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Approved Training Centre/ Provider Guidance Manual

A resource to assist Centre/Provider Co-ordinators, Internal Quality Assurance Assessors and Course Administrators to understand the requirements of the RLSS UK/IQL UK Approved Training Centre / Provider scheme.

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Section 1 - Introduction to the Guidance Manual

Introduction

This handbook provides information for Approved Training Centre/Provider Co-ordinators (ATCC/ATPC) and Internal Quality Assurance Assessors (IQAA) to understand the requirements for operating as an IQL UK Approved Training Centre/Provider (ATC/P).

This document is reviewed annually in response to changes in practice, policy, legislation, customer feedback, regulatory requirements or other changes made to the way IQL UK develop and deliver their qualifications. Any amendments will be communicated to relevant parties via online and direct updates

This handbook has been designed to assist IQL UK meet Regulatory requirements set by our regulators, [Ofqual](#), [Qualifications Wales](#) (QW) and [CCEA](#) (Northern Ireland).

Organisation Introduction

Royal Life Saving Society UK (RLSS UK) are the charity that enhances communities, so everyone can enjoy being in, on and around water safely, because every life is worth saving. Our work is vital in every city, town, community and household.

RLSS UK has a proud history of helping to save the number of lives lost to drowning. Our mission is to be the leader in lifesaving and lifeguarding in the UK and Republic of Ireland. Sharing, our expertise and knowledge with as many people as possible, giving everyone the potential to save lives and enjoy water, safely.

Here, at the RLSS UK, we have an impressive heritage. We have built up years of experience and, we are honoured, to boast a strong force of loyal members and volunteers who work with us to promote water safety and educate in life saving skills. Our roots were established back in 1891 as the Life Saving Society, and, in the early 1900s, with support from the Royal Family, we were granted permission to adopt the 'Royal' to our title – a badge that we are still immensely proud of today.

We have used our extensive, world-leading knowledge of water safety and training to develop a comprehensive range of vocational qualifications and a series of awards and education programmes which all have the ultimate aim of preventing drowning and stopping unnecessary loss of life. Our portfolio includes the National Pool Lifeguard Qualification (NPLQ) - the premier lifeguard training programme.

RLSS UK under the awarding organisation IQL UK launched the National Pool Lifeguard Training Programme in 1989. This programme has been subject to a number of reviews over the years to ensure it continually meets the needs of the leisure industry and is more widely known as the National Pool Lifeguard Qualification (NPLQ).

The NPLQ has been incorporated into the National Qualifications Framework and is officially registered as the IQL Level 2 Award in Pool Lifeguarding, Intervention, Supervision and Rescue.

IQL UK is the awarding organisation for regulated vocational qualifications and is responsible for the management of the following:

- National Pool Lifeguard Qualification (NPLQ).
- National Pool Supervisor Qualifications (NPSQ).
- First Aid at Work (FAW).
- Emergency First Aid at Work (EFAW).
- Paediatric First Aid (PFA).
- Emergency Paediatric First Aid (EPFA).
- Automated External Defibrillation (AED).
- Basic Life Support and Management of Anaphylaxis.
- Basic Life Support for Adults, Children and Infants (Including Drowning).

IQL UK manages the Approved Training Centre (ATC) and Approved Training Provider (ATP) schemes which are developed to provide high standards and consistency in training delivery and course assessment of the regulated qualifications.

Common terms used in this document

The following commonly occurring acronyms will be used in this document. A further glossary of terms is provided at the end of this document.

ATC/P	Approved Training Centre/Provider
ATCC/PC	Approved Training Provider Coordinator/Approved Training Provided Coordinator
PSM	Principal Standards Manager
EQAV	External Quality Assurance Visit
IQA	Internal Quality Assurance This reference can mean the process of quality assurance and the person responsible for carrying out internal quality assurance.
TA	Trainer Assessors The collective term will be used throughout with the exception where separate training and assessment practice must be followed (e.g., for NPLQ)
IV	Internal Verifier
IQAA	Internal Quality Assurance Assessor

The Approved Training Centre / Provider (ATC/P) Scheme

ATC status is assigned to those organisations who operate out of their own venue and can deliver regulated qualifications. e.g., Leisure Centres, Health Clubs, Schools who have a pool(s) and/or the required facilities to provide training and assessments as per the requirements of the qualification being delivered/assessed. An ATC may comprise of more than one venue which is referred to as a child site.

