Highway Electrical Registration Scheme (HERS)

Requirements for

Approved Training Organisations and

Approved Trainers

Document Control

Issue Statement

Issue and date	Reason for change and noted change
Issue 15.1 22nd Jan 2024	• Part 5.6 updated to reflect specific maximum course numbers within the Training Specification. • Part 5.33 updated for clarification. • Part 5.34 updated for clarification of assessment team. • Appendix E course 720 added

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Associated Documents

This document must be read in conjunction with the current issue of the Highway Electrical Training Specification, and where applicable the Highway Electrical Registration Scheme document

Notification of Errors

Whilst every effort is taken to ensure this document is error free, should, in the unlikely event an error has been identified, please report this to HESA using Appendix H - Improvement Feedback Form

Section 1

Introduction

Highway Electrical Registration Scheme

Requirements for Approved Training Organisations and Approved Trainers

1 Introduction

• Scope

This document provides:

1. Guidance for the training of employees working in the Highway Electrical Industry
2. The specification for the requirements of Approved Training Organisations who wish to deliver training.
3. The specification for Approved Trainers who wish to deliver training.

Training Organisations or Trainers who are applying for re-approval should read this document before re-applying.

Providers wishing to deliver the Highway Electrical Apprenticeship must be approved by the appropriate regulatory bodies.

• Background

The Highway Electrical Training Specification has been developed by the Highway Electrical Academy (HESA) with the support of the associated sectors, which reports to the Sector Scheme Advisory Committee for NHSS 8 relating to the Overseeing and / or Installation and / or Maintenance of Highway Electrical Equipment and supporting Works

The detailed specification for each of these sectors is contained in the Highway Electrical Training Specification. These specifications have been designed to provide the minimum underpinning Knowledge requirements of the relevant Competency Based Qualifications (CBQ-NVQ)

The Highway Electrical Training Specification is a mandatory requirement of Sector Scheme 8 and the Highway Electrical Registration Scheme (HERS), where the delivery of underpinning knowledge is required. It is also considered as the benchmark for employee training that covers site disciplines within the highway electrical industry.

The Highway Electrical Association on behalf of its members invests in the continuing improvement of the Training Specification for the benefit of its Members and HERS registered organisations, and in doing so meets the requirements of the sector specific areas.

It should be noted that any training not carried out in accordance with the Highway Electrical Training Specification by HESA Approved Trainers and appropriately certificated (by Lantra Awards in partnership with the HESA or by the Highway Electrical Skills Academy alone) or not specifically identified within the Highway Electrical Training Specification as agreed alternative training provision will be deemed as not meeting the knowledge requirements of this Sector Scheme and the associated Highway Electrical Registration Scheme

• Arrangements

The Highway Electrical Skills Academy (HESA), acting in partnership with Lantra Awards has been appointed as the body for overseeing Approved Training Organisations and Approved Trainers meeting the appropriate standards detailed in this specification. The Highway Electrical Sector Academy (HESA) will ensure that the content and delivery of training, including the competency of trainers, meets the requirements set by both Lantra Awards and the industry and in keeping with best practice.

These arrangements are set out within this document and in general terms in the flowchart in Appendix A.

• Key elements within the Highway Electrical Training Specification, Highway Electrical Registration Scheme and National Highways Sector Scheme 8

The HESA works within NHSS 8 and HERS, and within the Highway Electrical Training Specification to ensure that standards are agreed, implemented, monitored and reviewed. Lantra Awards is represented on NHSS8 / HERS Training

and Standards sub-committee. Together with other interested organisations, and specifically with the scheme administrator, HEA, the HESA and Lantra Awards are working with industry to:

- ✓ Develop and review the Highway Electrical Training Specification
- ✓ Develop, implement, monitor and review standards for training delivery through Approved Trainers and Approved Training Organisations
- ✓ Approving & registering Trainers
- ✓ Facilitating training and training courses
- ✓ Develop, disseminate and review detailed CBQ - NVQ Assessor Guidance
- ✓ Monitor and review relevant CBQ - NVQ qualifications

These bodies, working within the Standards and Training Committee and the Sector Scheme committee therefore represent the whole of the highway electrical industry and are able to review and implement improvements to the Sector Scheme and Registration Scheme accordingly.

• Training of non-Registered NHSS8/HERS Learners

The Highway Electrical Training Specification referred to in NHSS8 and HERS is made up of courses specifically developed to satisfy the underpinning knowledge requirements of HERS and NHSS8 registration. Approval for Training Organisations and Trainers is given on the basis that the provider will use training materials for the benefit of the employees within organisations carrying out work within the scope of NHSS8 and HERS. This includes the Sector Apprenticeship certificate qualifications and where learners are working towards HERS registration

From time-to-time Training Providers may be requested to deliver training to organisations or learners who are not registered to NHSS8 or HERS. For contracting organisations or their employees who are carrying out or intending to carry out work within the scope of NHSS8 / HERS and are not registered to HERS or have not applied for and are not working towards registration to HERS or where it is known or reasonably believed that there is no intention of that organisation registering to HERS or where the organisation is already registered it is known or reasonably believed that the organisation is planning to or has allowed their registration to lapse, if training to the Highway Electrical Training Specification is carried out, the Approved Training Provider will be immediately suspended and approval removed.

Approved Training Organisations shall make reasonable enquiries such as requesting HERS organisation status on enquiry or if this is not the case, seeking confirmation that the organisation will become HERS registered. The centre is required to pass all correspondence, in advance of course delivery to HESA, for agreed approval of the organisation and/or Learners. Training is not permitted until approval has been granted. The requirements in this clause do not apply to training provided to local authority or central government client personnel or their technical consultants nor to organisations or their employees who are carrying out works solely outside the scope of NHSS8 / HERS.

• HESA Course Materials and Associated Documents

Whilst Approved Training Organisations (ATO) and associated staff are permitted to use specified materials for specific course, which includes course notes, exercises, assessments, PowerPoint and associated video content for course delivery this does NOT include lesson plans, trainer assessment documents and issue logs.

Approved Training Organisations (ATO) and associated staff are NOT permitted to reproduce, distribute, or transmit in any form or by any means, including photocopying, recording, or other electronic or mechanical methods any associated course related materials in any associated communication to a third party, or non-related organisations without written permission from HESA, except as specified in part 5.34 and 5.35. The rights for all material remain the property of HESA.

• Centre and Trainer Conduct

The HESA expects the Approved Centres and their staff to exercise professionalism, whilst providing training under the HESA. Attention is drawn in particular to malpractice section

Section 2 –

Guidance on the Training of Personnel

2 Guidance on the training of personnel

• Experience and Existing Qualifications and Training

Operative Training to satisfy the HERS requirements must be in line with the Highway Electrical Training Specification.

It is required that:

- Any shortfalls in knowledge are addressed through training which should follow the appropriate specification
- Any updating or refresher training (at intervals not greater than five years) should follow the appropriate specification.
- All trainees must be trained to the appropriate specification for the Highway Electrical discipline as specified within the Highway Electrical Training Specification.

• Choosing items to study

The learner will agree on the elements to study, based on his/her occupation from the list shown in the relevant Competency and Occupations matrix and the list of courses in the Highway Electrical Training Specification

There is no limit on the time between training and achieving scheme competency elements which will be created gradually over a period of time, other than those set out in the NHSS8 and HERS Handbook documents.

• Types of Training

The detailed specification identifies two types of training as follows:

- Common Training – Which relate to Common courses essential for the execution of a particular task and which will cover essential health and safety issues.
- Specialist Product Specific Training – This relates to a particular product and is designed to provide training on the product itself. Health and safety issues would be covered in a common training course except for those that are unique to the product.

• The Assessment Process

The Highway Electrical Training Specification provides the Knowledge Requirements to meet a particular unit in the CBQ-NVQ. It may also provide the Knowledge Requirements to carry out Highway Electrical work not covered by the CBQ-NVQ

Assessments will generally be summative and in the form of multiple-choice questions supplemented by practical assessments where appropriate. These may also be supplemented by formative assessments. To demonstrate formal recognition of success the learner must meet all the assessment criteria and satisfy the knowledge requirements for each course.

Success in achieving a particular element of the Highway Electrical Training Specification generally provides knowledge only. The Learning Outcomes and Assessment Criteria for a particular CBQ-NVQ will need to be assessed by a qualified CBQ-NVQ assessor as stipulated by the Awarding Body.

• HERS Portfolios of Evidence

Each learner shall be required to have a portfolio of evidence. The portfolio will be inline within the HERS system parameters.
Under the Sector scheme assessment process this portfolio will be built by or under the direction of the Qualified Supervisor/s and assessed by Authorising Officers, with the completed portfolio being signed by the nominated Responsible Manager

For the CBQ-NVQ the portfolio should be in a format recognised by Lantra Awards and completed and signed by qualified assessors and verified by qualified internal verifiers). The competency portfolio may contribute to this process with the site observations generally being considered as witness testimonies. It should be noted that the Qualified Supervisor (witness) and assessor cannot be the same person for witness testimonies.

Section 3 –
Approval Process

3 Approval Process

• Introduction

The Highway Electrical Training Specification referred to in NHSS8 and HERS is made up of courses specifically developed to satisfy the underpinning knowledge requirements of HERS and NHSS8 registration. The key principle for approving Training Providers and Trainers is that the delivery of training by such Approved Training Providers will be for the benefit of those registered to the NHSS8 and HERS.

Where it has been determined that any provider or Trainer uses approved training material and does not notify the HESA Admin and claim the required level of certification, the provider/Trainer will be immediately suspended, and approval removed

The approval process is as set out in the flow chart in Appendix A and must be followed to ensure a successful application. The approval process is for named Approved Trainers who will be approved for defined elements of the Highway Electrical Training Specification. Approved Trainers will be employed by Approved Training Organisations.

Approved Training Organisations may be single site organisations or multi-site organisations. They may consist of commercial organisations whose main business is within the remit of Sector Scheme 8, but who may employ one or more Approved Trainers as full-time employees, or they may be Training Organisations whose main business is in the provision of training within the scope of this document.

All Approved Organisations and Approved Trainers must apply for re-approval from 1st April each year regardless of the initial approval date. Approval automatically lapses unless re-approval is sought. Where approval has lapsed the Centre will be required to re-apply as specified in appendix A. Re-approval is contingent upon satisfactory audits, evidence of training - together with learner feedback and trainer reflective self-evaluation - actually carried out and attendance at an annual up-dating workshop to ensure trainer knowledge and awareness is current.

All applications must be submitted using the HESA online system. The instructions for completing the process are detailed within the associated user guides and Appendix A within this document.

User Guides

01. Organisation set-up
02. Navigation to the HESA System - Training Manager
03. Adding a Trainer
04. Adding a course for delivery - Training Manager
05. Course Completion

Section 4 –

Approved Training Organisations

4 Approved Training Organisations

4.1 Introduction

This part of the document lays down the requirements that shall be met by a training organisation to deliver training under this scheme and the requirements which they must fulfil to meet the criteria for approval from the HESA.

Approval of an organisation is based on the organisation's ability to offer the facilities and resources to meet the standards specified and is dependent on the organisation having in place Approved Trainers.

Approved Training Organisations shall document how they apply, monitor and action the requirements for approved training organisations and trainers

Where course specific resources, or trainer evidence is required, which is in addition to the general minimum requirements, these will be identified in Appendix E

4.2 Role of an Approved Training Organisation

In general the role of the Approved Training Organisation is to:

- Ensure all appropriate legislative requirements are met.
- Ensure that the Safeguarding Vulnerable Groups Act 2006 has been applied and any other legal requirements (this may include ISA / LSIS) in the future
- Ensure that, where applicable, the Reasonable Adjustment Notification form is used to inform the HESA
- Manage all aspects of the training and assessment process for one or more defined elements of the Highway Electrical Training Specification.
- Provide a learning environment to facilitate training.
- Provide suitable resources to facilitate training and assessment.
- Employ occupationally competent Approved Trainers to carry out training
- Employ suitable training administrator/s to meet the needs of the organisation.
- Ensure the centres E-portal information is kept up to date
- Advise the HESA of any Staff Changes using the HESA system
- Ensure that process as defined within the user guides are followed
- Training organisations shall have a Training Co-ordinator, who will ensure that training and assessment procedures are maintained within the agreed requirements and timescales. The Training Co-ordinator shall also act as the main contact with the HESA. The Training Co-Ordinator can be the Centre Manager
- All required documents are to uploaded to the HESA system as specified

4.3 Facilities to be provided

The Approved Training Organisation shall ensure that the following are provided:

- A learning environment appropriate to the courses for which approval has been granted within the Highway Electrical Training Specification.
- Training sessions are delivered to the specified standards.
- Facilities for assessing learners for each of the defined elements of the Highway Electrical Training Specification.
- Information and guidance on the training and assessment process to learners and employers.
- Appropriate assessment and other means to provide evidence for the specific unit/element being assessed.
- Equipment which is maintained to a suitable standard for efficient, effective and safe use for training and assessment – including where specified – models and actual equipment as used on site.
- Protective clothing and equipment as required.
- Counselling and assistance as required by learners.
- Means to ensure compliance with all legislative and British Standard requirements.
- Access to HESA auditors for monitoring purposes as required.
- Facilities and resource to enable learner needs to be catered for.

4.4 Approved Trainers

The scheme requires trainers who are appropriately trained and competent to carry out the duties allocated to them.

- They shall ensure all training and assessment meets appropriate professional standards. All training and assessment staff shall complete an application form which details their qualifications and experience within the sector. This information shall be vetted under quality procedures and an appropriate contract shall be in place between the training organisation and its trainers and assessors.

- Trainers shall be qualified and/or be an experienced teacher/trainer with a minimum qualification Level 3 Award in Education and Training (EAT) (previously PTLLS). They shall also have the appropriate underpinning knowledge and skills in the subjects to be taught. Assessors shall be qualified or actively engaged in working towards a qualification in assessment to National Competency Qualifications.

- To ensure best practice and quality of practical assessments in and out of the classroom, in line with current standards it is recommended that Trainers are qualified or working towards their *Level 3 Certificate in Assessing Vocational Achievement (CAVA) .* (Previous related qualifications are accepted as meeting this specific qualification recommendation with contributing CPD))

- Freelance Trainers are limited to face-to-face training only

4.5 Training Sessions

Removed, now part of 5.6

4.6 Assessment

Training assessments shall meet the following requirements:

- Learners are fit and heathy to complete course practical assessments and exercises as required by the training course and the end course assessment criteria.
- Be in the form as specified for the appropriate training element. In many cases this will be multi choice, often supplemented with a practical. The practical may form part of the overall assessment and must be successfully achieved in full to be awarded a HESA Certificate of Achievement
- Be a closed or open book assessment as specified on the question paper.
- Be invigilated by the approved trainer or trainers as applicable.
- Be over a set time period specified by the assessment paper.
- Take into account learner disabilities and where agreed, reasonable adjustments.
- Approved First Aid assessment is by practical and observation only

National question and practical assessment banks will be created and maintained by the Standards and Training Committee. Where these are available, they must be used. Where question banks are not available, training organisations will be required to create their own questions. Any questions held by the Standards and Training Committee will be made available to training organisations with expected answer criteria.

4.7 Administration & Quality Procedures

The Highway Electrical Skills Academy relies on Approved Training Organisations to carry out training and assessment in accordance with this Highway Electrical Training Specification with the minimum of auditing.

The training organisation shall have in place appropriate procedures to ensure standards are met. For centre auditing these should be documented and understood by those using these procedures.

The quality of the training shall be monitored by internal centre verification to ensure opportunities for improvements are identified and implemented.

Internal verification audits are to be made available upon request by the HESA. Training providers with only one trainer can use the HESA audit observation to meet this requirement, this does not exclude continued CPD requirements.

4.8 Staff Training and Development

All training organisations shall make provision for the training of staff and the development of their skills in line with the requirements of the Highway Electrical Training Specification. All staff shall maintain a CPD log and Plan..

The Centre Management is required to hold appropriate demonstrable knowledge of the Highway Electrical Sector and appropriate educational qualifications. It is permitted to discharge this responsibility to suitably qualified person within the organisation who is directly employed and not the sole Trainer.

Where the Centre Manager and Trainer are the same person, roles are permitted to be shared, subject to additional HSEA auditing as applicable

It is the responsibility of the Approved Training Organisation's Centre Manager to review the Trainers CPD and plans before submitting evidence. Shortfalls may result in approval delays.

The Training Centre process for CPD must be defined within the centre policies and procedures to enable external auditing of CPD logs and plans

To support HESA approved Trainers, HESA has produced a CPD log and plan, this is freely available from the HEA web site (Continuing Professional Development (CPD) Documents Archives - Highway Electrical Association (thehea.org.uk))

4.9 Auditing of Training Organisations

Training organisations shall make provision for the auditing of their operations by a representative of the Highway Electrical Skills Academy.

Auditing is carried out as follows.

a) By a visit to the Training Centre Manager/ Co-ordinator – Known as an Independent Centre Audit.
b) By observation of training and assessment sessions – Known as an Independent Observation Audit.
c) By the supply of information from time to time by post as required
d) By direct observation as specified within the Remote Training approval requirements.
e) By direct review of HESA system evidence review.

Where Training Providers have 4 or more trainers, two audits will take place annually, except where:-

a) The training centre has a robust system in place for internal verification for training observations and this process has been initially audited by the HESA and documented evidence is provided for SharePoint uploading and storage for desktop monitoring
b) Where the number of trainers exceed 8, one additional audit will take place for each additional multiple of 4 trainers i.e. (12, 16, 20 etc)
c) At the discretion of the HESA Auditor, a Trainer Observation Audit, may, without notice, change to a centre process procedure and administration audit

Where shortfalls in the training provision and/or administration functions exist, actions will be documented and agreed with suitable timeframes for correction. Actions will be determined by the severity of the shortfall, as identified in Appendix G

Section 5–

Making a Successful Application to become an Approved Trainer / Approved Training Organisation

5 Making a Successful Application to become an Approved Trainer / Approved Training Organisation

5.1 Introduction

To deliver training under the sector scheme and / or in accordance with the Highway Electrical Training Specification, you must make sure that you are registered as an Approved Trainer working within an Approved Training Organisation. Approved Trainers may be peripatetic or may be assigned to an Approved Training Organisation.

The advantage of registering as an Approved Training Organisation in addition to registering Approved Trainers, is that providing there are adequate resources and controls in place, auditing requirements may be less. This would particularly apply where the Approved Training Organisation has a robust system of internal verification, which can be used to sample the system.
Approved Trainers acting on a peripatetic basis, perhaps using the resources of individual organisations that they might be carrying out training for, may have more onerous obligations. Specifically, they would have to ensure that, irrespective of the organisation's arrangements that the resources and environment are suitable and appropriate for the training that is to take place. It may be that auditing is more frequent for such Approved Trainers.

The HESA application forms are designed to give you the opportunity of showing how you / your organisation meet the registration criteria laid down in this document.

5.2 Important points you should be aware of

When you have read this document, please contact HESA to discuss any points which are not clear. This will help you to understand what is required of you before making an application to become registered.
Registration can be achieved at any time. All Approved Trainers / Approved Training Organisations are required to apply for re-registration before the 1st of April each year regardless of the initial registration date. Re-registration is an annual process from this date. This also includes the opportunity to add additional modules from the Highway Electrical Training Specification to your existing profile. Fees for initial application will not be reduced at any time.
Only Approved Trainers, registered with HESA can provide the training programme to meet the requirements of NHSS 8 / Highway Electrical Registration Scheme (HERS).
Approved Trainers who use an off the job training site must ensure the site fully complies with any applicable specification/s (any costs involved in inspection of the site must be met in full by the Approved Trainer / Approved Training Organisation). The Auditor's report is final and Approved Trainers /Approved Training Organisations must ensure any amendments are made and approved before commencement of any training courses.

5.3 Approved Trainer / Approved Training Organisation registration application

The application forms ask you to describe yourself / the team who will be delivering the Highway Electrical Training Specification programme you have applied for, as well as any physical resources which will be made available to support the programme.

