As above, all broken down in to ratios 3.1.1, 2.1.1, 1.1.1	FM
3.2.5 * Testing criteria and documentation	Contained in Course Instructor Guide	FM
3.3 The Training Providers must ensure sites have the relevant and necessary facilities on site and that plant machinery is compliant with current legislation and evidence of current inspection is available	Details contained in the Accreditation Criteria and checked at the Annual Accreditation Report	FM
3.4 Training Providers must adhere to Accrediting Body criteria.	Routine annual audits, unannounced visits, mystery shoppers.	FM
3.5 Prior to certification, Accrediting Bodies should ensure that Training Providers have objectively assessed and documented the knowledge, skills and abilities of the trainees.	Via accreditation criteria	FM
3.6 As a guide Lift Truck courses for novice trainees are expected to last 5 days (i.e. a minimum of 37.5 hours) and Training Providers will be expected to provide objective assessments and related documentation as evidence to support any instances where shorter Lift Truck courses have been delivered to novices.	Novice 32hrs 30mins, not including breaks, course time can be reduced through a number restrictions which must be detailed by the TP	FM

Overall Section Result

No observations recorded for this section.

Passed

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4.0	Central Registration System	Auditor Comment based on evidence demonstrated.	Criterion Met?
4.1.1	Each Accrediting Body is to have in place their own certification registration system on which all basic (novice, experienced/existing, conversion, refresher) training delivered by the AB's accredited TP's is verified and recorded. The accrediting body shall take all reasonable steps necessary to ensure the training delivered by the TP has met all criteria and will not release certification/unique ID number until such checks have been completed.	All details held on NORS (National Operator Registration Scheme) database.	FM
4.1.2	The accrediting body shall also ensure that all accredited training delivered by the TP is recorded on the AB's certification registration system and will apply appropriate sanctions should any omissions be identified.	Any errors are automatically highlighted by NORS with emails sent to TP for clarification with any err	FM
4.2	The related database must include details of;		FM
4.2.1	* Course start date	Yes	FM
4.2.2	* Course end date	Yes	FM
4.2.3	* Course test date	Yes	FM
4.2.4	* Course duration	Yes	FM
4.2.5	* Instructor name	Yes	FM
4.2.6	* Instructor registration number	Yes	FM
4.2.7	* Examiner name	Yes	FM
4.2.8	* Examiner registration number	Yes	FM
4.2.9	* Training provider name and number	Yes	FM
4.2.10	* Unique ID number	Unique 6 digit reference number	FM
4.2.11	* Full name of the successful trainee	Yes	FM
4.2.12	* Date of birth	Yes	FM
4.2.13	* Course Type	Yes	FM
4.2.14	* Truck Type	Yes	FM
4.2.15	* Category	Yes	FM
4.2.16	* Motive Power	Yes	FM
4.2.17	* Course ratio	Yes	FM
Overall Section Result		No observations recorded for this section.	Passed

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5.0	Monitoring	Auditor Comment based on evidence demonstrated.	Criterion Met?
5.1	Training providers are to be monitored at least annually.	Audits carried out annually, with spot checks carried out/mystery shoppers used if deemed necessary. 12 auditors employed covering 611 training providers giving an average of 51 audits per auditor per year.	FM
5.2	Monitoring visits must include audit of the documentation (e.g. training syllabi, training programmes, course materials and records of training including verification of information uploaded to central database) and observation and assessment of course delivery.	Details of audit content detailed in the Annual Accreditation Report	FM
5.3	A days monitoring visit will take at least as long to complete as is required to achieve that outlined in 5.2 and will be dependent upon the size of the training provider. Larger Training Providers will require additional monitoring time that reflects their size (i.e. the number of courses, trainees and Training Instructors).	Larger training providers receive multiple visits dependant on the number of training sites	FM
5.4	In addition Accrediting Body monitors will ensure the Training Providers have:		
5.4.1	* Appropriate insurance	Hiscox Employers, Professional and Public Liability	FM
5.4.2	* Training records (kept for minimum of 6 years)	Training records are kept on NORS until delegate age of 80, 6 year requirements stated in the accreditation criteria but not directly stated in the annual accreditation report. Report to be updated on the 1st February to include records retention	PM
5.4.3	* Evidence of the instructors' operator qualifications	Annual Accreditation Report Section 4	FM
5.4.4	* Registration for data protection	Annual Accreditation Report Section 3A	FM
5.4.5	* Adherence to the appropriate legislation and regulation	Annual Accreditation Report Section 1	FM
5.4.6	* Plant machinery that is compliant with current legislation and evidence of current inspection is available.	Annual Accreditation Report Section 10	FM
Overall Section Result		Training records are kept on NORS until delegate age of 80, 6 year requirements stated in the accreditation criteria but not directly stated in the annual accreditation report. Report to be updated on the 1st February to include records retention	Passed

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6.0	Communication	Auditor Comment based on evidence demonstrated.	Criterion Met?
6.1	The Training Provider will receive, where possible, verbal feedback on the day of the visit and written feedback will be received by the Training Provider after the monitoring visit.	Verbal debrief always carried out immediately after audit with TP signing to acknowledge debrief. In some cases completed report emailed to TP before auditor leaves site. But as a minimum of 24 hours after the audit	FM
6.2	Service level agreements between Accrediting Bodies and Training Providers must be in place.	Included as part of the contract agreement. Example copies Health Trust Training SLA Wellness Training SLA	FM
6.3	Accrediting Bodies are responsible for ensuring that Training Providers are clear on the criteria that they must comply with to ensure accreditation status is achieved/maintained.	As above	FM
Overall Section Result		No observations recorded for this section.	Passed

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*Calls may be recorded for training purposes
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