ATP status is available for those individuals/ organisations wishing to set up their own facility but do not have a specific venue or pool but otherwise operate in the same way as an ATC.

ATPs are not intended to replace ATCs where the management and administration of the ATC scheme would be part of the normal business activity.

ATPs are classified as mobile venue and must meet the same criteria for the management of training and assessment as an ATC. They may operate at a range of different facilities and operational management will be outside their direct control.

ATPs are expected to maintain the same level of standards of management as if they were an ATC which includes adhering to RLSS UK/IQL UK policies and procedures.

For the purposes of this document an ATP will be referred to as if they were an ATC so considered as the venue regardless of the location of training/assessment.

The Approved Training Centre / Provider Scheme Benefits

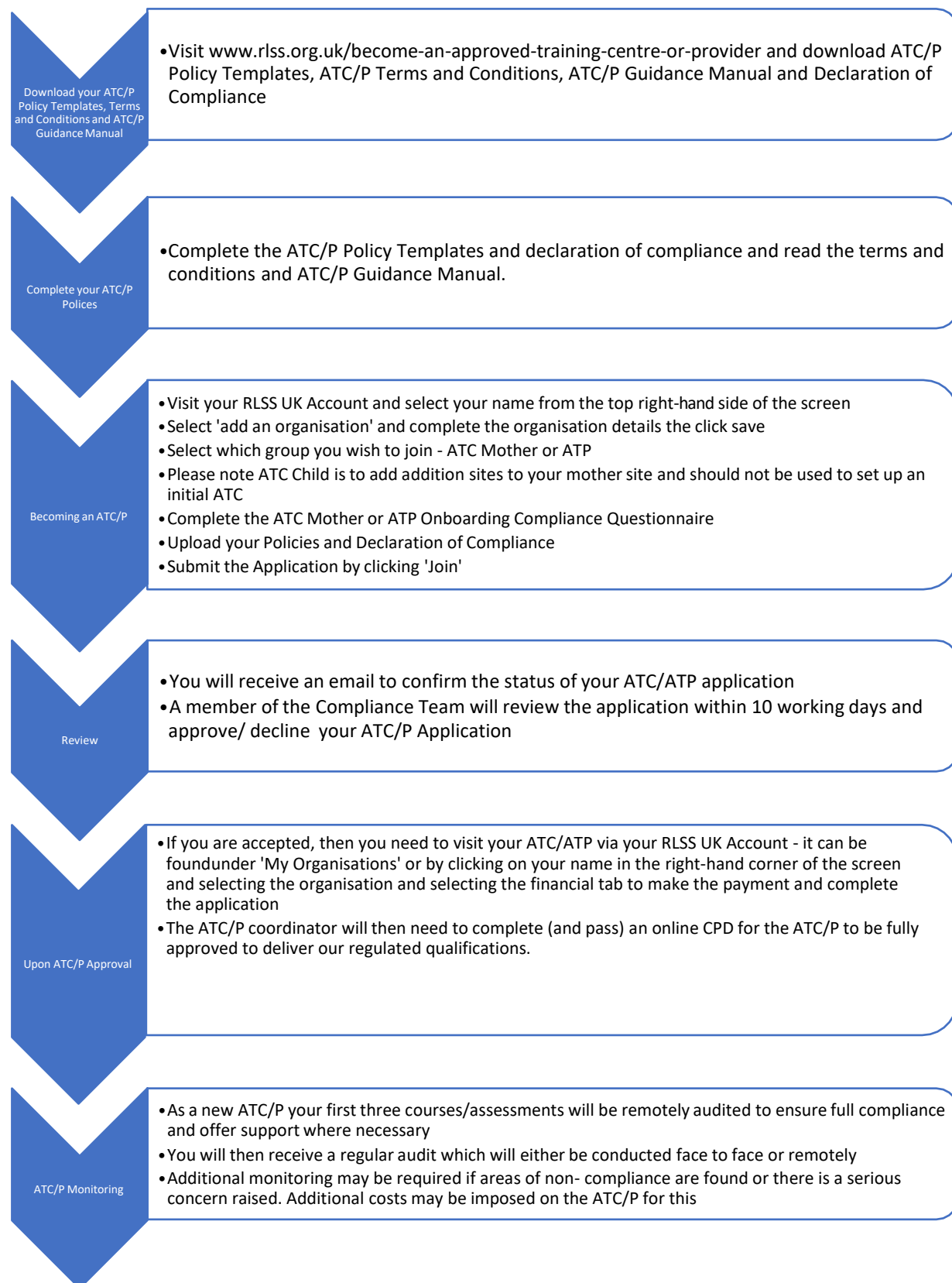
Being part of the ATC/P scheme offers the following benefits;