- You will detail the systems, which will have to be implemented to support the delivery of the programme. On receipt of your application form, HESA will carry out a desk-top review of your application form and supporting documentation.
- The auditor will inspect the arrangements you are proposing and give guidance, which will help you to implement the programme successfully. Following the review a recommendation will be made to HESA about whether or not Approved Trainer / Approved Training Organisation registration should be given.
- All activities will be monitored in the first instant via the HESA System / telephone / review of correspondence / emails and the auditor visits will be in accordance with the level of activity and/or confidence of the Approved Trainer / Approved Training Organisation. Any Approved Trainer / Approved Training Organisation experiencing a change in their level of activity or any difficulties must ensure they contact the HESA without delay.
- The number of visits made during your registration year are detailed in part 4.9 . Any extra visits deemed over and above this agreement will be treated as additional visits and must be paid for in full as detailed in Appendix B. A decision made by the auditor is final.
- Any site inspections will be conducted in accordance with the level of activity of the Approved Trainer/Approved Training Organisation and agreed between the Approved Trainer / Approved Training Organisation and auditor. Please note that if you alter or move your equipment/facilities in between these visits, it is important that you contact the HESA immediately and arrange an inspection before the recommencement of training courses.

(Costs for these visits are over and above the registration fee and must be treated as an additional visit, see Appendix B).

- Approved Trainer / Approved Training Organisations may also request an additional visit if they consider that further advice, support or guidance would be beneficial. An additional visit fee will be charged. The request for additional visits must be made via the HESA and not directly with the auditor.

5.4 Publicity for Approved Trainer / Approved Training Organisations

The Highway Electrical Association / HESA will maintain a register of all registered Approved Trainer / Approved Training Organisations and will hold this on their web-site. This will also include the permissible scope of the centre.

5.5 Application for Approved Trainer / Approved Training Organisation Registration

The following points outline the items needed from you. The following points should be read in conjunction with the Centre and Trainer Application forms.

You will need to complete the appropriate application form(s) and upload copies of the following to the HESA System:

- Safeguarding policy and procedure
- Organisation chart showing how team members fit into the organisation
- Current CVs for trainers (which specifies sector related areas)
- Approved Trainer Specific requirements
- Staff development plan / CPD plan for all trainers
- Details of physical resources which will be available for training –-see appendix E for additional specific details
- Equality and Diversity policy, including arrangements for learners with special needs.
- Data protection act policy
- Alcohol and drugs policy
- Health and safety policy
- Accident/incident reporting Procedure
- Appeals procedure
- Complaints procedure
- Malpractice and Maladministration policy
- Conflict of Interest Policy/procedure Description of the processes used for centre management/centre auditing and course delivery
- Public Liability and professional indemnity insurance

5.6 Becoming an Approved Trainer / Approved Training Organisation

All Approved Trainers will be issued with a card confirming that they are registered. This card will be valid for one year and all cards will be reissued on re-registration of the Approved Trainer / Approved Training Organisation.

- **Registration will include:**

  - Certificate of registration for the Approved Training Organisation
  - Registration card for the Approved Trainer
  - A unique Approved Trainer / Approved Training Organisation reference number
  - If applicable to the Approved Trainer / Approved Training Organisation status, access to the relevant course material (which remains the property of HESA / HEA) which *must* be used by ATO's for their course delivery. Such course material may not be altered, or items (including slides or assessment aspects) removed, other than additions. HESA course material shall only be used for training once the course has been notified to the HESA by using the HESA System.
  - Please be aware that some course materials are currently in development or are under review and there may be a nominal charge for the issue of new manuals

- **As an Approved Trainer / Approved Training Organisation you must agree to:**

  - Comply with the terms of this specification in full
  - Provide proof of insurance for public liability and professional indemnity as appropriate
  - Confirm you have a first aid box and that each trainer has an in date 1 day course covering Emergency First Aid at Work qualification which. follows the requirements as set out by the Health and Safety

Executive (HSE) for approved Awarding Bodies who are accredited to the emergency first aid at work (EFAW) qualification for the purposes of the Health and Safety (First-Aid) Regulations 1981
- Reply to checklists/questionnaires to confirm training facilities and standards as and when required.
- Use Course Material provided by HEA/HESA, including, Course documentation, PowerPoint presentation summative and practical assessments, lesson plans, exercises and other material types. These *must* be used by ATO's for their course delivery. Such course material may not be altered, or items (including slides or assessment aspects) removed, other than additions**.** Course material in part or full shall not be used for courses, other than those courses notified to the HESA Administration, except by prior written agreement in each case
- Auditing during your registration period.
- Spot checks at any time without prior notice - any personnel that visit the Approved Trainer / Approved Training Organisation will carry proof of identification, which can be checked with the HESA office if necessary.
- Attend update meetings as determined by HESA- Centre Manager required for follow-on internal staff updates. Such updates should be recorded within the Trainers CPD Log
- Ensure appropriate Risk Assessments are carried out and documented prior to each course and uploaded to the HESA System.
- Notify HESA of any training or assessment programmes you are running via the HESA system.
- All required documentation, in line with the guidance and HESA system specific instructions must be uploaded before certificates will be processed.
- Maintain records of all learners and provide secure and sufficient storage for all course/assessment records. Records must be held for a minimum of five years. Learner records must be uploaded to the HESA System, for audit purposes and storage. Where course/assessment records are also being held locally, records must be held for a minimum of five years.
- Return all HESA documentation should the Approved Trainer / Approved Training Organisation decide not to continue offering training to the Highway Electrical Training Specification.
- A competent person who has completed the relevant training course, or is a sector specific design/engineer specialist, and has practical experience and can make a significant contribution to the course may assist Approved Trainers. It is up to the Approved Trainer to ensure the person who is assisting is competent, concise and articulate.

- **Following successful registration all training organisations shall be required to comply with the following requirements**

  - Carry out an appropriate risk assessment and ongoing risk assessments as conditions change for each course, this shall be uploaded on to the HESA System.
  - Provide detailed and appropriate training sessions which are specifically designed to meet the requirements of each training element specification.
  - Issue learners with official HESA course documentation (where available)
  - The centre will have in place suitable arrangements that checks all Learners have met the course pre-requisites, this includes taking into account appendix E requirements and where applicable consecutive training where the employer cannot confirm
  - The programme for the session(s) will be made available to learners and employers in advance.
  - An appropriate venue and room will be identified ensuring no interruptions, distraction or in any way inhibit confidentiality or freedom of the learning process.
  - Adequate and appropriate resources must be available as specified and the room shall be comfortable by virtue of seating, temperature, air quality and acoustics.
  - For practical sessions in workshop or outdoors similar requirements as above shall be maintained.
  - Learners shall be expected, unless carrying out practical instruction, to avoid wearing overalls/working clothes, be polite and considerate and not to use mobile phones and any other similar system of communication.
  - Smoking/Vaping during training shall not be allowed.
  - Reasonable adjustments shall be notified to the HESA administration as stipulated in part 5.16 Records
  - Trainers shall be encouraged to identify each Learner by name, encourage any queries to be raised as soon as appropriate and to create a learning environment.
  - During formal assessments the trainer/assessor shall ensure that there are no distractions, and all learners are given appropriate time to complete the exercises, where a Learner is unable to take part or complete the practical work this will be noted as 'not achieved'.
  - Learner feedback shall be sought on the effectiveness of the training by questionnaires. These records shall be uploaded to the HESA system
  - The HEA Training Committee has agreed maximum numbers of learners per course as set out in the Highway Electrical Training Specification.
  - .

- All accidents or incidents or however minor, that occur whilst a learner is undertaking HESA training or assessment must be reported to HESA Administration. This includes incidents involving personal injury or damage to equipment or property.
    - Accidents must be reported on the day of occurrence
    - If an accident is reportable under RIDDOR, the training provider must inform the employer who will report the accident to Health and Safety Executive.
    - The training provider or instructor must complete the Accident / Incident Report Form (**Appendix K**) and send it to the HESA Administration within 3 days of the date of the accident or incident
    - It is helpful to attach relevant photographs (e.g. of equipment and venue) to the Accident / Incident Report Form
- The minimum requirements for Course Durations as specified within the Training specification must be always adhered to.

5.7 Re-registration

Approved Trainer / Approved Training Organisation re-registration is annually by the 1 April. This will take place by confirming via the HESA system

The following conditions will apply

- The HESA system will notify Training providers and Trainers

- Providing the Approved Trainer / Approved Training Organisation meets the requirements of this document and provide updated CV's and CPD records and continuity has been maintained, their registration status will be upheld.

- Approved Trainer / Approved Training Organisations who have made any changes to training facilities must ensure any changes are notified and at the discretion of the auditor, approved independently by a HESA auditor prior to any application for re-registration.

- Once approval has been verified and approved the Approved Trainer / Approved Training Organisations will be sent:

    - Approved Training Organisation certificate for the current year.
    - Approved Trainer registration cards for the current year.

- Failure to re-register by the 1st April, or resolve issues identified during the re-registration process, will result in your Approved Trainer / Approved Training Organisation registration becoming automatically void and the ability to deliver courses, and/or allocate Trainers will be limited. Re-registration will be for one year, which will include monitoring visits as agreed with your auditor.

5.8 Which Highway Electrical Training Specification Course(s) do you wish to offer?

. The centre scope of delivery will be automatically determined by the approval of Trainer/s deliverable courses

The following is required as part of your submission:

- Complete the required level of approval for each course type, and upload the associated required forms for approval for each approved Trainer for course

Once approved, Training can take place as set-up within the HESA System

5.9 Registration for additional Highway Electrical Training Specification modules

If you wish to offer additional Highway Electrical Training Specification modules, Approved Trainer / Approved Training Organisations need to apply via the HESA System.

HESA will require existing Approved Trainer / Approved Training Organisations to complete the associated evidence forms.

The Centre Manager must ensure that the team members have industry experience to deliver the programme. The registration process will focus on the requirements, which are specific to the new programme (for example, staff and physical resources). New Trainer applications or revised CV's together with other supporting documentation detailing appropriate knowledge and experience will need to be updated on the HESA System

5.10 Your organisation

The Approved Training Organisation is required to maintain a sufficiently documented process to meet the requirements of this document, and to ensure a consistent approach is assured by all the centre Approved Trainers. HESA will use such documents to audit centre and Training Sessions.

The key contact with HESA will usually be the Approved Trainer / Approved Training Organisation manager but if your Approved Trainer / Approved Training Organisation offers several programmes you might consider appointing an Approved Trainer / Approved Training Organisation coordinator to manage all the programmes.

The Approved Training Organisation may choose to deliver training on a multi-site basis. An organisation with several sites may choose to operate as one Approved Training Organisation, co-ordinated by one person from a head office location for all the sites. As applicable records must be kept at the head office. The auditor may choose to conduct a visit at sites other than the head office site.
If your Approved Trainer / Approved Training Organisation is multi-site, you must be prepared to provide access to all locations, including learners, records and personnel at all the sites involved. Where the sites are dispersed geographically, HESA may allocate an alternative auditor to more distant sites or pass on the additional travel costs involved for the usual auditor.

5.11 Industry experience

You are required to provide information about your Approved Trainers' experience for running training programmes. Any person involved in training must have industry experience in the chosen modules they intend to deliver.

5.12 Team members

You will need to identify team members for the roles of trainers together with other staff such as administrators and internal verifiers as appropriate.

Trainers need to have appropriate qualifications and occupational experience to be able to fulfil their roles. You are asked to provide copies of their curriculum vitae, together with other supporting information.

An organisation chart must be attached, showing where the team members fit into the organisational structure. If any of the team members are based at a different site, the links between the main site and other sites must be shown. This will help you plan your communication channels, which are particularly important, if some team members are at different locations.

If they are not already qualified, trainers will need to achieve relevant qualifications before registration as an Approved Trainer. If they are new to sector schemes, they will also need induction and support as part of a staff development programme.

5.13 Physical resources

Some sector scheme scope programmes will not need additional resources. Others will need specialist equipment and/or facilities.

The Approved Trainer / Approved Training Organisation must ensure that any specialist equipment and/or facilities meet current legislation and/or specification/s. An Approved Trainer / Approved Training Organisations role is to lead by best practice in the training of learners.

5.14 Management support

Experience has shown that training programmes run more effectively when they are given full support by senior management. The Approved Trainer / Approved Training Organisation manager is normally a member of the senior management team.

Management support can be demonstrated by ensuring that not only are appropriate team members allocated to the programme, but that they are given sufficient time to carry out their role effectively. Additional resources may be required in terms of facilities and equipment. Consequently, it is usually necessary to allocate financial resources as well as staff and physical resources

5.15 Equality and Diversity

Most Approved Trainer / Approved Training Organisations will already have an Equality and Diversity policy, which must be provided with your application. You need to think about how the policy will be applied to this particular programme and how learners will know about it.

HESA requires Approved Trainer / Approved Training Organisations to enable learners to have equal access to training regardless of their gender/reassignment, colour, ethnic or national origin, race, disability, age, sexual orientation, gender reassignment, socio-economic background, religious or political beliefs, trade union membership, family circumstance/marital status or other irrelevant distinction. Training and assessment must be undertaken without discrimination. As part of the Approved Trainer / Approved Training Organisation registration process, a policy must be in place to ensure that such discrimination does not occur either directly or indirectly.

You must monitor the programme to ensure that the Equality and Diversity policy is effective. Assessment decisions must be free from discrimination on grounds other than competence and assessments must not demand levels of literacy, numeracy and verbal skills beyond those required to demonstrate occupational competence.

You will be required to provide details of learner characteristics in line with current GDPR requirements when you register them with HESA and for Apprenticeship Vocational Qualification Awarding Body monitoring purposes.
HESA requires and expects that all vulnerable and / or young learners to be protected from all forms physical, verbal and electronic harm within the learning environment and any other legal requirements (this may include ISA / LSIS) in the future. This includes harm from other learners or employed staff. The HESA requires appropriate measures to be in place where vulnerable and / or young learners may be put at risk, with supporting risk assessments to identify suitable measures so no harm can take place. The protection of vulnerable and / or young learners procedure needs to be defined

Course Suitability; Under the Equality Act 2010 unless minimum age is specified in legislation you cannot discriminate based upon age alone (age is a protected characteristic). So if you intend to offer courses to those defined as children or young people you must carry out a full and detailed risk assessment that incorporates the immaturity of trainees including factors such as physical size and weight and mental lack of awareness of dangers.
Pre-course screening must take place to ensure suitability for the course and appropriate supervision must be provided throughout. You must also consider whether the instructor to learner ratio needs plus whether equipment needs to be modified at any stage during the course.

5.16 Approved Trainer / Approved Training Organisation records

Approved Training organisations are provided with unique access to the HESA Online system. This system is used as the central data based for the storage of records

The HESA system will be used for course notification, management, and recording, as detailed within the user guides, which must be read and understood to ensure successful submissions and course completions.

Additional records that are required shall be uploaded following a course completion are;

- Course front sheet (completed as required)
- The course lesson plan must be completed in full, with Trainer self- evaluations. The Lesson Plan must reflect the course delivery times/durations
- Course Learner Agreement
- Reasonable adjustments (as defined within your Equality and Diversity Policy) for individual learners must be completed as identified within Appendix D, this does not include adjustment due to prior injury and cannot complete the practical assessment.

- End of course assessment papers.
- Completed Learner evaluation sheets
- Evidence of measures taken to ensure Learners have achieved the appropriate level of course pre-requisites either by defined course achievement or by experience (except where explicitly identified see Training Specification Appendix 1). Such measures must be part of an overarching process with supporting evidence
- Any other appropriate associated and supporting documents.

The centre will be required to keep records for;

- Trainers reflective self-evaluation
- Feedback given to trainers by auditors

The Approved Training Organisation is responsible for ensuring that all portal information is up to date and current and accurately reflects the centre's activities. This includes the updating of documents that date expire on the HESA system

Where records are also stored locally these must be securely held, so that there is no opportunity for records to be falsified or for fraudulent claims to be made. All training and assessment records must be retained by the Approved Trainer / Approved Training Organisation for at least 5 years.

5.17 Consistency of training and assessment

The purpose of auditing is to ensure that quality assurance is monitored within the Approved Trainer / Approved Training Organisation. An essential part of auditing is to sample the work of the trainer to ensure that there is consistency and fairness in the training and assessment decisions made about learners.

It is important that all team members are monitored and that effective communication channels are established, especially if any team members are based at a different site.

The HESA requires evidence that consistency of training and assessment is assured, records will be reviewed during audits to ensure affective monitoring is taking place

5.18 Support for learners

It is important that each learner has appropriate support and is directed towards additional support if this is required. Trainers must be able to gauge the level and experience of those present on the training course and pitch the training accordingly.

Where appropriate reasonable adjustments may be required, the appropriate forms must be completed and sent to the HESA Administration. See appendix D, and uploaded to the HESA system under 'Materials – Administration and Learner Supporting Documents'

5.19 Appeals

Many organisations already have a procedure in place for dealing with appeals. You are required to attach a copy of your appeals procedure to your application form.

Your Appeals procedure/process must indicate that Learners can appeal to the HESA. In such circumstances there may be an associated charge to cover costs. Your appeals procedure must have defined steps that enable any Learner to follow

HESA may become involved in the arbitration of an appeal and therefore you should make sure that all learners are aware of your Approved Trainer / Approved Training Organisation's procedure at the start of each course.

Learners may appeal to HESA about the assessment process; for example where the consistency or fairness of any training or assessment decisions is disputed. Learners may not appeal to the HESA about a matter that is internal to the Approved Trainer / Approved Training Organisation and not related to the Highway Electrical Training Specification and this document.

The appeals policy/procedure shall ensure that:-

- Your policy specifies what kind of things learners can appeal against
- It states who learners must appeal to and how, e.g. in writing?
- The process for dealing with appeals needs to be clear with defined timescales for each step
- Where an appeal is upheld, you need to consider whether this has any impact on other learners and whether you need to take any action to address this
- Your policy needs to reference the appellant's right to contact regulatory/overseeing bodies

5.20 Complaints

Many organisations have a separate procedure (Not employee Grievance Procedure) in place for dealing with complaints. You are required to attach a copy of your complaints procedure to your application form. Your complaints procedure must have defined steps.

Complaints in the first instance should usually be made to the Approved Trainer / Approved Training Organisation.

Thereafter, if not satisfactorily resolved, complaints should be made to the HESA. These may be reported to the Standards and Training Committee.

The complaints policy/procedure shall ensure that:-

- It states who learners must make a complaint too and how, e.g. in writing?
- The process for dealing with complaints is clear and with defined timescales for each step
- Where a complaint is upheld you need to consider whether this has any impact on other learners and whether you need to take any action to address this
- Your policy needs to reference the complainant's right to contact the regulatory/overseeing bodies

5.21 Malpractice Policy

This policy requires the organisations procedures to set out how it will deal with cases where any kind of malpractice and/or maladministration is suspected or alleged, and where there are reasonable grounds for that suspicion or allegation. It needs to be designed to ensure that any such cases are thoroughly investigated, and that appropriate action is taken where necessary

You are required to upload a copy of your policy procedure to your HESA portal

Malpractice may be defined as deliberate wrongdoing or misconduct. Maladministration may be defined as inefficient, bad or dishonest management or administration. This may or may not be deliberate. The two can overlap. The following list is not exhaustive, but is intended to give examples of malpractice / maladministration:

Learners

- falsifying records
- pretending to be someone else
- failing to disclose a medical condition which might jeopardise the safety of themselves or other people
- selling, lending or otherwise misusing skills identity cards
- cheating during assessment

The Centre Staff, instructors,

- giving deliberately misleading information
- failing to carry out assessments as required for the qualification concerned
- breach of confidentiality of assessment materials (including loss or theft)
- copying test papers without authorisation
- failing to carry out adequate internal quality assurance procedures
- submitting false claims for certificates or skills identity cards
- failing to co-operate with anyone carrying out quality assurance checks
- misusing the HESA logo or Lantra or HESA materials
- failing to act in accordance with the conditions of approval as an instructor, trainer, assessor or centre

HESA must be informed of any cases of suspected malpractice and/or maladministration immediately.
HESA will investigate any allegations of malpractice. If objective evidence is found to support the allegation, then the HESA will take appropriate action and apply sanctions accordingly. In turn this will be reported through to the Standards and Training Committee.