- Support from the dedicated team at RLSS UK/IQL UK
- Free online ongoing training & competency assessment programme (CPD)
- Support from your dedicated Principal Standards Manager (PSM)

RLSS UK offer additional unregulated qualifications that complement IQL UK regulated qualifications. These qualifications are accessible for delivery by centres within the ATC/P scheme.

For further information about other unregulated awards and qualifications please visit www.rlss.org.uk

Becoming an ATC/P Flow Chart



The Approved Training Centre/Provider Co-ordinator

It is a requirement of an ATC/P to have in place an ATC/P Co-ordinator.

The ATC/P Co-ordinator must:

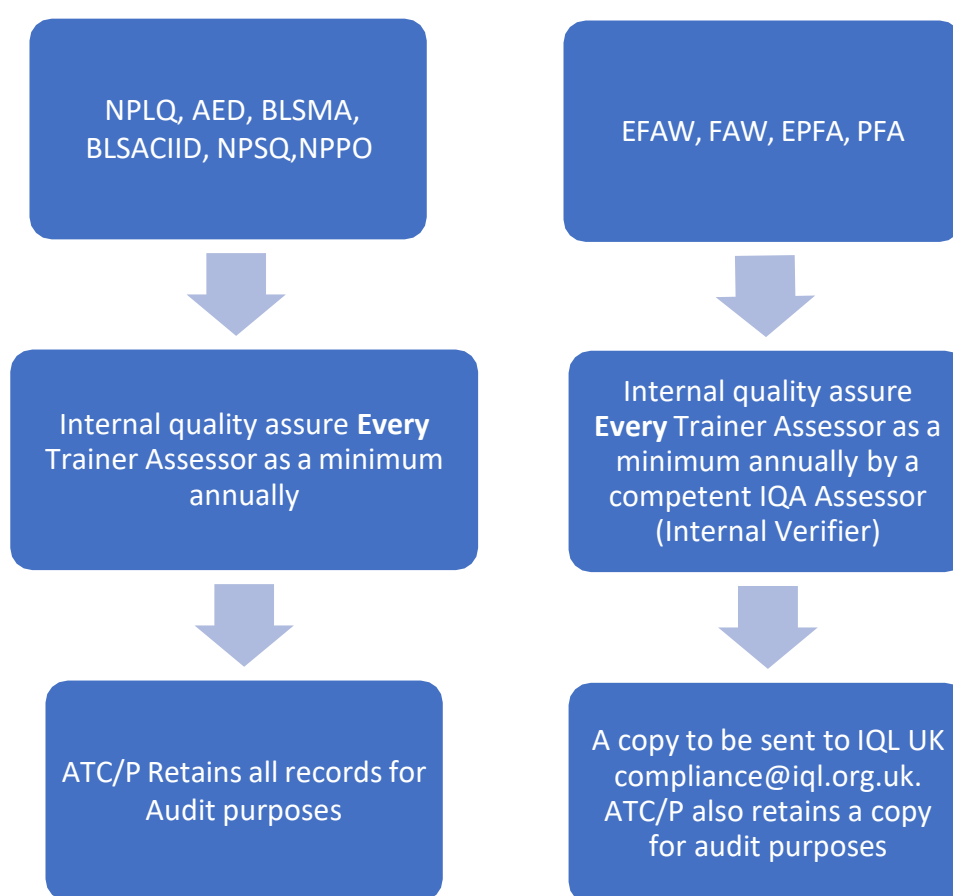
- Ensure that ATC/P fees are paid within the required timescales.
- Ensure that conflicts of interest are managed. (Further guidance can be found in the Conflict-of-Interest Policy).
- Ensure they operate in accordance with the ATC/P Guidance Manual and Guidance and Syllabus for each regulated qualification an ATC/P delivers.
- Ensure they operate in accordance with relevant Health and Safety guidance and legislation.
- Create a suitable and sufficient risk assessment for course delivery and assessments and ensure appropriate safety and emergency arrangements are in place.
- Co-ordinate all courses and assessments and ensure documentation is retained for auditing purposes following current data protection guidelines (Data Protection Act 2018).
- Ensure the secure storage of personal information is retained following current data protection guidance and legislation (Data Protection Act 2018).
- Ensure they meet External Quality Assurance visit (EQAV)/ Annual Desk Based Audit (DBA) requirements and liaise with the PSM to make available all appropriate personnel (Visit only), records and information to enable the audit to take place.
- As soon as practically possible inform RLSS UK/IQL UK Compliance Team of any significant change in management, staffing, facilities or procedures that may affect the ATC/P status.
- Ensure they follow their own and RLSS UK/IQL UK policies. These must be made available to all candidates and TAs when RLSS UK/IQL UK Qualifications are being delivered and assessed.
- Ensure suitable training equipment is available for course delivery and assessment in accordance with relevant guidance.
- Appoint one or more Internal Verifiers (IV's) who are competent/ suitably trained to carry out Internal Quality Assurance checks in line with RLSS UK/IQL UK Guidance.
- Submit Candidate Assessment results to RLSS UK/IQL UK for processing within 7 working days of the completed qualification assessment(s).
- Retain/ upload Candidate Assessment records at the ATC/P in accordance with current data protection guidance for internal and external audit purposes and will be requested by PSMs on annual audits.
- Ensure TAs used by the ATC/P are qualified and competent. It is essential that the ATC/P's authorised personnel check TA's RLSS UK/IQL UK Account prior to the commencement of both training and assessment. TAs must also hold current RLSS UK/IQL UK Licence to Operate membership. It is highly recommended that the ATC/P retain a list of approved TAs it has used/ intends to use.
- Ensure where two or more TAs are used standardisation is carried out at least annually and recorded accordingly.
- Ensure any partnership arrangements are documented.
- Report and investigate suspected cases of Malpractice & Maladministration in line with RLSS UK/IQL UK and the ATC/Ps policy.
- Carry out any mandatory Continued Professional Development (CPD) as instructed by RLSS UK/IQL UK.

Section 2 - Internal and External Quality Assurance

Internal Quality Assurance Overview

The purpose of Internal Quality Assurance (IQA) is to help ensure candidates are treated fairly and consistently, TAs are adhering to RLSS UK/IQL UK guidance for course and assessment delivery and the validity of results.

RLSS UK/IQL UK approach to IQA is summarised in the diagram below and explained in more detail in this section:



IQA's should be completed across the range of qualifications the ATC/P delivers.

Appointing an Internal Quality Assurance (IQA) Assessor

The IQA Assessor (also known as an Internal Verifier) can be appointed from inside or outside the organisation and should be independent of training/assessment delivery.

In appointing an IQA Assessor an ATC/P must ensure that the individual has:

- Knowledge of the qualification that is being quality assured.
- Knowledge and understanding of the course training and assessment procedure.
- The ability to understand and interpret RLSS UK/IQL UK policy and guidance and convey this accurately to all involved in the course training and assessment process.
- Good time management and organisational skills.
- Good communication skills.
- Good decision-making skills.
- Have either attended our IQA Assessor Day* or completed the IQA familiarisation online learning.