5.22 Substance Misuse Policy

Many Training organisations already have a procedure in place for dealing with drug and alcohol abuse. You are required to upload a copy of your procedure to the HESA system.

Your policy must specify the actions your organisation will take as an Approved Training Centre which covers the following;

- Alcohol, illegal and legal drugs where the latter may impact upon concentration and/or performance
- Attendance of course/assessment whilst under the influence of alcohol or drugs and/or consumption of alcohol or drugs whilst on the course
- What action is taken where substance misuse is suspected and where relevant confirmed?
- That HESA will be notified of any incidents within 5 working days

5.23 Data Protection Policy

Many Training organisations already have a procedure in place for dealing with the protection of personal data. You are required to attach a copy of your procedure to your application form.

Certificate of ICO registration and reference number required for approval

Guidance and further information can be sourced from https://ico.org.uk/for-organisations/register/

5.24 Conflict of Interest Policy

Your policy is required to;

- cover where an individual, employee or the organisation is involved in multiple interests, one of which could possibly corrupt the motivation for an act in the other
- detail where reasonable steps are taken to avoid any part of the assessment of a Learner (including by way of Moderation) being undertaken by any person who has a personal interest in the result of the assessment / training (are there segregation of duties)
- include that the Risk Register that identifies all potential conflicts of interest and records these together with actions taken to control or mitigate these
- cover adverse effects defined as an act, omission, event, incident or circumstance that gives rise to prejudice learners or potential learners or adversely affects:

5.25 Undertaking

We ask you to demonstrate your commitment to delivering training in accordance with the Highway Electrical Training Specification and this document by signing the Approved Trainer / Approved Training Organisation application form including the general conditions.

You may wish to draw our attention to other matters in support of your application.

5.26 What happens next?

On receipt of your completed electronic application forms and uploaded procedures, HESA will check that you have provided all the information requested and that it is suitable and sufficient. We will contact you via the HESA system to discuss any issues requiring clarification of further information and if necessary, make an evaluation visit to your Approved Trainer / Approved Training Organisation.

The review includes a recommendation to HESA about whether Approved Trainer / Approved Training Organisation registration should be given. HESA will then notify your Approved Trainer / Approved Training Organisation in writing of the decision within 30 working days of receipt of the correctly completed application forms together with all required supporting information and any additional information / clarification requested.

If you have any questions or queries on completion of the forms or would like additional information please contact HESA .

5.27 Refusal of Approved Trainer / Approved Training Organisation registration

If the Approved Trainer / Approved Training Organisation is not given registration, you will be informed of the reasons in writing Via the HESA system. If your Approved Trainer / Approved Training Organisation is not accredited, you may appeal against our decision to HESA initially.

HESA is required to notify the Sector Scheme Standards and Training Committee when Approved Trainer / Approved Training Organisation registration is refused or withdrawn.

If your Approved Trainer / Approved Training Organisation wishes to re-apply for Approved Trainer / Approved Training Organisation registration, you will need to submit a new application. A new application will not be accepted by HESA until 6 months has passed from the date we notified you of the decision not to give Approved Trainer / Approved Training Organisation registration.

Once your Approved Trainer / Approved Training Organisation is accredited, you can start to run training in accordance with this document, and the HESA system requirements.

5.28 Registration of Approved Trainer / Approved Training Organisation

If registration is given, you will be informed via the HESA system. Registration is from 1 April to 31 March. Your Approved Trainer / Approved Training Organisation has to apply for re-registration prior to the expiry date via the HESA system. Initial registration will run from the registration date to 31 March. Fees for initial application will not be reduced on a pro-rata basis for applications submitted part way through a year.

5.29 Approved Trainer / Approved Training Organisation number

On registration you will be allocated an Approved Trainer / Approved Training Organisation number. You must always use this number regarding any correspondence with us.

5.30 Allocation of auditors

After an Approved Trainer / Approved Training Organisation is registered, you will be allocated an auditor. The auditor will make contact with you to arrange audit visits within your year of registration.

5.31 Fees

For full costs please see Tariff of Fees document held on the HEA web site. Our fees are regularly reviewed. HESA will give Approved Trainer / Approved Training Organisations two months notice of any variation in fees.

5.32 Approved Trainer Requirements

Approved Trainers must have sufficient skills, experience and qualifications to deliver training courses. Some of the training courses offer the learner the opportunity to train and practise installation/removal methods including fault finding exercises.

All training sites must meet specified criteria and be accredited by an HESA representative before running a training course.

Before Trainers are approved by HESA they must meet the criteria detailed below and endorse on the checklist which will support your application (see Appendix C). This is as follows:

- Industry experience for each sector / Highway Electrical Training Specification Module they chose to carry out training for.
- A recognised qualification in instructional techniques - minimum EAT (Level 3 Award In Education and Training)
- If wishing to deliver 302.1 and /or 302.2 – a Lantra Awards “12D Train the Trainer” qualification is required

- Registration to the Highway Electrical Registration Scheme is not mandatory unless training and/or assessment is carried out on the Highway, or at a works site

- Registered First Aider First Aid certificate currently (from 1 October 2009 – a 3-day First Aid at Work or a 1 day Emergency First Aid at Work course delivered by an approved qualifications centre)

- H&S qualification – e.g. IOSH Managing Safely, NEBOSH Construction Certificate, NEBOSH Diploma, Site Management Safety Training Scheme (SMSTS)

- Provide details of CPD appropriate to the sector and to training.

- If intending to train persons other than adults (i.e. young persons under the age of 18) confirmation and evidence of clearance from the Criminal Records Bureau (the HESA can arrange this for you if required, for which a fee is chargeable)

- Have attended or intend to attend the course(s) which you are wishing to deliver or provide explicit supporting evidence of underpinning knowledge, and skills

- Public liability and professional indemnity insurance

- Attend the updating briefing organised by HESA (for Approved Training Organisations with more than one Approved Trainer, one Approved Trainer or Centre Manager should attend with a written procedure and audit path for dissemination of the information and recording of feedback to the other Approved Trainers within the organisation)

- Be familiar with the requirements of NHSS 8, HERS, the Highway Electrical Training Specification and other industry reference material

HESA may withdraw the registration of any trainer who does not maintain their knowledge/expertise.

HESA provides a meeting once a year for all Approved Trainers / Approved Training Organisations. There may be a charge to cover the venue, catering and administration costs. Trainers will be given relevant information (e.g. changes to administration, progress of national training, review of development) and this will also give everyone the opportunity of meeting and discussing relevant issues. Attendance at these events is mandatory to ensure re-registration.

5.33 Learners going through Training Programmes

The Approved Training Organisation must ensure that learners meet the criteria for attendance (course pre-requisites) of the training course and that the class is not over the trainer/learner ratio. In addition the Approved Training Organisation should determine whether additional appropriate assessors are needed to meet the assessment requirements for the number of learners attending up to the maximum permitted.

- Pre-Requisites
    - The organisation must have in place a defined and auditable procedure/process to ensure learners have the appropriate pre-requisites before attending the course. This can be in the form of documented client confirmation that the Learner has met the specific criteria either by defined course achievement or by experience, except where explicit current course achievement is required.
    - Where the Training Centre intends to deliver consecutive training, and part of the delivery is a mandatory pre-requisite (certification of proof required), the centre must have in place an auditable process to cover this action.

Your learners must understand the aims and objectives, session timings of the training course so they understand what you expect from them, and what they can expect from you. Delivery of the course will be dependent on the experience of the learners, and you must ensure that you gauge this level of experience, and deliver the course accordingly, whilst ensuring the course objectives have been met.

5.34 Planning

Where applicable, training course material will be available from the HESA system. Sector Schemes & Registration Schemes were introduced to establish a national training programme, and to ensure all those involved in each industry are working to a common standard. You must ensure that you deliver the training course in accordance with the Highway Electrical Training Specification and this document.
You are also required to attend briefings, which will normally be held annually, and which aim to ensure standardisation as appropriate across Approved Trainer / Approved Training Organisations. Trainers must also be familiar with the requirements of this document and associated documents and other industry material and have this available for reference purposes, where appropriate, when delivering the training programme.
You must ensure all equipment required for the training course, is available in advance. You must make sure you have sufficient equipment and materials (i.e. course notes and course assessment papers), and sufficient assessors for all learners. All course notifications will be via the HESA system.

Course notes may be provided as paper copies or electronically on laptops or tablets provided as part of the course delivery.

5.35 Training Course Delivery

Some Highway Electrical Training Specification courses may not need additional resources. Others will need specialist equipment and/or facilities. The Approved Trainer / Approved Training Organisation must ensure that any specialist equipment and/or facilities meet the Highway Electrical Training Specification requirements and current legislation. An Approved Trainer / Approved Training Organisations role is to lead by best practice in the training of learners. Before commencement of the course, you must ensure the planned training room is suitable for its purpose and included as part of the documented risk assessment.

Where digital course notes are provided as part of the course, these can be made available to each specific learner after the course if required / requested e.g. by post or by giving access to view files (e.g. on sharepoint). Apprentices should have access to course notes for the duration of the apprenticeship. Course notes must not be put into the public domain.

5.36 Conduct of end of course assessments

Each Learner must be assessed, during or at the end of each course. Where course assessments are available from the HESA, these must be used.
You must ensure that an invigilator, not necessarily the registered Approved Trainer, is in the examination room at all times. Their duties are to:

- Ensure all those sitting the assessment understand what is expected of them during the examination i.e. time allowed and how to complete the question paper.
- Answer any permitted questions to ensure they understand the above.
- Issue the assessment paper.
- Follow and Implement agreed reasonable adjustments
- Further responsibilities are:
    - If more than one room is used for the assessment an invigilator shall be present in each room.
    - Each learner must be seated such that there is no opportunity for a learner to see other Learner's written answers.
    - No phones to be in evidence.

Late arrivals shall not be allowed to commence the paper if:

- It is likely to cause disruption to other learners or
- A learner who has completed the test paper has already left the room.
- Ensure the learner does not use unfair means in the examination. A learner found copying from the paper of another learner or discussing an answer with another learner must be immediately disqualified.

5.37 Marking of Course Assessments

An effective method of continuing the learning process is to allow the learners to mark course papers, (not their own), this allows for group and individual feedback leading to a greater understanding where questions are incorrectly answered.

Only a registered Approved Trainer for the course they are delivering can carry out final validation of marked question papers. This will include any marginal papers that may require a second independent marking, excluding multiple choice type questions.

5.38 Results

It is essential that each learner be informed of the assessment results as soon as possible. The method in Part 5.37 aids this process. Where this approach is not used, the organisation is required to specify how Learners will be advised of their results, and how support and guidance will be facilitated.

Confirmation of the results must be uploaded to the HESA system, with all supporting evidence required

5.39 Re-assessments

Practical (only applicable if the exercise is marked and the marks go towards the final result or are a pass / refer requirement)
When a learner does not achieve the required standard in the practical work, no re-assessment will be carried out during the course, and it will be necessary to retake the whole course.

For Courses 712, 713, 714, 715 and 716

The practical assessment also includes a theory Condition Code Assessment Paper.

Where the learner has been unsuccessful in completing all four answers for rules for Course Written assessments can apply, with the following exceptions.

1. The retake must be conducted by MS Team or similar proprietary video calling systems by an approved centre trainer.
2. A different PowerPoint Batch number to be used from the original paper.
3. The original Practical Assessment paper for the Learner to be updated to confirm the retake and that retake outcome.
4. The HESA System to be updated with the modified practical assessment outcome and the condition code assessment paper.

Course written / verbal assessments

When a learner does not achieve the required standard, no retake will be allowed whilst on the original course. The learner will be referred and allowed to retake the assessment only as long as it is not less than 2 weeks or more than 6 weeks after the date of the original course. If more than 6 weeks elapses the learner must complete the whole training course again.

Approved Training Organisations can use the Learners organisation to deliver the retake for the written paper, with agreement by a responsible manager. The Approved Training Organisation is required to document their process for this and record associated correspondence.

Following a reassessment the Approved Training Centre must inform the HESA Administration in the normal way.

5.40 Learners records

Successful learners must be notified at the earliest opportunity, and the HESA system updated with achievement scores

Records of training courses delivered by Approved Trainer / Approved Training Organisations must be uploaded to the HESA system, which include:

- Documents Front Cover sheet
- Lesson Plan completion, with reflective self-evaluation
- Signed Learner agreement record.
- Original end of course assessment paper for each learner showing total mark achieved and annotated to show validation has taken place.
- Where applicable, the end of course practical assessment form
- Learner Course Evaluation feedback forms

Where the Approved Trainer / Approved Training Organisation also retains t records these must be retained for a minimum of 5 years. These records can be electronic or in paper format and sign-posted to appropriate areas which are accessible for audit purposes. Electronic and or paper files must be held securely.

Ceased Trading Providers.

When an Approved Training Organisation ceases trading, the centre is required to ensure records are freely available to the HESA.

- *For small training providers, where storage and accessibility may not be possible over the 6-year period, records are to be handed to the HESA for safe keeping and disposal at the appropriate times. Such records are to be referenced and boxed.*

- *For all other training providers, records are to be stored, preferably on readily accessible electronic media and handed to the HESA for safe keeping and disposal at the appropriate times.*

5.41 Important

It is the Approved Trainer's responsibility to ensure that all pre-course administration and preparation is complete before commencement of the course, and that the HESA has been correctly notified via the HESA system. The conduct of the course, its content and assessments and administration are also your overall responsibility.

Failure to inform HESA within the specified time following course completion will result in no course certification being processed. Course certifications will not be released until all actions have been concluded on the HESA system and appropriately notified.

5.42 Summary

Trainers must ensure that:

- they lead by best practice
- equipment/facilities are safe and meet current specifications at all times
- they understand the aims and objectives of the course
- they stay for the duration of the course
- Where available follow the prescribed presentation material without 'gaps' or 'material jumps'.
- learners complete an end of course assessment, with a minimum pass mark as identified within the Training Specification
- Their HESA system information is accurate and kept up to date

Section 6–

Procedure for Administering Training Courses

6 Procedure for Administering Training Courses

6.1 Registration of Learners

Learners can only be registered to a Highway Electrical Training Specification course through an Approved Training Organisation, which is registered by the HESA for the Highway Electrical Training Specification module concerned. All learner registrations are automatically checked to make sure that the Approved Trainer / Approved Training Organisation is both Approved and registered.

6.2 Completing the learner registration form

When you register Learners, we need to know which Highway Electrical Training Specification courses you are registering them for, this forms part of the HESA system course set-up.

For each learner we need the first name /surname/family name, where the confusion of duplicated names exists then initials of any other names should be used.

Where centres are registered with Lantra Awards to deliver the Highway Electrical Apprenticeship qualification additional information will be required, which includes their Unique Learner number and date of birth. Further learner characteristics will be required these include gender, ethnic origin and whether they consider themselves to have special needs, so that their achievements can be monitored for Equality and Diversity reasons.

The 2011 Census Classification of Ethnic Groups are split into 3 distinct areas, England and Wales, Northern Ireland and Scotland.

Depending on which area the training is taking place, will depend on which code column is being used, e.g.

- For a Learner who falls into the *'White'* category for courses delivered in…

England and Wales the options are:-	For **Scotland** the options are:-	For **Northern Ireland** are:-
01 English/Welsh/Scottish/ Northern Irish/British	**30** Scottish	**19** White
02 Irish	**31** British	
03 Gypsy or Irish Traveller	**32** Irish	
04 Any other White background	**33** Any other White Background	

We will raise an invoice for learner registrations and the issue of a certificate (if successful and dependent on the details of the Training Module(s) taken).

Any certificates issued must be provided to the learners.

The ethnic origin codes are:

2011 Census Classification of Ethnic Group

Location of this course; **England and Wales**		Location of this course; **Northern Ireland**		Location of this course; **Scotland**	
White:		19	White	**White:**	
01	English/Welsh/Scottish/	20	Chinese	30	Scottish
	Northern Irish/British	21	Irish traveller	31	British
02	Irish	22	Indian	32	Irish
03	Gypsy or Irish Traveller	23	Pakistani	33	Any other White background
04	Any other White background	24	Bangladeshi	**Mixed:**	
Mixed/multiple ethnic groups		25	Black Caribbean	34	
05	White and Black Caribbean	26	Black African	**Asian, Asian Scottish or Asian British:**	
06	White and Black African	27	Black other	35	Indian
07	White and Asian	28	Mixed ethnic group	36	Pakistani
08	Any other Mixed/multiple	29	Any other ethnic group	37	Bangladeshi
	ethnic background			38	Chinese
Asian/Asian British:				39	Any other Asian background
09	Indian			**Black, Black Scottish or Black British:**	
10	Pakistani			40	Caribbean
11	Bangladeshi			41	African
12	Chinese			42	Any other Black background
13	Any other Asian			**Other ethnic background**	
	background			43	Any other ethnic group
Black/African/Caribbean/ Black British					
14	African				
15	Caribbean				
16	Any other				
	Black/African/Caribbean background				
Other ethnic Group:					
17	Arab				
18	Any other ethnic group				

Section 7–

Auditing and Ongoing Competency

Section 8–

CBQ-NVQ Assessors / Internal Verifiers / Auditors

Section 9–

Delivery of Combination Courses

7 Auditing and Ongoing Competency

The key principle of auditing is to ensure that minimum standards are understood, applied, and maintained. In this way, together with the annual up-dating seminar, on-going competency of trainers will be maintained.

The HESA is formally audited by the Awarding Body. HESA reports to the Standards and Training Committee on matters relating to Approved Trainers /Approved Training Organisations. The Standards and Training Group in turn report to the Sector Scheme Committee and/or HEA Council as appropriate.

8 CBQ-NVQ Assessors / Internal Verifiers / Auditors

The Highway Electrical Training Specification has been designed by industry employers to provide the under-pinning knowledge requirements of the relevant CBQ-NVQ units. Therefore, any organisation or trainer providing training either to suit the needs of the NHSS8 / Highway Electrical Registration Scheme (HERs) or the CBQ-NVQ, should be approved in accordance with this document.

CBQ-NVQ assessors, internal verifiers and external verifiers will look for evidence that any training which delivers under-pinning knowledge has been delivered in accordance with the Highway Electrical Training Specification and has been delivered by suitably competent and Approved Trainers / Approved Training Organisations.

9 Delivery of Combination Courses

The training specification allows for the delivery of course types, which can be combined to reduce the overall course delivery time. The combined delivery times are notified within the Training Specification.

For the delivery of combination courses the following criteria must be met:-

- The combination course must be included within the Training Specification.
- The Centre/Trainer must be approved to deliver the course combination in full.
- The course must fall within the Approved Centre Scope – this will be automatic where all the combination courses fall within a Trainers scope of approval
- The combination course must be delivered continuously without ‘gaps’ in delivery.
- The combination course being delivered must be delivered by the training team as specified within the HERS Training Specification
- Each combination course must be assessed in line with the current assessment strategy.
- The combination course is to be delivered over the allocated minimum time period, which are within the specified learning hours of learning, per or part day as specified within the HERS Training Specification.
- The course is not part of a Remote Training programme

The certificate will identify only one approved trainer for the course.

Where a combination course appears in more than one combination group, ie 214, then this course does not have to be repeated in subsequent combination groups (see conditions below). The following criteria must be followed in all cases where this situation applies.

- Where this condition applies, the course that does not have to be repeated, for audit purposes the course must be allocated a pass mark, the HESA system Course Summary tab, under notes must be annotated to reflect APL/A has been attributed. The courses used as APL/A must have been completed within the previous 12 months only, else course must be retaken as part of the combination set of courses.
- The APL/A course certificate (PDF) must be supplied and added to the HESA System.
- Where the combination of courses equate to a day or less of learning the end assessments can be combined. The final scores must be added individually to the HESA system.
- .

Section 10–

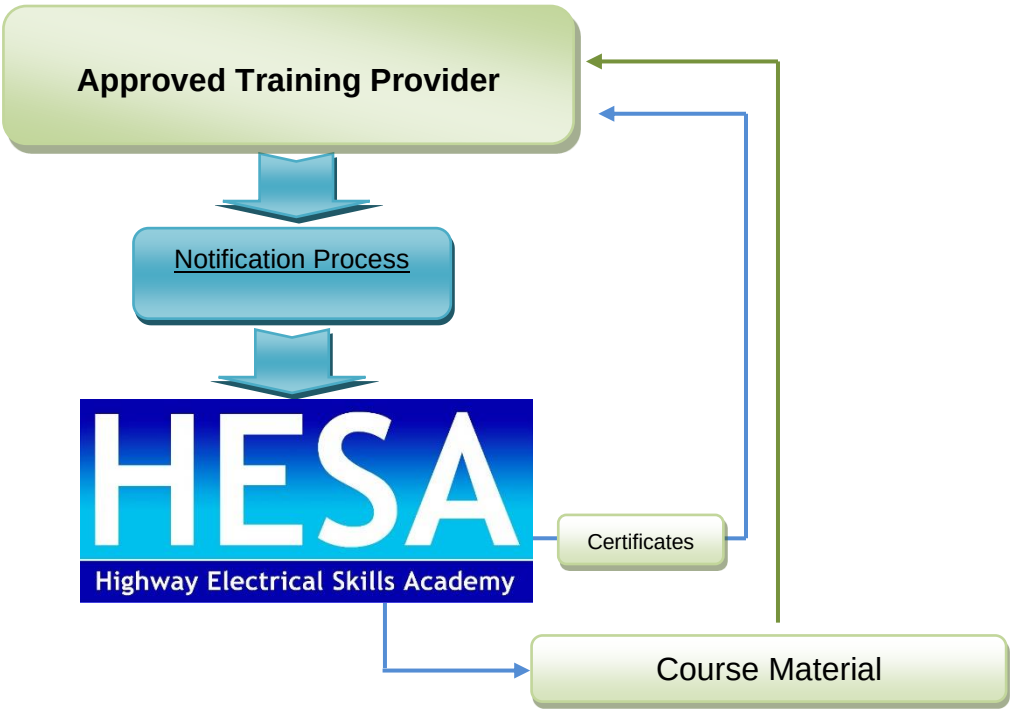
ATO First Aid Training Process

10. ATO First Aid Training Process

Approved Training Organisations Trainers who have successfully completed the HESA Train the Trainer First Aid course are permitted to deliver the first aid training as prescribe by the HESA Training material.

The Approved Training Providers may be subjected to additional auditing as deemed appropriate by the HESA internal auditing process. These audits are in addition to the ATO audit process conducted by the HESA.

The following flow chart identifies the process for approved first aid providers...



ATO First Aid Process Flow Diagram

The following actions are required as identified with the process flow diagram:-

- HESA is informed of course by using the HESA System

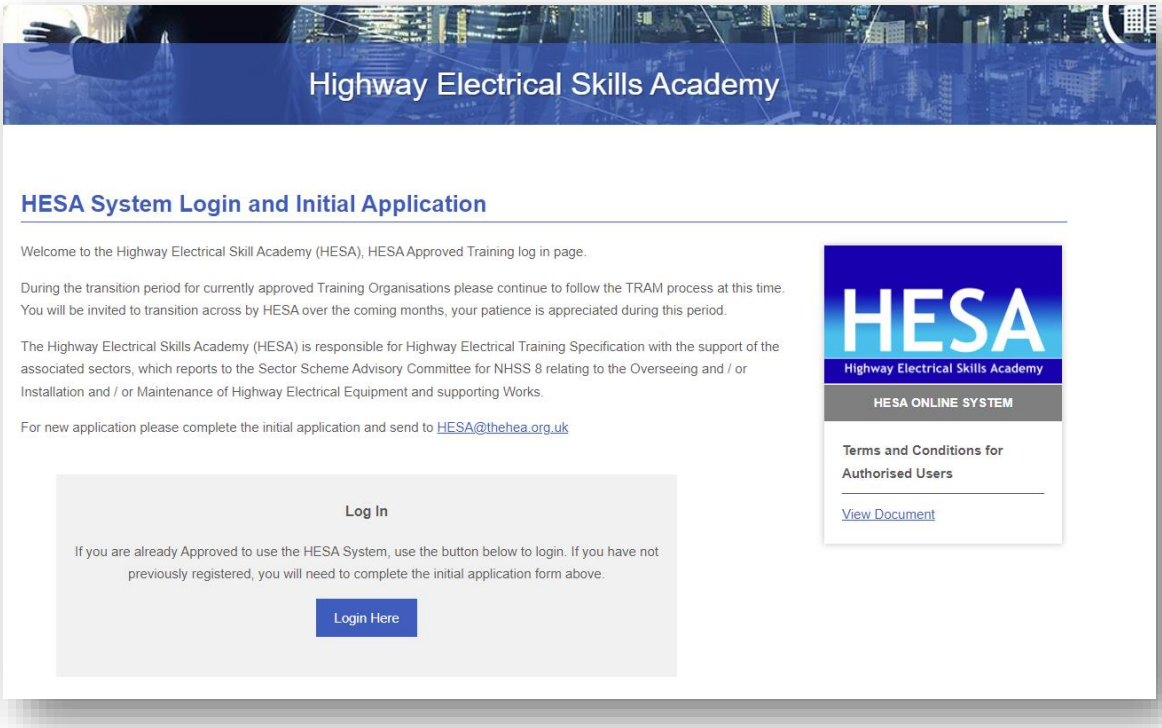
Section 11–

HESA System User Guides & Processes

11. The HESA System

The Highway Electrical Skills Academy (HESA), as a bespoke system for the Management, booking and training provision. The system empowers approved training providers to manage all aspects of the training process from individual centre document control, course planning and bookings to course delivery. The system incorporates instant access and notifications via the dedicated dashboards, which are role specific. Uniquely the system provides each trainer with a step-by-step process for course management, delivery and review, and ensures all steps are completed consistently.

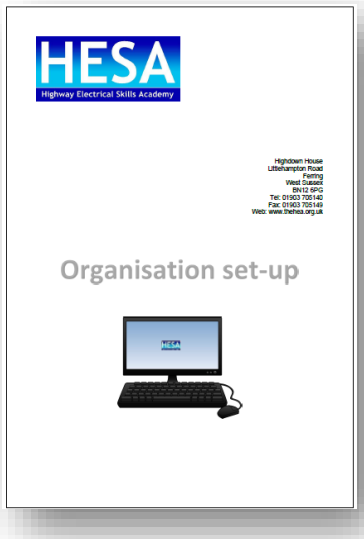
For new Training Providers, visit the HESA System Login and Card Registration - Highway Electrical Association (thehea.org.uk) and complete the initial application and send to HESA@thehea.org.uk



11.1 The Organisation Set-up

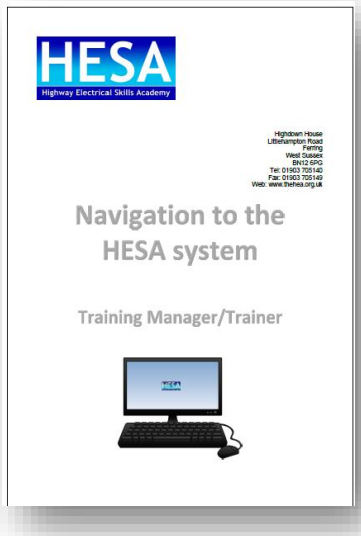
The Organisation Set-up user guide provides a step-by-step approach to setting up your centre profiles and guides you through the initial application process.

Associated forms to complete the initial organisation set-up are located at the HESA Document Resources web page.



11.2 HESA System. Training Manager/Trainer

11.2.1 Navigation to the HESA System. Training Manager/Trainer

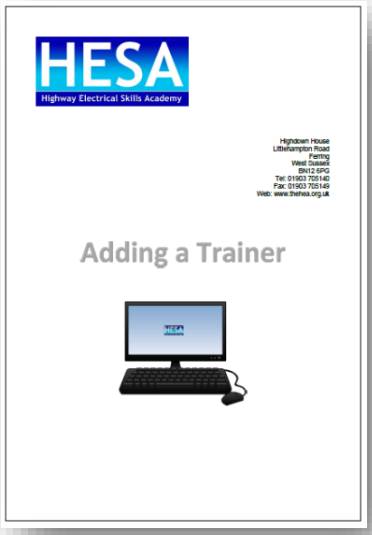


If you are registered as the Centre Training Manager, or with a combined role as a Training Manager and Trainer, then this user guide will guide you through your system dashboard, roles, and actions

The user guide explains the specific functionality available, including the aspects of your dashboard, for effective management of the centre, including essential alerts, with advance warning of expiring documents which includes trainer and centre documents.

The guide also explains the core menus and how to ensure the best use.

11.2.2 Adding a Trainer - Training Manager/Trainer



This user guide explains the steps to take for setting up a Trainer.

It identifies the steps required for successful application, and how to request course by course approvals.

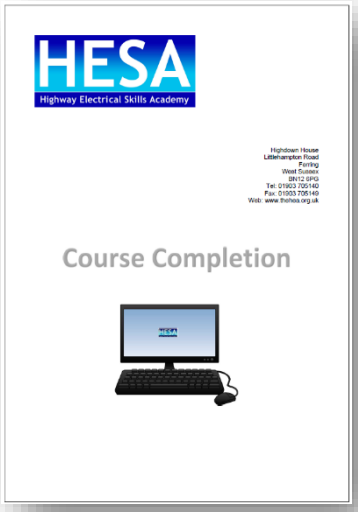
Please note the required Training course application forms can be located at [HESA Trainer Course Application Forms Archives - Highway Electrical Association (thehea.org.uk)]

11.2.3 Adding a Course for Delivery - Training Manager/Trainer

If you are registered as the Centre Training Manager, or with a combined role as a Training Manager and Trainer, then this user guide will guide you through the step-by-step process for setting up a course for a specific centre approved Trainer.

The interactive nature of the system will advise you where input is missing, or where the initial data is outside the set system parameters.

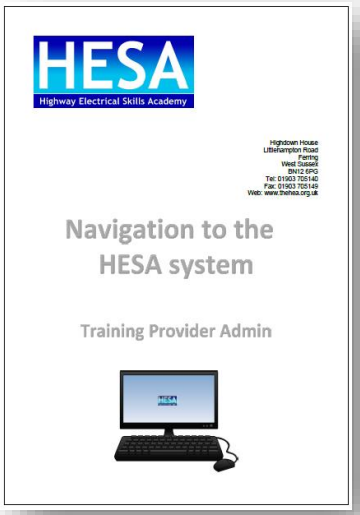
11.2.4 Course Completion - Training Manager/Trainer



This user guide explains the steps to take once the course status changes to '*course completed'*

11.3 HESA System. Training Provider Admin

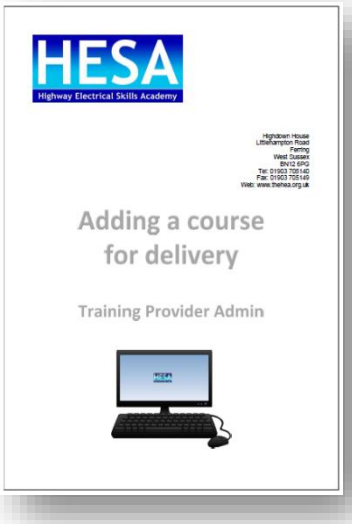
11.3.1 Navigation to the HESA System. Training Provider Admin



If you are registered as the Centre Administrator, then this user guide will guide you through your individual system dashboard, roles, and actions

The user guide explains the specific functionality available, including the aspects of your dashboard, for effective planning and administration of course deliverables. It provides quick and effective location of proposed courses, and the status for forward planning and implementation.

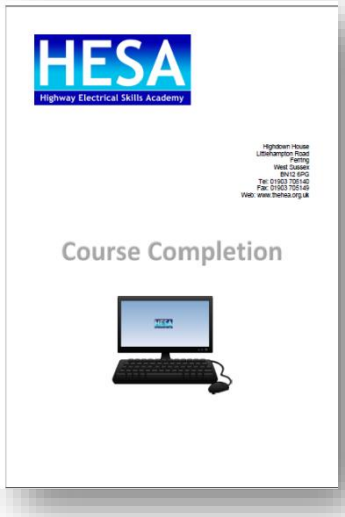
11.3.2 Adding a Course for Delivery – Training Provider Admin



If you are registered as the Centre Administrator, then this user guide will guide you through the step-by-step process for setting up a course for a specific centre approved Trainer.

The interactive nature of the system will advise you where input is missing, or where the initial data is outside the set system parameter

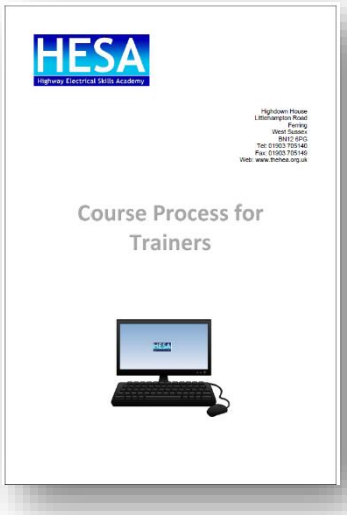
11.3.3 Course Completion. Training Provider Admin



This user guide explains the steps to take once the course status changes to '*course completed'*

11.4 HESA System. The Trainer

11.4.1 Course Processes for Trainers



This user guide provides essential reading to ensure that as the Course Trainer, the actions you need to take.

The guide starts with the initial approval status of your application, and the actions you need to take.

Your individual dashboard is explained in detail, which is only visible to you, using your unique login.

For each course, you will have at your disposal the records added by your admin team, and where available all the course materials for the course delivery.

Course presentations should **not** be run from the HESA system, but downloaded, and where applicable, linked video files should be downloaded in line with the associated 'Read-Me' document

Section 12–

Remote Training

12 Remote Training

12.1 General Requirements

Remote Training, where the trainer is available throughout the training session and the training is conducted by video link, is available for refresher training for those courses shown in the Highway Electrical Training Specification –. Remote training is not available for traineeships or apprenticeships.

Any Approved Training Organisation which has been approved to deliver face to face courses, may also deliver these remotely without further approvals. Certificates issued will not differentiate between face to face or remote delivery and the Approved Training Organisation must retain records to show how and where training has been delivered. Remote training delivery shall be delivered in the same manner as face to face training, albeit utilising video calling.

12.2 End of Course Assessments

Most course assessments are open book. Where assessments are closed book, the Approved Training Organisation shall put in place measures to ensure this is applied robustly (e.g. by using video to show the learner's working area).

12.2.1 Theory Assessment

Theory Assessments will be the same as face-to-face training assessments. Papers shall be produced in advance of the remote training to ensure there is no delay.

- End of course theory papers can be printed in advance and sent to the Learners organisation. These must be sealed and opened only at the point of assessment during the remote training event. This must be witnessed by the Trainer.
- Assessment papers shall be emailed direct from the learner to the Trainer or Approved Training Organisation contact or may be handed to a responsible person on completion of the assessment, for returning to the Approved Training Organisation.
- Where it is not possible to email the assessment paper or where there is no responsible person available, the papers must be placed in the return envelope supplied by the Approved Training Organisation, witnessed as sealed and returned.

12.2.2 Practical Assessment

For approved courses that require a Practical Assessment, these will be conducted in the same manner as face-to-face training assessments. Additionally, the following requirements must be met:

- Practical assessments must be electronically recorded by the Trainer and held for the course material designated period.
- Practical assessments must be conducted individually and must not be visible to other Learners.
- The practical assessment sheet must be completed, in the same way as face-to-face delivery

12.3 Guidance for Remote Training

Approved Training Organisations may wish to consider the following (note that this is guidance and therefore not mandatory):

- A learner email address and contact telephone number being provided. The 'joining instructions' for a remote training course may specify the hardware, software, and any other technical requirements as well as providing the rules and regulations applicable to this type of training. Learners may be requested to test their equipment prior to course commencement.
- The daily schedule for remote courses is to include sufficient breaks to facilitate good learning outcomes. These should be identified in the lesson plan. Additional 5 minute 'comfort' breaks may be inserted at convenient points during the sessions.
- Trainers taking a rollcall of attendees using the nominal list.

- If, during course delivery, the trainer loses connection, Learners should be informed as quickly as possible, by phone and/or email of the steps to be taken. Depending on the time taken to resume training, a decision should be made whether to cancel.
- Health & Safety

    - DSE. Correct installation of the desk and seating arrangements used by the student remain the responsibility of the individual and their employer. During the risk assessment discussion at the start of the course, the trainer should ensure that the Learners are sitting comfortably.
- The approved Training Organisation should not responsible for providing the IT equipment required to undertake the course.

Course design & delivery

- The trainer verifying 2-way communications with each student at the start of the course and at the start of each day.
- Throughout the course the trainer and each learner to be visible by webcam. If unexpected issues occur with bandwidth necessitating temporary loss of webcam, then electronic gestures (e.g. raised hands) can be used to indicate attendance
- The trainer may wish to refer to a virtual whiteboard.
- Learners should have access to material as per the material used for face to face training
- Remote training by its nature is often less interactive that the classroom equivalent. Trainers and course designers should consider including additional interactive elements into their modules to encourage the participation of the Learners. This could be in the form of using the hands-up or wave option dependent upon the software being used, to maintain student interest and participation and to add to the enjoyment of the course. Use of any chat/instant messaging or break-out room facility may be made to promote interactivity and to encourage questions and discussion.
- Data protection – student personal information, other than a first name or another identifier, are not to be shared on-line.

Assessments

- Measures are to be employed to assure the security of assessment and to discourage cheating. Learners should be instructed to remain visible on the webcam throughout the assessment.
- Learners should be notified at enrolment, that if connections are lost or visibility from the web cam is obscured at the final stage of the on-line assessment, the trainer may remove the learner from the course and mark as a failure.

Technical guidance

- Training providers should bear in mind that their Learners may be using a variety of hardware and tools, so the software in use should be agnostic to this. Also, from a security aspect, the integrity of some of the software aimed at small businesses and private users may be questionable. In all cases delivery systems and/or platforms are to be chosen so that barriers to remote training are minimal.