*IQA Assessor Day courses being delivered can be found at RLSS UK/IQL UK course finder.

If the IQA Assessor is completing an IQA of a First Aid trainer they must have attended an RLSS UK/IQL UK IQA Assessor Day (Or one delivered by another First Aid Awarding Organisation) or should have a recognised IQA qualification. They must also hold a current and valid First Aid at Work or RLSS UK/IQL UK NPLQ Certificate.

The IQA familiarisation online learning is not suitable for the purposes of carrying out an IQA on First Aid trainers.

Below is a list of some recognised IQA Qualifications:

- Level 4 Award in Understanding the Internal Quality Assurance of Assessment Processes and Practice
- Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice
- See also SQA website <https://www.sqa.org.uk/sqa/79173.html>

This list is not exhaustive but provides a guide to acceptable qualifications.

Types of IQA

Face-to-face – Being physically present or via a live feed present at the course delivery and/ or assessment of a qualification to carry out an Internal Quality Assurance check.

These are suitable for any TA's (low or high risk) you may have.

Remote IQA – Carrying out the Internal Quality Assurance check after the event has taken place (no more than 2 weeks after the activity) at the same or different venue.

This method is suitable for any TA's that the ATC/P determines is low risk or following a face-to-face IQA check of a high-risk trainer.

Video evidence will be required to carry out this check.

For more guidance on Remote IQA's please visit the RLSS UK/IQL UK website or click [here](#).

Document Review - Carrying out the Internal Quality Assurance check of course/ assessment paperwork only, after the event has taken place (no more than 2 weeks after the activity) at the same or different venue.

This method is suitable for any Trainer or Assessor that the ATC/P determines is low risk or following a face-to-face IQA check of a high-risk trainer if further checks are needed.

More guidance on Remote IQA's please click visit the RLSS UK/IQL UK website or click [here](#).

Minimum Requirements for IQA

As a minimum an ATC/P should conduct at least one IQA of each of their trainers and assessors each year. The ATC/P should aim to complete at least 25% of these face to face and up to 75% remotely or completing a document review.

Where a TA is delivering courses or assessing across multiple venues of an organisation then it would be acceptable for at least one IQA of course delivery and at least one IQA of assessment to be completed. The ATC/P may decide to increase the checks of the TA if issues are found or if they are determined to be high risk.

In addition to the above the ATC/P should ensure that IQA's are conducted for course delivery and assessment across the range of qualifications they deliver.

Minimum Requirements for IQA of First Aid TAs

As a minimum an ATC/P needs to ensure all First Aid TAs are internally quality assured face to face annually on both course delivery and assessment. If a TA is considered to be high risk (see examples in section 2.4), more frequent IQA's should be conducted.

The IQA Assessor carrying out IQA's for First Aid TAs can be from inside or outside their own ATC/P but must be independent of any aspect of training and/or assessment of the course they are quality assuring.

Where a IQA is required for the purpose of an annual IQA of a First Aid TA the minimum requirement is to observe at least 4 hours of practical and theoretical topics being delivered competently **AND** at least 4 practical and 1 theoretical assessment being delivered competently.

Where a IQA is being completed on a probationary First Aid TA the minimum requirement is to observe at least 6 hours (Full Day) of course delivery and the full assessment.

For more information on the requirements please click [here](#).

The completed annual IQA must be sent to compliance@iql.org.uk for the TA to retain their first aid trainer status. If a trainer has not delivered a course within a year, the next course and assessment they carry out **MUST** be IQA'd and a copy of the forms should be sent to RLSS UK/IQL UK for the qualifications to be processed. Sanctions may be imposed on the TA/ ATC/P if this is not completed.

Risk Rating TAs

All RLSS UK/IQL UK TAs used to deliver regulated courses/ assessments by the ATC/P must have an IQA completed annually (Jan-Dec).

ATC/Ps should risk rate each TA and conduct IQA's based upon this. This process should be documented by the ATC/P co-ordinator, or someone appointed by them.

Where an ATC/P has multiple venues known as 'child sites' the risk rating could be completed on an individual site basis or as an organisation.