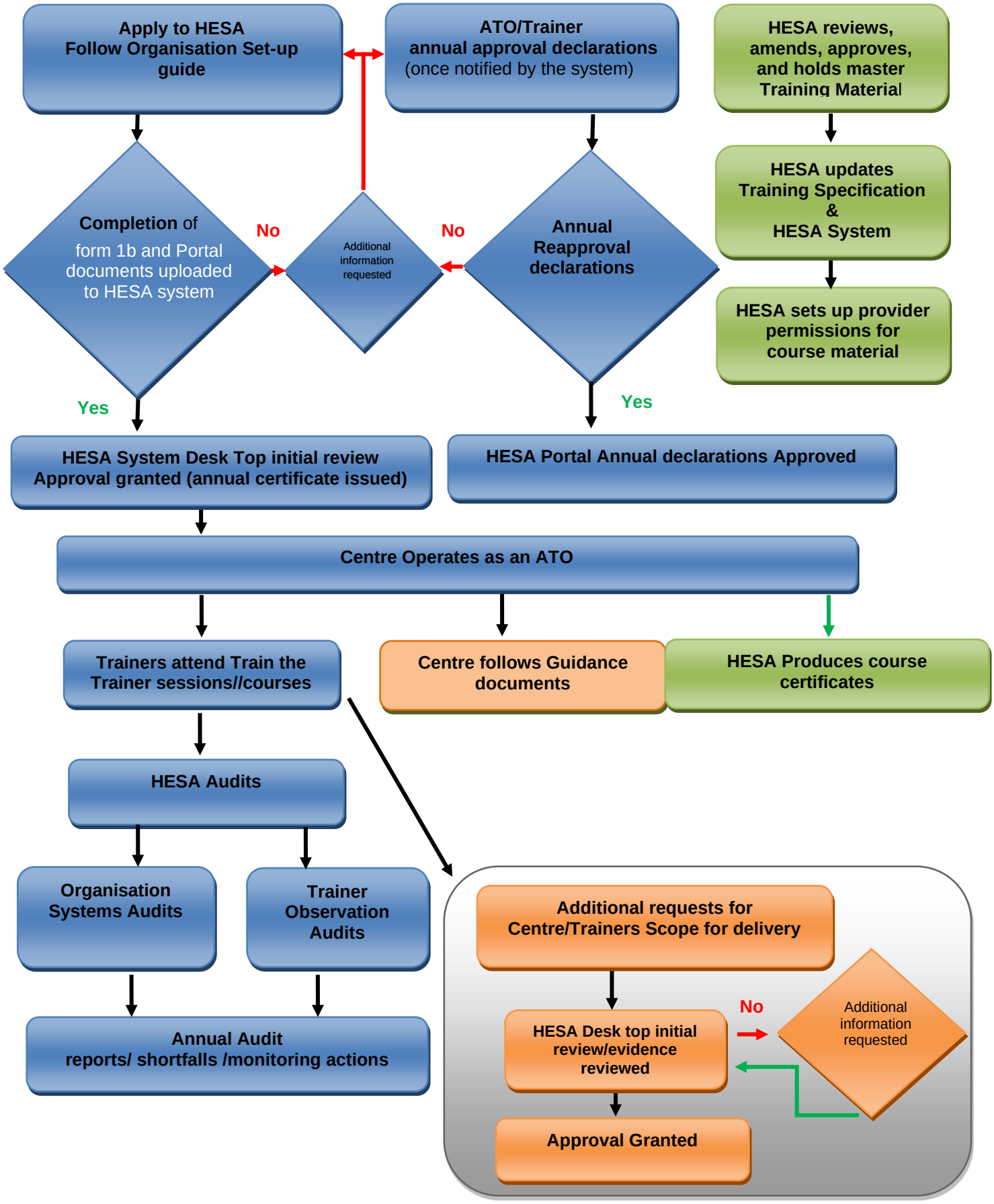
    - Learners will require headphones and microphone or speaker and webcam. These should be tested before the course starts. To reduce background noise, student microphones should be muted when not in use.

    - If, during the course, there are bandwidth constraints that are causing performance problems, turning off student webcams can sometimes help, although a webcam is mandatory to undertake the assessment.
    - Learners should take the course via a broadband connection. Most home and office wired, or wireless networks will have sufficient bandwidth to receive the on-line course.
    - Learners should be encouraged to use any chat facility to ask questions.

Section 13–

Appendix Documents

Appendix A – Flow Chart for Approved Trainers / Training Organisations



Appendix B – Fees

Please see Tariff of Fees document on the HEA web site

Appendix C – Forms Application ATO and AT

These individual where applicable forms are available for download from the HESA download section under the HESA Document Resources section, HESA Document Resources - Highway Electrical Association (thehea.org.uk)

All completed forms with embedded supporting evidence must be uploaded in electronic word format only. (where applicable documents to be embedded can be in PDF format to reduce the size of files. Where paper applications are not permitted

HESA Form 1a/b - Application for registration as an Approved Training Organisation

HESA Form 2 - Application for registration as an Approved Trainer_Add Trainer_Name

HESA Form 3 - Trainer Course Application_Add Trainer_Name

HESA Form 4 - Training Material Provision Declaration

HESA form 5- Spare

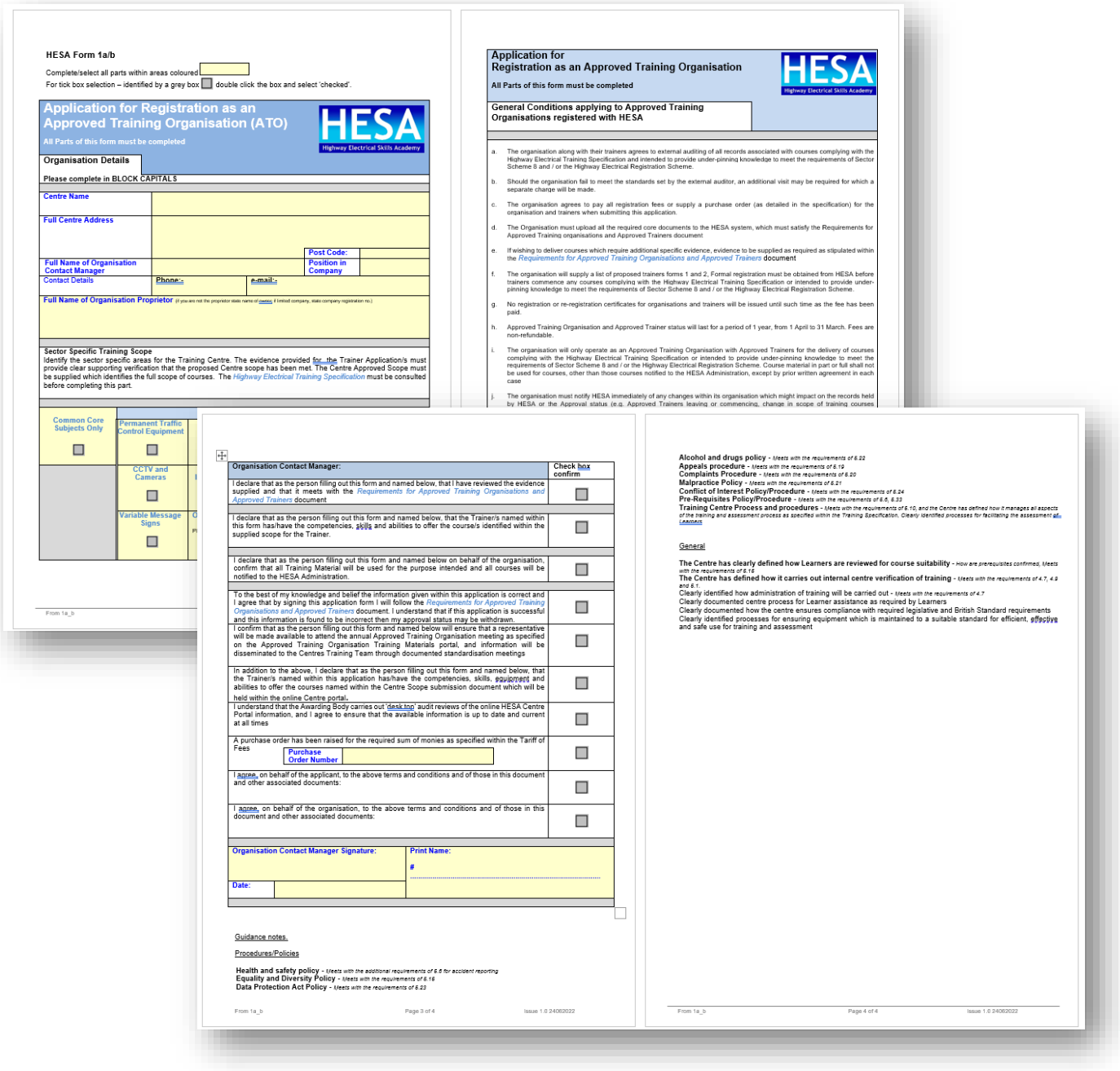
HESA form 6- Spare

HESA form 7- Spare

Form 8 - Course evaluation sheet Produced as part of the HESA System

Form 12 Application for Remote Delivery

HESA Form 1a_b HESA Application for Registration as an Approved Training Organisation



HESA Form 1a/b

Complete/select all parts within areas coloured

For tick box selection – identified by a grey box ☐ double click the box and select 'checked'.

Application for Registration as an Approved Training Organisation (ATO)

All Parts of this form must be completed

HESA Highway Electrical Skills Academy

Organisation Details

Please complete in BLOCK CAPITALS

Centre Name			
Full Centre Address		Post Code:	
Full Name of Organisation Contact Manager		Position in Company	
Contact Details	Phone:-	e-mail:-	
Full Name of Organisation Proprietor (If you are not the proprietor state name of owners. If limited company, state company registration no.)			

Sector Specific Training Scope

Identify the sector specific areas for the Training Centre. The evidence provided for the Trainer Application/s must provide clear supporting verification that the proposed Centre scope has been met. The Centre Approved Scope must be supplied which identifies the full scope of courses. The *Highway Electrical Training Specification* must be consulted before completing this part.

Common Core Subjects Only ☐	Permanent Traffic Control Equipment ☐	
	CCTV and Cameras ☐	
	Variable Message Signs ☐	

From 1a_b

Application for Registration as an Approved Training Organisation

All Parts of this form must be completed

HESA Highway Electrical Skills Academy

General Conditions applying to Approved Training Organisations registered with HESA

a. The organisation along with their trainers agrees to external auditing of all records associated with courses complying with the Highway Electrical Training Specification and intended to provide under-pinning knowledge to meet the requirements of Sector Scheme 8 and / or the Highway Electrical Registration Scheme.

b. Should the organisation fail to meet the standards set by the external auditor, an additional visit may be required for which a separate charge will be made.

c. The organisation agrees to pay all registration fees or supply a purchase order (as detailed in the specification) for the organisation and trainers when submitting this application.

d. The Organisation must upload all the required core documents to the HESA system, which must satisfy the Requirements for Approved Training organisations and Approved Trainers document

e. If wishing to deliver courses which require additional specific evidence, evidence to be supplied as required as stipulated within the *Requirements for Approved Training Organisations and Approved Trainers* document

f. The organisation will supply a list of proposed trainers forms 1 and 2, Formal registration must be obtained from HESA before trainers commence any courses complying with the Highway Electrical Training Specification or intended to provide under-pinning knowledge to meet the requirements of Sector Scheme 8 and / or the Highway Electrical Registration Scheme.

g. No registration or re-registration certificates for organisations and trainers will be issued until such time as the fee has been paid.

h. Approved Training Organisation and Approved Trainer status will last for a period of 1 year, from 1 April to 31 March. Fees are non-refundable.

i. The organisation will only operate as an Approved Training Organisation with Approved Trainers for the delivery of courses complying with the Highway Electrical Training Specification or intended to provide under-pinning knowledge to meet the requirements of Sector Scheme 8 and / or the Highway Electrical Registration Scheme. Course material in part or full shall not be used for courses, other than those courses notified to the HESA Administration, except by prior written agreement in each case

j. The organisation must notify HESA immediately of any changes within its organisation which might impact on the records held by HESA or the Approval status (e.g. Approved Trainers leaving or commencing, change in scope of training courses

Organisation Contact Manager:	Check box confirm
I declare that as the person filling out this form and named below, that I have reviewed the evidence supplied and that it meets with the *Requirements for Approved Training Organisations and Approved Trainers* document	☐
I declare that as the person filling out this form and named below, that the Trainer/s named within this form has/have the competencies, skills and abilities to offer the course/s identified within the supplied scope for the Trainer.	☐
I declare that as the person filling out this form and named below on behalf of the organisation, confirm that all Training Material will be used for the purpose intended and all courses will be notified to the HESA Administration.	☐
To the best of my knowledge and belief the information given within this application is correct and I agree that by signing this application form I will follow the *Requirements for Approved Training Organisations and Approved Trainers* document. I understand that if this application is successful and this information is found to be incorrect then my approval status may be withdrawn.	☐
I confirm that as the person filling out this form and named below will ensure that a representative will be made available to attend the annual Approved Training Organisation meeting as specified on the Approved Training Organisation Training Materials portal, and information will be disseminated to the Centres Training Team through documented standardisation meetings	☐
In addition to the above, I declare that as the person filling out this form and named below, that the Trainer/s named within this application has/have the competencies, skills, equipment and abilities to offer the courses named within the Centre Scope submission document which will be held within the online Centre portal.	☐
I understand that the Awarding Body carries out 'desk top' audit reviews of the online HESA Centre Portal information, and I agree to ensure that the available information is up to date and current at all times	☐
A purchase order has been raised for the required sum of monies as specified within the Tariff of Fees — Purchase Order Number:	☐
I agree, on behalf of the applicant, to the above terms and conditions and of those in this document and other associated documents:	☐
I agree, on behalf of the organisation, to the above terms and conditions and of those in this document and other associated documents:	☐

Organisation Contact Manager Signature:	Print Name: # .....
Date:	

Guidance notes.

Procedures/Policies

Health and safety policy - *Meets with the additional requirements of 6.8 for accident reporting*
Equality and Diversity Policy - *Meets with the requirements of 6.16*
Data Protection Act Policy - *Meets with the requirements of 6.23*

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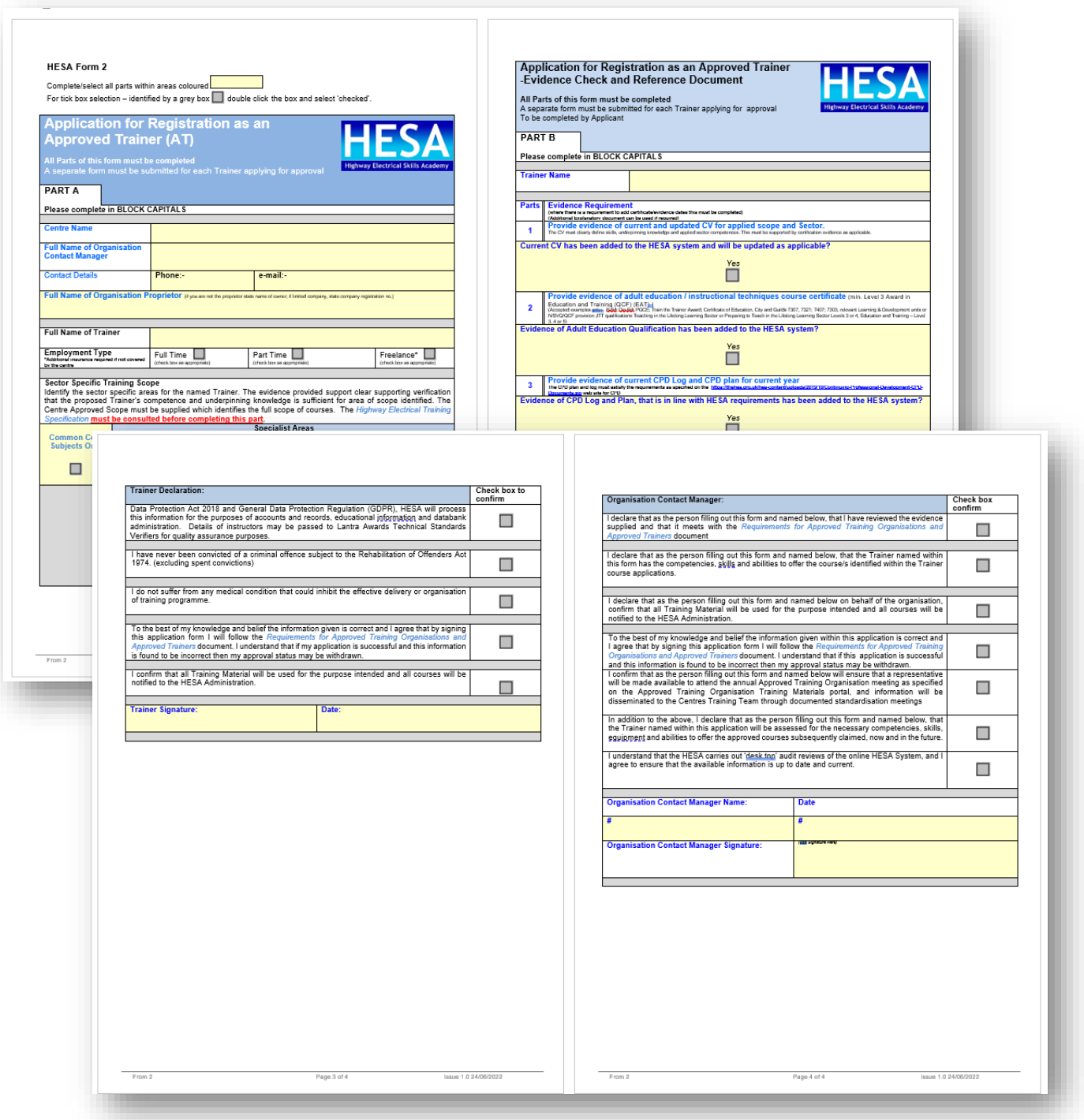
Alcohol and drugs policy - *Meets with the requirements of 6.22*
Appeals procedure - *Meets with the requirements of 6.19*
Complaints Procedure - *Meets with the requirements of 6.20*
Malpractice Policy - *Meets with the requirements of 6.21*
Conflict of Interest Policy/Procedure - *Meets with the requirements of 6.24*
Pre-Requisites Policy/Procedure - *Meets with the requirements of 6.6, 6.33*
Training Centre Process and procedures - *Meets with the requirements of 6.10, and the Centre has defined how it manages all aspects of the training and assessment process as specified within the Training Specification, Clearly identified processes for facilitating the assessment eg. Lessons*

General

The Centre has clearly defined how Learners are reviewed for course suitability - *How are prerequisites confirmed, Meets with the requirements of 6.16*
The Centre has defined how it carries out internal centre verification of training - *Meets with the requirements of 4.7, 4.8 and 6.1.*
Clearly identified how administration of training will be carried out - *Meets with the requirements of 4.7*
Clearly documented centre process for Learner assistance as required by Learners
Clearly documented how the centre ensures compliance with required legislative and British Standard requirements
Clearly identified processes for ensuring equipment which is maintained to a suitable standard for efficient, effective and safe use for training and assessment

From 1a_b Page 4 of 4 Issue 1.0 24082022

HESA Form 2 Application for Registration as an Approved Trainer -Iss1.0 28042022



HESA Form 2

Complete/select all parts within areas coloured

For tick box selection – identified by a grey box ☐ double click the box and select 'checked'.

Application for Registration as an Approved Trainer (AT)

HESA Highway Electrical Skills Academy

All Parts of this form must be completed

A separate form must be submitted for each Trainer applying for approval

PART A

Please complete in BLOCK CAPITALS

Centre Name		
Full Name of Organisation Contact Manager		
Contact Details	Phone:-	e-mail:-
Full Name of Organisation Proprietor (if you are not the proprietor state name of owner; if limited company, state company registration no.)		
Full Name of Trainer		
Employment Type *Additional insurance required if not covered by the centre	Full Time ☐ (check box as appropriate)	Part Time ☐ (check box as appropriate) / Freelance* ☐ (check box as appropriate)

Sector Specific Training Scope

Identify the sector specific areas for the named Trainer. The evidence provided support clear supporting verification that the proposed Trainer's competence and underpinning knowledge is sufficient for area of scope identified. The Centre Approved Scope must be supplied which identifies the full scope of courses. The *Highway Electrical Training Specification* must be consulted before completing this part.

Specialist Areas

Common Core Subjects Or ☐

From 2

Application for Registration as an Approved Trainer -Evidence Check and Reference Document

HESA Highway Electrical Skills Academy

All Parts of this form must be completed

A separate form must be submitted for each Trainer applying for approval

To be completed by Applicant

PART B

Please complete in BLOCK CAPITALS

Trainer Name	

Parts	Evidence Requirement (where there is a requirement to add certificate/evidence dates they must be completed) (Additional explanatory document can be used if required)
1	Provide evidence of current and updated CV for applied scope and Sector. The CV must clearly define skills, underpinning knowledge and applied sector competences. This must be supported by certification evidence as applicable.
	Current CV has been added to the HESA system and will be updated as applicable? Yes ☐
2	Provide evidence of adult education / instructional techniques course certificate (min. Level 3 Award in Education and Training (QCF) (EAT)) (Accepted examples either: C&G 7407, 7502, Train the Trainer Award, Certificate of Education, City and Guilds 7307, 7321, 7407, 7503, relevant Learning & Development units or NVQ/QCF provision JTT qualifications Teaching in the Lifelong Learning Sector or Preparing to Teach in the Lifelong Learning Sector Levels 3 or 4, Education and Training – Level 3, 4 or 5)
	Evidence of Adult Education Qualification has been added to the HESA system? Yes ☐
3	Provide evidence of current CPD Log and CPD plan for current year (the CPD plan and log must satisfy the requirements as specified on the https://thahee.org.uk/thac-content/uploads/2019/10/Continuous-Professional-Development-6-CPD-Requirements.pdf web site for CPD
	Evidence of CPD Log and Plan, that is in line with HESA requirements has been added to the HESA system? Yes ☐

Trainer Declaration:	Check box to confirm
Data Protection Act 2018 and General Data Protection Regulation (GDPR), HESA will process this information for the purposes of accounts and records, educational information and databank administration. Details of instructors may be passed to Lantra Awards Technical Standards Verifiers for quality assurance purposes.	☐
I have never been convicted of a criminal offence subject to the Rehabilitation of Offenders Act 1974. (excluding spent convictions)	☐
I do not suffer from any medical condition that could inhibit the effective delivery or organisation of training programme.	☐
To the best of my knowledge and belief the information given is correct and I agree that by signing this application form I will follow the *Requirements for Approved Training Organisations and Approved Trainers* document. I understand that if my application is successful and this information is found to be incorrect then my approval status may be withdrawn.	☐
I confirm that all Training Material will be used for the purpose intended and all courses will be notified to the HESA Administration.	☐
Trainer Signature:	**Date:**

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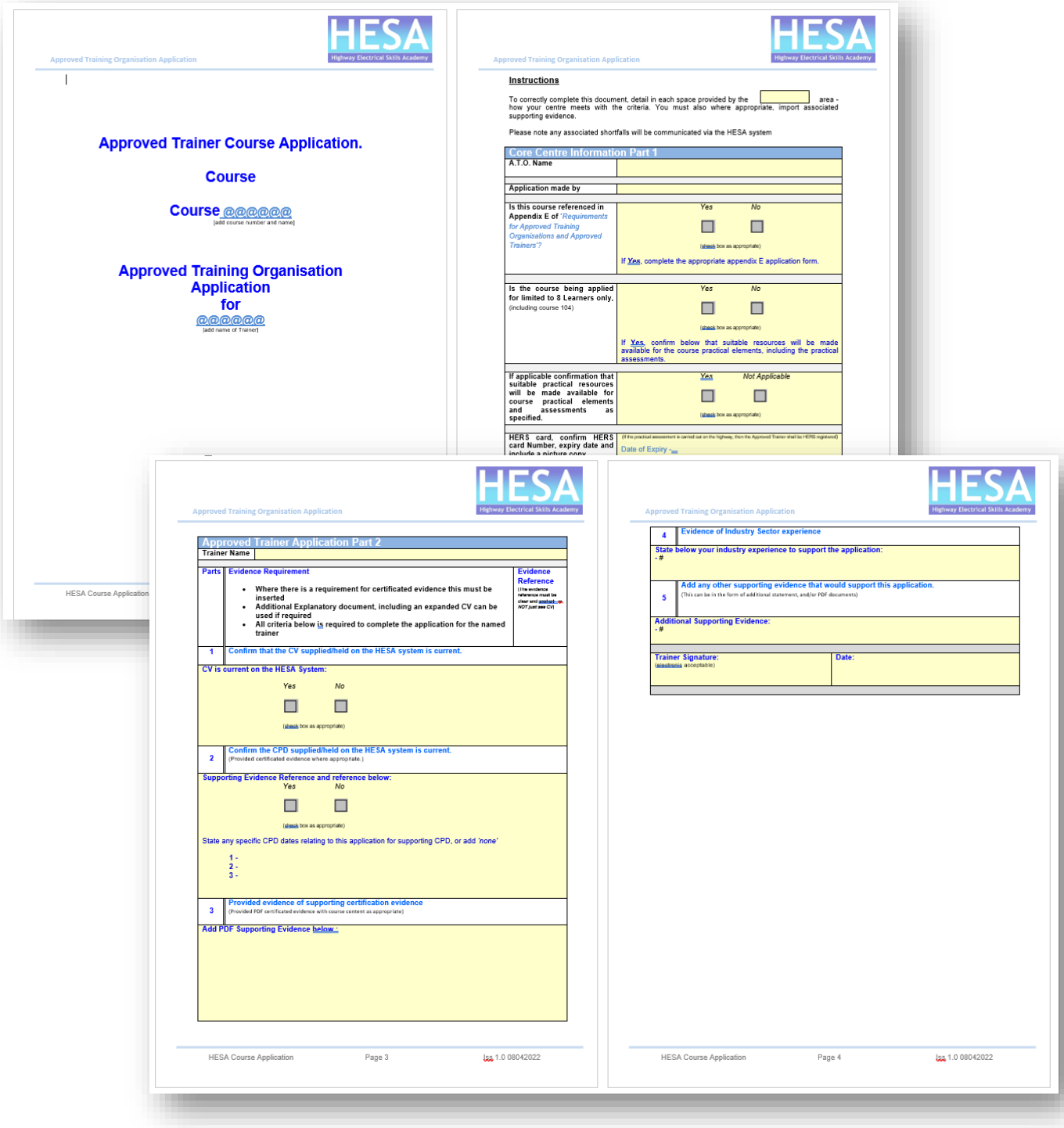
Organisation Contact Manager:	Check box confirm
I declare that as the person filling out this form and named below, that I have reviewed the evidence supplied and that it meets with the *Requirements for Approved Training Organisations and Approved Trainers* document	☐
I declare that as the person filling out this form and named below, that the Trainer named within this form has the competencies, skills and abilities to offer the course/s identified within the Trainer course applications.	☐
I declare that as the person filling out this form and named below on behalf of the organisation, confirm that all Training Material will be used for the purpose intended and all courses will be notified to the HESA Administration.	☐
To the best of my knowledge and belief the information given within this application is correct and I agree that by signing this application form I will follow the *Requirements for Approved Training Organisations and Approved Trainers* document. I understand that if this application is successful and this information is found to be incorrect then my approval status may be withdrawn.	☐
I confirm that as the person filling out this form and named below will ensure that a representative will be made available to attend the annual Approved Training Organisation meeting as specified on the Approved Training Organisation Training Materials portal, and information will be disseminated to the Centres Training Team through documented standardisation meetings	☐
In addition to the above, I declare that as the person filling out this form and named below, that the Trainer named within this application will be assessed for the necessary competencies, skills, equipment and abilities to offer the approved courses subsequently claimed, now and in the future.	☐
I understand that the HESA carries out 'desk top' audit reviews of the online HESA System, and I agree to ensure that the available information is up to date and current.	☐
Organisation Contact Manager Name:	**Date**
#	#
Organisation Contact Manager Signature:	(last signature here)

From 2 Page 4 of 4 Issue 1.0 24/06/2022

HESA Form 3 Trainer Course Application



Approved Training Organisation Application

HESA Highway Electrical Skills Academy

Approved Trainer Course Application.

Course

Course @@@@@@
[add course number and name]

Approved Training Organisation Application for @@@@@@
[add name of Trainer]

HESA Course Application

Approved Training Organisation Application

HESA Highway Electrical Skills Academy

Instructions

To correctly complete this document, detail in each space provided by the [ ] area - how your centre meets with the criteria. You must also where appropriate, import associated supporting evidence.

Please note any associated shortfalls will be communicated via the HESA system

Core Centre Information Part 1	
A.T.O. Name	
Application made by	
Is this course referenced in Appendix E of *'Requirements for Approved Training Organisations and Approved Trainers'?*	Yes ☐ No ☐ (check box as appropriate) If Yes, complete the appropriate appendix E application form.
Is the course being applied for limited to 8 Learners only, (including course 104)	Yes ☐ No ☐ (check box as appropriate) If Yes, confirm below that suitable resources will be made available for the course practical elements, including the practical assessments.
If applicable confirmation that suitable practical resources will be made available for course practical elements and assessments as specified.	Yes ☐ Not Applicable ☐ (check box as appropriate)
HERS card, confirm HERS card Number, expiry date and include a picture copy	(If the practical assessment is carried out on the highway, then the Approved Trainer shall be HERS registered) Date of Expiry - …

Approved Training Organisation Application

HESA Highway Electrical Skills Academy

Approved Trainer Application Part 2

Trainer Name

Parts	Evidence Requirement	Evidence Reference (The evidence reference must be clear and explicit, NOT just see CV)
	• Where there is a requirement for certificated evidence this must be inserted • Additional Explanatory document, including an expanded CV can be used if required • All criteria below is required to complete the application for the named trainer	
1	Confirm that the CV supplied/held on the HESA system is current.	
CV is current on the HESA System: Yes ☐ No ☐ (check box as appropriate)		
2	Confirm the CPD supplied/held on the HESA system is current. (Provided certificated evidence where appropriate.)	
Supporting Evidence Reference and reference below: Yes ☐ No ☐ (check box as appropriate) State any specific CPD dates relating to this application for supporting CPD, or add *'none'* 1 - 2 - 3 -		
3	Provided evidence of supporting certification evidence (Provided PDF certificated evidence with course content as appropriate)	
Add PDF Supporting Evidence below :-		

HESA Course Application Page 3 Iss 1.0 08042022

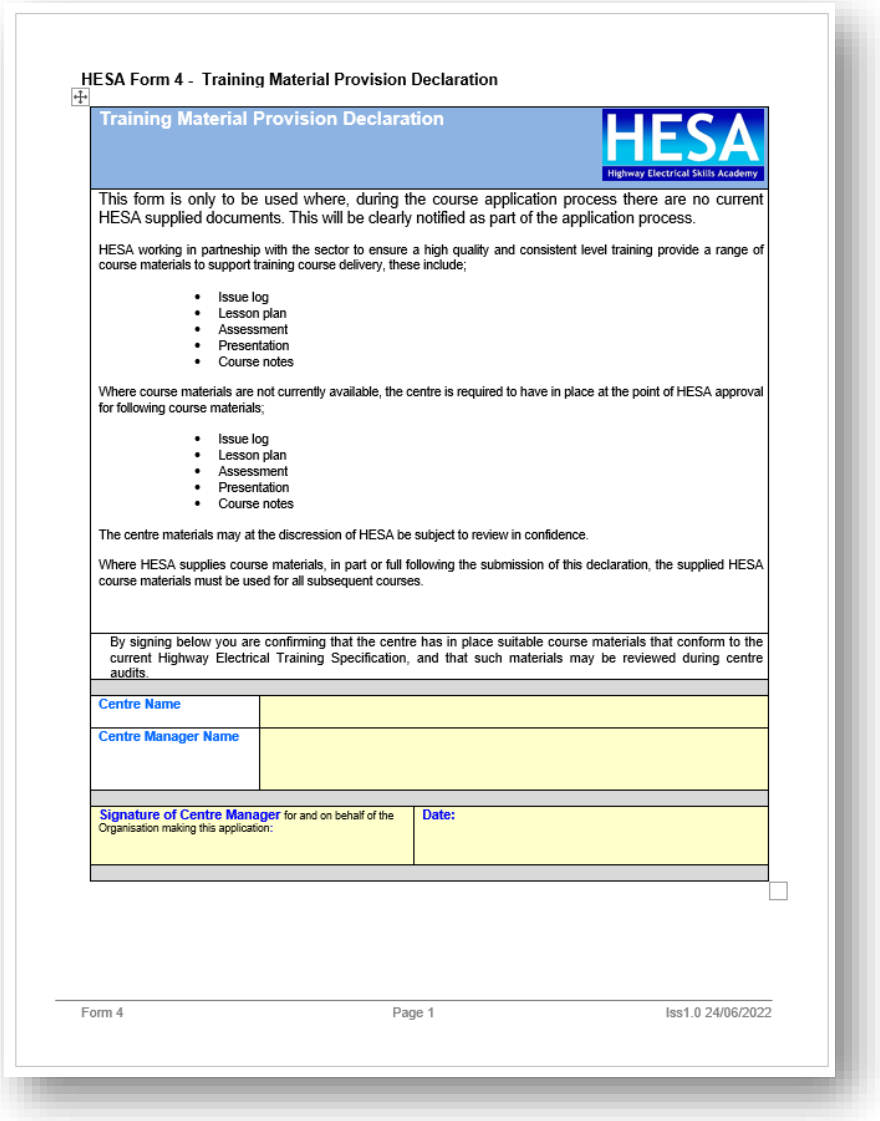
Approved Training Organisation Application

HESA Highway Electrical Skills Academy

4	Evidence of Industry Sector experience
State below your industry experience to support the application: - #	
5	Add any other supporting evidence that would support this application. (This can be in the form of additional statement, and/or PDF documents)
Additional Supporting Evidence: - #	
Trainer Signature: (electronic acceptable)	Date:

HESA Course Application Page 4 Iss 1.0 08042022

HESA Form 4 Training Material Provision Declaration



HESA Form 4 - Training Material Provision Declaration

Training Material Provision Declaration

HESA
Highway Electrical Skills Academy

This form is only to be used where, during the course application process there are no current HESA supplied documents. This will be clearly notified as part of the application process.

HESA working in partneship with the sector to ensure a high quality and consistent level training provide a range of course materials to support training course delivery, these include;

- Issue log
- Lesson plan
- Assessment
- Presentation
- Course notes

Where course materials are not currently available, the centre is required to have in place at the point of HESA approval for following course materials;

- Issue log
- Lesson plan
- Assessment
- Presentation
- Course notes

The centre materials may at the discression of HESA be subject to review in confidence.

Where HESA supplies course materials, in part or full following the submission of this declaration, the supplied HESA course materials must be used for all subsequent courses.

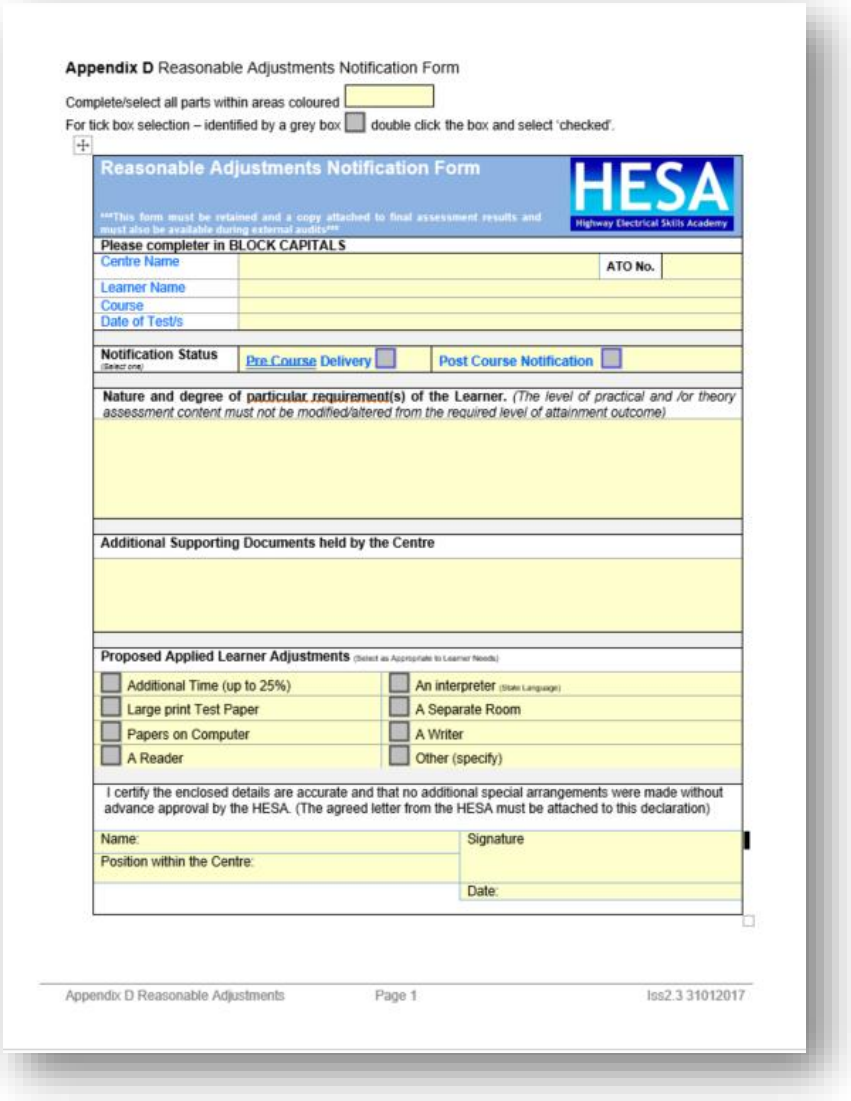
By signing below you are confirming that the centre has in place suitable course materials that conform to the current Highway Electrical Training Specification, and that such materials may be reviewed during centre audits.

Centre Name	
Centre Manager Name	
Signature of Centre Manager for and on behalf of the Organisation making this application:	**Date:**

Form 4 Page 1 Iss1.0 24/06/2022

Appendix D Reasonable Adjustments Notification Form

To be partially completed as part of the application and submitted in 'ms word' electronic form



Appendix D Reasonable Adjustments Notification Form

Complete/select all parts within areas coloured

For tick box selection – identified by a grey box ☐ double click the box and select 'checked'.

Reasonable Adjustments Notification Form

HESA Highway Electrical Skills Academy

This form must be retained and a copy attached to final assessment results and must also be available during external audits

Please completer in BLOCK CAPITALS			
Centre Name		ATO No.	
Learner Name			
Course			
Date of Test/s			

Notification Status (Select one)	Pre Course Delivery ☐	Post Course Notification ☐

Nature and degree of particular requirement(s) of the Learner. *(The level of practical and /or theory assessment content must not be modified/altered from the required level of attainment outcome)*

Additional Supporting Documents held by the Centre

Proposed Applied Learner Adjustments (Select as Appropriate to Learner Needs)

☐ Additional Time (up to 25%)	☐ An interpreter (State Language)
☐ Large print Test Paper	☐ A Separate Room
☐ Papers on Computer	☐ A Writer
☐ A Reader	☐ Other (specify)

I certify the enclosed details are accurate and that no additional special arrangements were made without advance approval by the HESA. (The agreed letter from the HESA must be attached to this declaration)

Name:	Signature
Position within the Centre:	
	Date:

Appendix D Reasonable Adjustments Page 1 Iss2.3 31012017

Appendix E Additional Specific Course Resources and Trainer Competencies

The tables below provide the requirements for approval for each course. Where there are any differences between the requirements in this appendix and those set out in the relevant course evidence application form, the requirements in this Appendix shall take precedence.

Course	**302.1 Temporary Traffic Management excl. Temp. Traffic signals**
	Requirements
Resource	• Photographic evidence of sufficient sets of to scale models for learner practical exercises. • A number of road layouts to cover the common types of temporary traffic management. • *or/ evidence of a sufficient levels of traffic management for setting up appropriate of guarding for onsite set-up - based on worked exercises*
Trainer Requirements	• Evidence of attending the Highway Electrical 12D Train the Trainer course, or current practitioner for Sector 12D for Lantra Awards. • Evidence of underpinning knowledge and experience • Where training takes place on any part of a Highway (*Highway being defined as anything on, under or over which the public have access),* Trainers are required to be HERS registered
Additional Notes	• *Complete course evidence application form* • Each learner must be provided with or in possession of the current Code of Practice for Safety at Street Works and Road Works • Evidence that learners have successfully achieved the required course pre-requisites (including APL)

Course	**302.2 Temporary Traffic Management - Temporary Traffic Signals**
	Requirements
Resource	• Evidence of sufficient full working equipment to meet the requirements for Positive Traffic Control. • Sufficient levels of traffic management for setting up positive traffic control.
Trainer Requirements	• Evidence of attending the Highway Electrical 12D Train the Trainer course, or current practitioner for Sector 12D for Lantra Awards. • Evidence of underpinning knowledge and experience • Where training takes place on any part of a Highway (*Highway being defined as anything on, under or over which the public have access),* Trainers are required to be HERS approved
Additional Notes	• *Complete course evidence application form* • Each learner must be provided with or in possession of the current 'Pink Book'- An introduction to the Use of Portable Vehicular Signals • Evidence that learners have successfully achieved the required course pre-requisites (including APL)

Course	712,713, 714,715,716 Initial and Periodic Electrical Inspection Testing
	Requirements
Resource	• Documented evidence (photographic) of site/simulated testing equipment, which includes the rationale (written) for use within the centre. (Not a PPA Site) • Evidence that the centre has the required level and number of test equipment to meet the testing criteria or evidence of appropriate rationale to meet this need, with supporting calibration records • Trainers to hold the necessary occupational underpinning knowledge of specific equipment, to ensure appropriate terminology and impact and reasoning for tests
Trainer Requirements	• Supporting CPD / certification.
Additional Notes	• *Complete course evidence application form* • Learners will require the current BS7671 wiring regulations and/or guidance notes • Evidence that learners have successfully achieved the required course pre-requisites (including APL).

Course	Emergency First Aid at Work
	Requirements
Resource	• Documented evidence (photographic) of Emergency First Aid at Work support equipment to carry out the required level of practical assessment including: • Manikins (min. 1 per 4 learners) • Bandages • Dressings • Disposable gloves • Antiseptic wipes • Blankets • Face shields • Learner AED Training Aids (1 per manikin)
Trainer / Assessor Requirements	• Supporting CPD / certification from an approved Training Provider. • Trainer must have the following: - Full First Aid at Work qualification
Additional Notes	• A quality management system managed by a qualified Internal Verifier • Confirm and complete the check list as set out by the HSE and available at ChecklistFirstAidTrainers-HEA-NHSS8-HERS-Iss1 0-191213 • Each learner will require a current copy of the First Aid 'Made Easy' manual/reference guide. • *Complete course evidence application form*

Course	202- Avoiding Dangers from Underground Services
	Requirements
Resource	• Documented evidence (photographic) of actual samples of underground services, to include but not limited to the key services- plus examples of detection tape/tiles • Evidence of the centre's provision for sufficient resources, including CAT and Gennys and any contingency arrangements, to enable the practical sessions to take place in an appropriate manner. • It is preferable that assessments are carried out on a highway site. Where practical assessment is not carried out on the highway – i.e. on a simulated site – the site should contain sufficient services (e.g. LV and HV electricity, water, gas, BT / Cable) installed in a manner likely to be encountered on site (e.g. in a footway) and with some visible evidence of services as likely to be encountered on site • A copy of HSG47 (latest edition)
Trainer Requirements	• Supporting certification/CPD as applicable, with internal briefing by a Trainer who has attended the Train the Trainer course. • Where training takes place on any part of a Highway (*Highway being defined as anything on, under or over which the public have access),* Trainers are required to be HERS registered
Additional Notes	• *Complete the course evidence application form* • Learners will require a copy of the required documentation as specified • Evidence that learners have successfully achieved the required course pre-requisites (including APL). • A site 'work pack' for each Learner will be required

Course	210 and 210.1 Working in the vicinity of DNO / IDNO equipment including G39/1
	Requirements
Resource	• Energy Networks Association- Engineering Recommendation G39 Issue 2 2013 • Appropriate PPE/Training hardware and test equipment
Trainer Requirements	1. Evidence of familiarity with the relevant legislation – i.e. The Electricity at work Regulations (as amended), the Electricity Safety Quality and Continuity Regulations (as amended) 2. Evidence of familiarity with BS7671 Wiring Regulations (latest edition) and relevant IET Guidance 3. Evidence of familiarity with the current Engineering Recommendation G39 4. Evidence of recognised electrical qualification and/or appropriate electrical training 5. Evidence of practical experience of supervising and/or working within the Highway Electrical sector and/or distribution network 6. Evidence of attending course type/ Train the Trainer course. Where training takes place on any part of a Highway (*Highway being defined as anything on, under or over which the public have access),* Trainers are required to be HERS approved
Additional Notes	• *Complete course evidence application form* • Evidence that learners have successfully achieved the required course pre-requisites (including APL). • Mandatory certification for Course 214 *(from 31st March 2017) or a defined pre-requisite process to satisfy the requirement for consecutive training* Course 210 **MUST** be delivered in one day (must not be split over two days)

Course	204 – Hand held Tools including Operating Hand Held Drills/Screwdrivers
	Requirements
Resource	• Documented evidence (photographic) range of handheld tools to included but not limited to Screwdrivers/Hexnut drivers, Hammers, Pliers, Knifes/stripping, Spanner / Wrench, Hacksaw, Allen keys, Spirit Level, work benches for practical, or a written statement that clarifies how the requirements for the course will be met • Appropriate PPE • Evidence of Mechanically Sound Hand Held Drill/Screwdriver • Evidence of Mechanically Sound Drill Bits, Step Drill and Holes Saw. • Evidence of materials (metal and plastic) for drilling during demonstration, practicing and for such activities as required for the practical assessment tasks • Copy of centre joining instructions for course to support the centres methodology for course success, including how the centre will ensure the correct and appropriate legislative and HSE guidance for PUWER, COSHH, Noise, HAV and PPE, and how the centre will ensure all Learners are protected from harm – as far as reasonably practicable
Trainer Requirements	• Evidence of recognised qualification and/or training and /or documented evidence to support the Trainers underpinning knowledge and competence for the use of Handheld Drill/Screwdrivers covering battery and 110v powered units Where training takes place on any part of a Highway (*Highway being defined as anything on, under or over which the public have access),* Trainers are required to be HERS registered
Additional Notes	• *Complete course evidence application form* • Evidence that learners have successfully achieved the required course pre-requisites (including APL).

Course	204.1 – Petrol Driven Cut-Off Saws and Abrasive Wheels
	Requirements
Resource	• Documented evidence (photographic) of Petrol Driven Cut-Off Saw, range of abrasive wheels, dust suppression equipment, fuel mixing container and approved fuel container) or a written statement that clarifies how the requirements for the course will be met. • Evidence of materials, metal and stone, including associated discs for demonstration, practicing and for such activities as required for the practical assessment tasks • Evidence of ensuring Learners have the correct level of PPE/RPE and a statement to clarify how the centre will ensure Learners will be protected
Trainer Requirements	• Evidence of recognised qualification and/or training and /or documented evidence to support the Trainers underpinning knowledge and competence for the use of Petrol driven cut-off saws and abrasive wheels. • Where training takes place on any part of a Highway (*Highway being defined as anything on, under or over which the public have access),* Trainers are required to be HERS registered
Additional Notes	• *Complete course evidence application form* • Evidence that learners have successfully achieved the required course pre-requisites (including APL).

Course	204.1 – Reciprocating Saws
	Requirements
Resource	• Documented evidence (photographic) of Reciprocating Saw/s, including clamp range of suitable blades or a written statement that clarifies how the requirements for the course will be met to ensure learner full engagement. • Evidence of materials, for cutting as required for the practical elements of the course and the practical assessments. • Evidence of ensuring Learners have the correct level of PPE/RPE and a statement to clarify how the centre will ensure Learners will be protected.
Trainer Requirements	• Evidence of recognised qualification and/or training and /or documented evidence to support the Trainers underpinning knowledge and competence for the use of Reciprocating saws. • Where training takes place on any part of a Highway (*Highway being defined as anything on, under or over which the public have access),* Trainers are required to be HERS registered.
Additional Notes	• *Complete course evidence application form* • Evidence that learners have successfully achieved the required course pre-requisites (including APL).

Course	204.1 – Roadside Breaker
	Requirements
Resource	• Documented evidence (photographic) of Roadside Breaker including tool bits or a written statement that clarifies how the requirements for the course will be met to ensure learner full engagement. • Evidence of the practical environment for the practical elements of the course and the practical assessments. • Evidence of ensuring Learners have the correct level of PPE/RPE and a statement to clarify how the centre will ensure Learners will be protected.
Trainer Requirements	• Evidence of recognised qualification and/or training and /or documented evidence to support the Trainers underpinning knowledge and competence for the use of Roadside Breakers. • Where training takes place on any part of a Highway (*Highway being defined as anything on, under or over which the public have access),* Trainers are required to be HERS registered.
Additional Notes	• *Complete course evidence application form* • Evidence that learners have successfully achieved the required course pre-requisites (including APL).

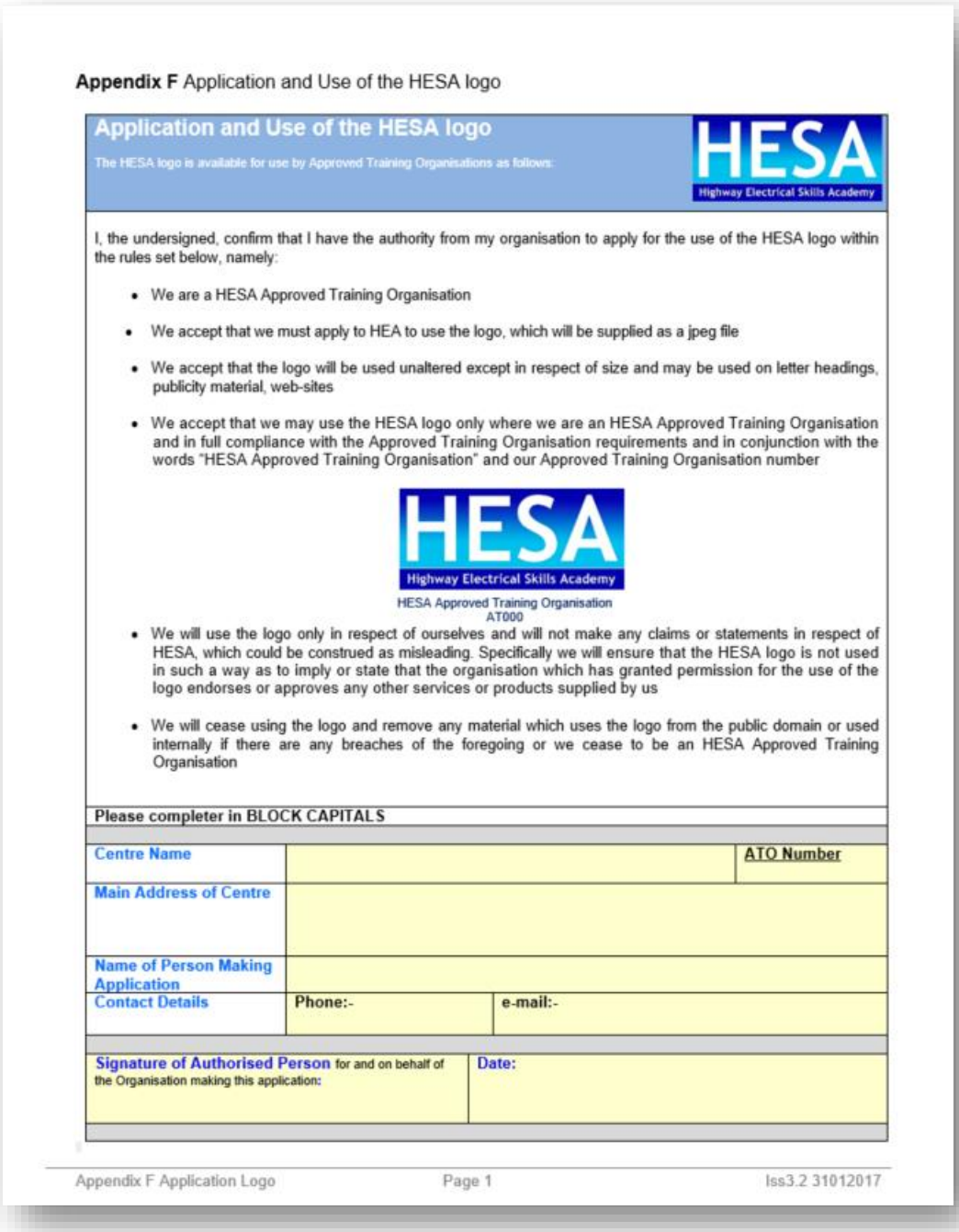
Course	214 – Safe Isolation Procedures ***(From 31st March 2017)***
	Requirements
Resource	• Documented evidence (photographic) range of suitable demonstration and assessment equipment, including notification and locking devices for secure isolation. • Appropriate test equipment for testing isolation •
Trainer Requirements	• Evidence of recognised qualification and/or training and /or documented evidence to support the Trainers underpinning knowledge and competence for safe isolation. Where training takes place on any part of a Highway (*Highway being defined as anything on, under or over which the public have access),* Trainers are required to be HERS registered
Additional Notes	• *Complete course evidence application form* • Evidence that learners have successfully achieved the required course pre-requisites (including APL).

Course	**717 - Limited Inspection and Testing for the Addition or Alteration to an Installation and / or Periodic Inspection and Testing**
	Requirements
Resource	• Documented evidence (photographic) of site/simulated testing equipment, which includes the rationale (written) for use within the centre. (Not a PPA Site) • Evidence that the centre has the required level and numbers of test equipment to meet the testing criteria or evidence of appropriate rationale to meet this need, with supporting calibration records • Trainers to hold the necessary occupational underpinning knowledge of specific equipment, to ensure appropriate terminology and impact and reasoning for tests • Cables for the testing of insulation and continuity as a group exercise
Trainer Requirements	• Supporting CPD / certification as applicable.
Additional Notes	• *Complete course evidence application form* •

Course	**720 Electric Vehicle Charging Installation, Inspection & Testing**
	Requirements
Resource	• Trainers to hold the necessary occupational underpinning knowledge of specific equipment, to ensure appropriate terminology and impact and reasoning for tests. • Current IET Wiring Regulations and IET Code of Practice for Electric Vehicle Charging Equipment Installation
Trainer Requirements	• Supporting CPD / Training certification to demonstrate occupational learning within the scope of course delivery.
Additional Notes	• *Complete course evidence application form*

Appendix F Application and use of the HESA LOGO

To be partially completed as part of the application and submitted in 'ms word' electronic form



Appendix F Application and Use of the HESA logo

Application and Use of the HESA logo

The HESA logo is available for use by Approved Training Organisations as follows:

HESA
Highway Electrical Skills Academy

I, the undersigned, confirm that I have the authority from my organisation to apply for the use of the HESA logo within the rules set below, namely:

- We are a HESA Approved Training Organisation
- We accept that we must apply to HEA to use the logo, which will be supplied as a jpeg file
- We accept that the logo will be used unaltered except in respect of size and may be used on letter headings, publicity material, web-sites
- We accept that we may use the HESA logo only where we are an HESA Approved Training Organisation and in full compliance with the Approved Training Organisation requirements and in conjunction with the words "HESA Approved Training Organisation" and our Approved Training Organisation number

HESA
Highway Electrical Skills Academy

HESA Approved Training Organisation
AT000

- We will use the logo only in respect of ourselves and will not make any claims or statements in respect of HESA, which could be construed as misleading. Specifically we will ensure that the HESA logo is not used in such a way as to imply or state that the organisation which has granted permission for the use of the logo endorses or approves any other services or products supplied by us
- We will cease using the logo and remove any material which uses the logo from the public domain or used internally if there are any breaches of the foregoing or we cease to be an HESA Approved Training Organisation

Please completer in BLOCK CAPITALS

Centre Name		ATO Number
Main Address of Centre		
Name of Person Making Application		
Contact Details	Phone:-	e-mail:-
Signature of Authorised Person for and on behalf of the Organisation making this application:	**Date:**	

Appendix F Application Logo Page 1 Iss3.2 31012017

Appendix G Traffic of Sanction - Non-Conformance

Tariff of Sanctions

Non-Compliance issue		Sanction	Rationale	Further guidance
1.1	Centre's aims, policies and delivery practices and responsibilities of personnel are not clear or well understood by delivery team	Level 1 - Entry into Action Plan	Non-Compliance with centre approval criteria but no threat to the integrity of delivery decisions	
1.2	Quality assurance procedures and activities not documented			
1.3	Communication within the delivery team and with the awarding organisation is ineffective			
*1.4	Equipment and accommodation do not comply with health & safety acts			
1.5	Insufficient qualified delivery staff			
1.6	Delivery staff do not have adequate development plan			
1.7	Learners are not aware of their rights and responsibilities, e.g.. No complaints or appeals procedure for learners			
1.8	There is inadequate delivery planning with learners			
1.9	Queries are not resolved or recorded			
1.10	Range of delivery methods is insufficient to encourage access			
1.11	Changes to personnel of the delivery and quality assurance team are not notified to the awarding organisation			
1.12	Unit certification is not made available to learners			
1.13	There is inadequate monitoring or review of procedures			
2.1	Delivery staff have insufficient time, resources or authority to perform their role	Level 2 - Removal of Direct claims status and/or additional chargeable monitoring activity	Close scrutiny of the integrity of decisions required	
~~2.2~~	~~Decisions of unqualified assessors have not been countersigned by qualified assessor~~			
2.3	Assessment decisions are not consistent			
~~2.4~~	~~Insufficient qualified internal verifiers~~			
~~2.5~~	~~Decisions of unqualified internal verifier have not been countersigned by qualified internal verifier~~			
2.6	Records are insufficient to allow audit of delivery			
2.7	Previously agreed corrective measures relating to level 1 non-compliance are not implemented			
3A.1	Delivery process disadvantages learners	Level 3A - Suspension of registration	Threat to learners	Include this level or above in Highlight Report to Sector Scheme committee
3A.2	Assessment decisions unfair			
~~3B.1~~	~~No qualified internal verifier~~	Level 3B - Suspension of certification	Loss of integrity of assessment or delivery decisions - danger of invalid claims for certification	
3B.2	Delivery does not meet national standards			
3B.3	The centre fails to provide access to requested records, information, learners and staff			

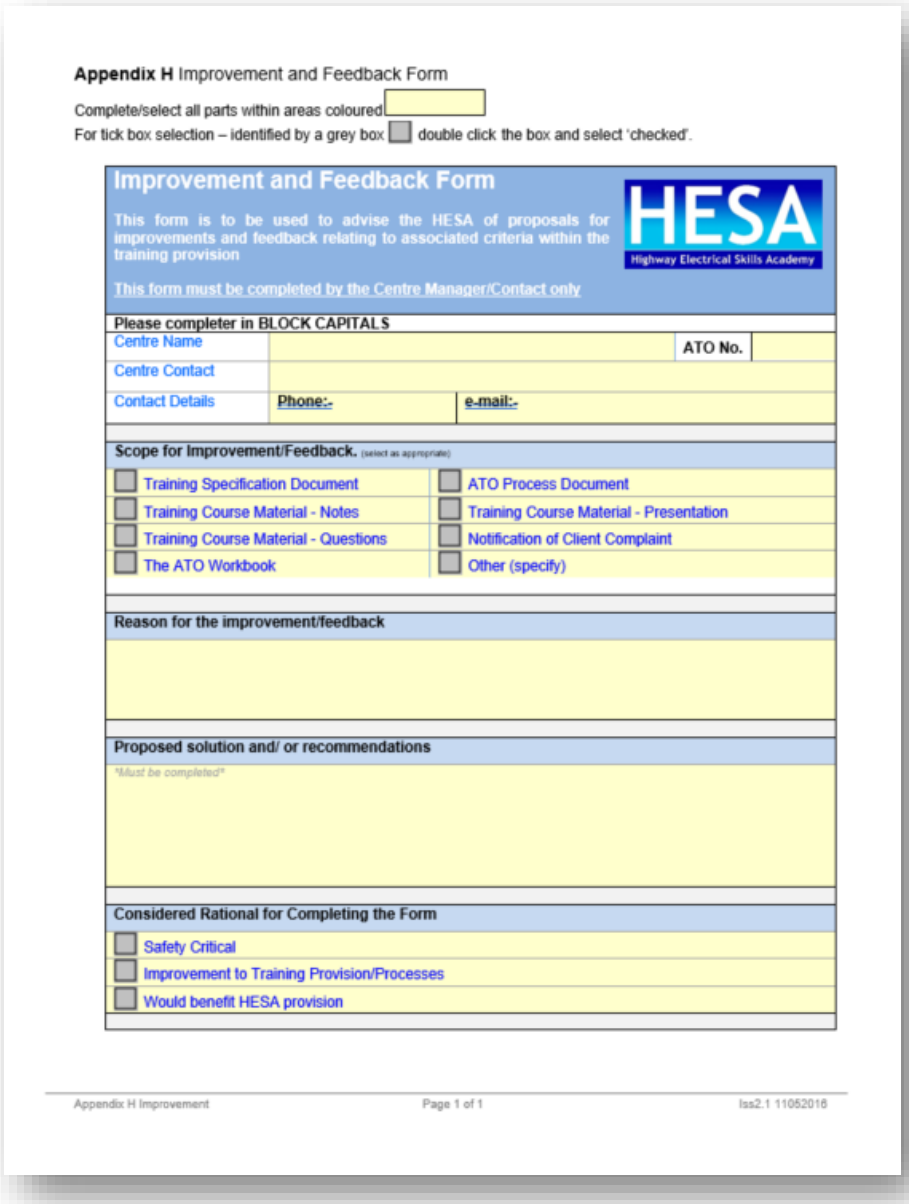
3B.4	Assessed evidence is not is the authentic work of learners			
3B.5	Records of delivery show serious anomalies			
3B.6	Certification claims made before all the requirements of delivery are satisfied			
3B.7	Previously agreed corrective measures relating to level 2 non-compliance are not implemented			
4.1	Significant faults in the management and quality assurance of the programme which result in on-going failure to meet the core requirements for the conduct of assessment or delivery	Level 4 - Withdrawal of centre approval for specific provision	Irretrievable breakdown in management and quality assurance of specific provision	Notify Ofqual. All reasonable steps must be undertaken to protect the interests of learners.
4.2	Previously agreed corrective measures relating to a level 3 non-compliance have not been implemented			
*4.3	Safety Critical non-compliance issue			
5.1	Significant faults in the management and quality assurance of all programmes	Level 5 - Withdrawal of centre approval for all provision	Irretrievable breakdown in management and quality	Notify Ofqual. All reasonable steps must be undertaken to protect the interests of learners.
5.2	Previously agreed corrective measures relating to a level 4 non-compliance have not been implemented			

* Where a non-compliance issue is safety critical and considered a threat to Health and Safety this must be immediately escalated to a level 4 non-compliance

Outstanding actions after a six-month period will be automatically referred to NHSS 8 Standards and Training sub-committee for further action. This is likely to include suspension and removal from the HESA web site, pending confirmation of completed action, possible re-application, and automatic follow-up audit.

Appendix H Improvement and Feedback Form

This form must be used for all Improvement requests or feedback to the HESA. Only forms correctly completed by the named Centre Manager or co-ordinator will be accepted and processed.



Appendix H Improvement and Feedback Form

Complete/select all parts within areas coloured

For tick box selection – identified by a grey box ☐ double click the box and select 'checked'.

Improvement and Feedback Form

HESA
Highway Electrical Skills Academy

This form is to be used to advise the HESA of proposals for improvements and feedback relating to associated criteria within the training provision

This form must be completed by the Centre Manager/Contact only

Please completer in BLOCK CAPITALS			
Centre Name		ATO No.	
Centre Contact			
Contact Details	Phone:-	e-mail:-	

Scope for Improvement/Feedback. (select as appropriate)

☐ Training Specification Document	☐ ATO Process Document
☐ Training Course Material - Notes	☐ Training Course Material - Presentation
☐ Training Course Material - Questions	☐ Notification of Client Complaint
☐ The ATO Workbook	☐ Other (specify)

Reason for the improvement/feedback

Proposed solution and/ or recommendations

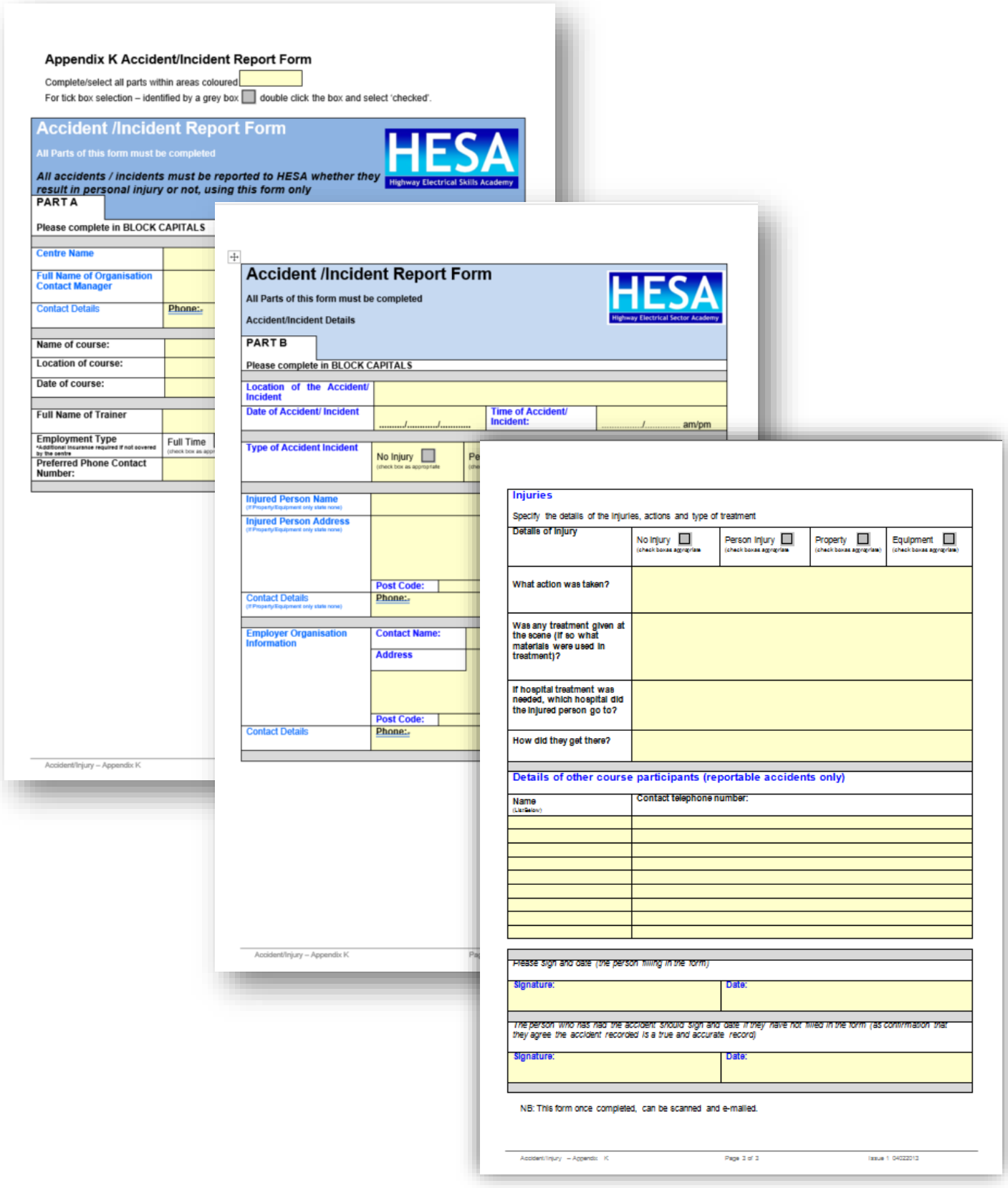
Must be completed

Considered Rational for Completing the Form

- ☐ Safety Critical
- ☐ Improvement to Training Provision/Processes
- ☐ Would benefit HESA provision

Appendix H Improvement Page 1 of 1 Iss2.1 11052016

Appendix K Accident/Incident Reporting



Appendix K Accident/Incident Report Form

Complete/select all parts within areas coloured

For tick box selection – identified by a grey box ☐ double click the box and select 'checked'.

Accident /Incident Report Form

All Parts of this form must be completed

All accidents / incidents must be reported to HESA whether they result in personal injury or not, using this form only

HESA Highway Electrical Skills Academy

PART A

Please complete in BLOCK CAPITALS

Centre Name	
Full Name of Organisation Contact Manager	
Contact Details	Phone:.
Name of course:	
Location of course:	
Date of course:	
Full Name of Trainer	
Employment Type *Additional insurance required if not covered by the centre	Full Time
Preferred Phone Contact Number:	

Accident/Injury – Appendix K

Accident /Incident Report Form

All Parts of this form must be completed

Accident/Incident Details

HESA Highway Electrical Sector Academy

PART B

Please complete in BLOCK CAPITALS

Location of the Accident/ Incident			
Date of Accident/ Incident	...../...../.....	Time of Accident/ Incident:	...../..... am/pm
Type of Accident Incident	No Injury ☐ (check box as appropriate)	Pe	
Injured Person Name (If Property/Equipment only state none)			
Injured Person Address (If Property/Equipment only state none)	Post Code:		
Contact Details (If Property/Equipment only state none)	Phone:.		
Employer Organisation Information	Contact Name:		
	Address		
	Post Code:		
Contact Details	Phone:.		

Accident/Injury – Appendix K

Injuries

Specify the details of the injuries, actions and type of treatment

Details of Injury	No Injury ☐ (check boxes appropriate)	Person Injury ☐ (check boxes appropriate)	Property ☐ (check boxes appropriate)	Equipment ☐ (check boxes appropriate)
What action was taken?				
Was any treatment given at the scene (If so what materials were used in treatment)?				
If hospital treatment was needed, which hospital did the injured person go to?				
How did they get there?				

Details of other course participants (reportable accidents only)

Name (List below)	Contact telephone number:

Please sign and date (the person filling in the form)

Signature:	Date:

The person who has had the accident should sign and date if they have not filled in the form (as confirmation that they agree the accident recorded is a true and accurate record)

Signature:	Date:

NB: This form once completed, can be scanned and e-mailed.

Accident/Injury – Appendix K Page 3 of 3 Issue 1 04022013

Appendix L

Issue Statement

Issue Date	Details
Issue 6 Jun 2009	Changes to requirements for First Aid for Approved Trainers to remove conflicting information within the document and recognise the forthcoming changes to First Aid Training from the HSE
Issue 7 100609	Clarification to Approved Training Organisation and Approved Trainer requirements is seeking to deliver 302.1 and / or 302.2
Issue 7 Sept 2010	Changes to reflect the Sector Competency Based Qualifications Section 4.2 additional roles to meet current legislation and Awarding Body criteria 5.15 additional note to clarify centres responsibility for vulnerable and young learners 5.40 Student Records-clarification of types of evidence and method of storage 5,42 Summary clarification of trainer summary Section 9 added (first Aid approved Trainers process) Section 10 added Forms 6,7,and 8 updated to reflect forms found on the ATO user workbook Appendix D added-Reasonable Adjustments Notification Appendix E added- Course Specific Resources Added centre evidence criteria to form 1 Updated Form 3-Approved Trainer Check list Added updated form 9
Issue 8 May 2011	App f – HESA logo application added Page 9 updated clarification for internal verification Page 10 updated to ensure level of training audits are proportionate to size of organisation Page 12, 5.6 Clarification for use of provided training materials Page 22 Update ATO First Aid Process Flow Diagram to reflect current process Page 29 Updated fees page to reflect costs at 2009 level apart from the fixed audit costs per visit Page 13 Update renewal advance notices for those on 60-day payment to ensure requirements are met. Update Ethnic codes Appendix G Category of non-conformance Changes to form 2 for sector specific areas of training
Issue 9 Oct 2011	Page 7 E-portal Centre updates and currency Page 27-28 Workbook naming for centres running the same course on the same day with different trainers. Page 53 Requirements for MEWP course delivery Page 47 updated Form 9 Independent Observation Audit Report on Training Events Page 53 **Form 10** for centre process audit included. Page 21 Delivery of Combination Courses- set criteria for implementation. Appendix D updated to include Post or Pre notification HEA change to HESA throughout Page 24 Using the workbook overview updated Further Clarification for Centre Portal information accuracy 5.33 – Pre-requisites clarified
Issue 10 10-May 2012	Update to the Ethnic code usage Page 66 Clarification for delivery of Course 202-Avioding Dangers From underground Services. Appendix J added- The Random Generator Process Category 1 updated to include malpractice and misrepresentation- to note full Awarding Body set of sanctions to be added before the next Training and Standards group meeting

	Appendix E – 302.1 allow the use of full size guarding for practical exercises Updated Appendix A Appendix B moved to a separate Document **Advance Notice** – ATO document will be updated to reflect Awarding Body Tariff of Sanctions
Issue 12 5 Feb 2013	Full review and update of document, incorporating updates to forms 1,2, 4 and 5 Form 3 removed and incorporated into for 2 All Appendices updated Incorporated Appendix K Accident and reporting form Tariff of sanctions added
Issue 12.1 6th Mar 2013	5.8 updated 5.9 updated Form 3 – Approved Trainer Additional Scope Request added. 5.15 Equality and Diversity – modified to incorporate Updated Lantra Awards Policy V9 for Children and Young people course suitability
Issue 12.2 22nd Mar 2013	5.15 Equality and Diversity – modified to incorporate Updated Lantra Awards Policy V9 for Children and Young people course suitability
Issue 12.3 3rd May 2013	Additional to Appendix E Requirements for course 210 and 210.1 (G39) Trainer Approval
Issue 12.4 14th Feb 2014	**Section 1** Part 1 Background and Training of non-registered NHSS8/HERS learners Part 3 Approval Process Introduction addition to introduction, including the misuse of approved training material **Section 12** Updates to Appendix E for Emergency First Aid and 202 Avoidance of underground services 5.31 Please see updated Tariff of fees on thee HERS downloads sections Training Centre and Trainer Application Documents
Issue 12.5 15th July 2014	**Update to Index** 5.22 Title change – Substance Misuse added – Alcohol and Drug Policy removed **Section 4** Part 4.4 Tariff of qualification removed (IFL closing down) **Section 5** Part 5.7 Clarification for re-registration added – including timeframe Part 5.20 Complaints updated Part 5.21 Malpractice Policy additional clarification included – immediate notification of suspected malpractice and/or maladministration Part 5.22 Substance Misuse requirements added **Section 12** Additional clarification for forms and supporting evidence.

Issue 12.6 25th June 2015	Update to minimum requirement PTLLS – now Level 3 Education and Training (EAT) Update to section 9 - Delivery of Combination Courses; • Clarification course assessment • Clarification where a course has been previously certificated.
Issue 12.7 24th Nov 2105	Highway Electrical Sector Academy is now known as Highway Electrical Skills Academy Introduction – clarification on approved training to meet the requirements of the sector requirements

	Section 4 Part 4.6 – Learners are fit and healthy to take part in practical exercises and assessments as required by the assessment criteria **Section 5** Part 5.5 - Addition of Conflict of Interest Policy/procedure Part 5.6 – During formal assessment – following added – '*where a Learner is unable to take part or complete the practical work this will be noted as 'not achieved'* Part 5.6 - Reference to the Training Specification course durations Part 5.16 – Reasonable adjustments are not to be used to exclude from the physical practical assessment Part 5.24 – Conflict of Interest Policy requirements added – centres to provide a policy to reflect the requirements Part 5.33 - Further clarification for Pre-Requisite requirements, including pre-requites requirements for short notification of course delivery **Section 9** Part 9 - Further clarification for combination course delivery **Section 11** Part 11 – Short notice notification of course delivery and required process Part 11.1 – update to naming convention **Appendix Documents** Forms - Reasonable Adjustment iss 2.1 form Updated – to be downloaded separately Appendix E – course 712 to 716 resource criteria updated
Issue 12.8 07-APR-2016	• Update to Training of non-Registered NHSS8/HERS Learners criteria to clarify direct local authority workforce employees. • To advise that the TRAM updates are now identified within the TRAM Issue log, section 11 to be revised for next issue.
Issue 12.9 21-July-2016	• 5.16 and 5.33 Clarification for Centre requirements to ensure Learner Pre-requisites have been met either by defined course achievement or by experience, except where explicitly specified. • 5.23 ICO further clarification. • Appendix E Course 204 criteria added.
Issue 12.10 5th Oct 2016	• 5.33 process for late notification include completion of Appendix L form • 5.40 – clarification for providers who cease trading • Appendix L- late notification form added – available from downloads **Section 10** • ATO First Aid Training Process updated
Issue 12.11 31st Jan 2017	• Update to appendix E- First Aid at Work requirements. • Centre and Trainer Professional Conduct • Appendix E Course 214 updates with practical assessment only - from 31st March 2107 • Appendix E Course 210 – Mandatory pre-requisite for course 214 required – from 31st March 2017 • Form 1a updated to - Form 1a HESA Application for Registration as an Approved Training Organisation iss 2.2 31012017 • Form 1b updated to - Form 1b HESA Initial Evidence Application Report iss 4.4 31012017 • Form 2 updated to - Form 2 Application for Registration as an Approved Trainer - Iss3.3 31012017

	• Form 3 updated to - Form 3 Approved Trainer Additional Scope Request -Iss2.2 13012017 • Form 4 updated to - Form 4 Approved Trainer to an Additional Approved Training Organisation -Iss2.3 31012017 • Form 5 updated to - Form 5 Application for Re-registration Iss3.5 310117 • Appendix D updated to Appendix D - Reasonable Adjustments Notification Form_iss 2.3 310117 • Appendix F updated to - Appendix F - Application and use of the HESA LOGO iss3.2 31012017
Issue 12.12 27th July 2017	• Appendix L - Late Notification Request has been updated to Iss1.1 0405017 • Update to scope for Apprenticeship training delivery • Section 11 Changes to course notification for, Short Courses and KOT courses// including TRAM naming for short courses and KOT • Appendix E clarification for training/assessment that takes place on the Highway for HERS registration of the Trainer and/or organisation
Issue 12.13 9th Jan 2018	• Minor updates throughout • Appendix E criteria for course 204.1
Issue 12.14 27112018	• 717 - Fundamental Inspection and Testing for the Addition or Alteration to an Installation appendix E inclusion • Recommendation for all HESA Trainers CPD development with The Level 3 Certificate in Assessing Vocational Achievement (CAVA) qualification – ensuring best practice at all times
Issue 12.15 07052019	• 5.16 documentation records duration holding changed to 5 years • 5.15 – Equality and Diversity updates to reflect GDPR privacy notice updates. • Clauses 5.6, 5.16 and 5.33 have been updated to cover consecutive course delivery, stipulating the requirements for centre to follow and changes to current processes and procedures. • Clause 5.16 updated to cover the completion of course lesson plans that reflects the actual course delivery • Appendix E updated – course 210 for full course one day delivery
Issue 12.16 21122020	• Section 12 added for remote Training • Old Section 12 renamed to section 13 • Section 1 clarification on use of course materials - HESA Course Materials and Associated Documents • Clarifications throughout. • Requirements for Centre Management clarified • Specific restrictions for Freelance Trainers clarified. • Form 12 added for Remote Delivery
Issue 12.17	• Section 1 – Non-registered HERS Organisations and Learner notifications - **Training of non-Registered NHSS8/HERS Learners** • Appendix E for 204.1 Rip Saw and Roadside breaker • Updated Section 12 Remote Learning for clarity on permitted courses
Issue 14.00	********* Change for Upgraded HESA System Use Only ********* • Section 11 – The ATO Course Notification and reporting – TRAM removed • Section 3 Approvals updated • Section 5 updated throughout. • Section 6 updated throughout • Section 7 updated throughout • Section 8 updated throughout • Section 9 updated throughout • Section 10 updated throughout • Section 11 removed • Section 11 User Guides- Using the HESA system • Appendix A - fully updated • Updated application forms added

Issue 15 31072023	• Historical document control moved to appendix L • Update clause 4.8 Staff Training and Development • Update clause 5.34 - Planning • Updated clause 5.35 Training Course delivery • Updated clause 5.39 for courses 712, 713, 714, 715 and 716 • Updated section 12 – Remote Learning • 5.32 Approved Trainer Requirements • Updated Appendix E

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