When risk rating your TA's, you will need to deem whether they are high or low risk. To determine this there are a few factors you need to consider. We have created a guide for you to follow below:

A High-Risk TA would be someone who is/ has one of the following:

- A probationary TA.
- A newly qualified TA (within their first 2 years of being signed off as a TA).
- four or more areas of non-compliance identified in their last IQA.
- A new TA to the ATC/P.
- Any reported cases of actual malpractice within the ATC/P since their last IQA
- A TA who delivers multiple qualifications awarded by RLSS UK/IQL UK or other awarding organisations.
- A TA who delivers more than 5 courses or conducts more than 5 assessments each year for the ATC/P.
- A complaint or appeal successfully logged against them through the ATC/P since their last IQA.
- A TA who has not had an IQA conducted on them in the last 2 years due to no activity being delivered or assessed for the ATC/P.

A Low-Risk TA would be someone who is/ has one of the following:

- An experienced TA (2+ years after being signed off as a TA).
- 0-3 area(s) of non-compliance identified in their last IQA.
- No reported cases of suspected/ actual malpractice /complaints or appeals.
- A TA who delivers less than 5 courses each year for the individual ATC/P.
- A TA who conducts less than 5 assessments each year for the individual ATC/P.

IQA Dependent on Risk Rating

A high-risk TA should have at least one IQA completed on a face-to-face basis per year (Jan – Dec).

A low-risk TA should have at least one IQA completed either face to face, remotely or by completing a document review each year (Jan – Dec) on course delivery/ assessment.

Conducting the IQA

The date, time, and method of the IQA should be agreed by all parties to enable the IQA Assessor to fully prepare everything they may need. It also helps the TA understand what areas they need to record if a remote IQA is being conducted on them.

When conducting an IQA check you should ensure the most up to date IQA form is used. These can be downloaded from the RLSS UK account resource area.

The IQA Assessor should also have the following whilst completing an IQA:

- A current copy of the how to complete guide for the IQA.
- A current copy of the Guidance and Syllabus for the qualification they are conducting the IQA.
- A copy of any training or assessment adoptions where applicable

The IQA Assessor may also need further equipment if they are completing a remote IQA.

When completing an IQA of course delivery the IQA Assessor will need to at least see 20 minutes of teaching (may be more for high-risk TA's).

When completing a face-to-face IQA of an assessment the IQA Assessor will need to be present until they are able to make judgements based on what has been seen. If the IQA Assessor is completing a remote IQA of a low-risk TA, then they would base their judgments on what has been submitted.

Please be aware of the additional requirements for First Aid Trainers as detailed in the First Aid Trainer Assessors section.

The IQA Assessor should be introduced to the candidates (where necessary) and an explanation of the purpose of them being there given.

Following the completion of an IQA the findings of the report should be discussed with the TA the IQA was conducted on and the ATC/P coordinator. The IQA Assessor should highlight areas of good practice and areas of improvement where required. The feedback should be documented within the summary of the report. Actions should be listed where a TA is deemed non-compliant in an area.

If during the IQA process, significant non-compliance is identified the ATC/P must also inform the IQL UK compliance team immediately at compliance@iql.org.uk and seek further guidance.

Internal Quality Assurance - Standardisation

It is the responsibility of the ATC/P Co-ordinator to ensure the ATC/P has processes in place to action any areas of non-compliance identified to ensure they can meet the required level of compliance required by RLSS UK/IQL UK and Regulators relating to internal quality assurance.

The ATC/P must ensure:

- Any feedback from External Quality Assurance (EQA) audits and Internal Quality Assurance is fed back to all those involved in the training and assessments of IQL UK qualifications and documented for audit purposes.
- All IQA Assessors complete annual standardisation. This can be achieved by face to face and online opportunities by RLSS UK/IQL UK.
- Feedback any relevant updates or changes to RLSS UK/IQL UK supporting course and assessment materials.
- Standardisation may cover with trainers and assessors physical training and assessing of skills.

*Any standardisation must be recorded for audit purposes. Where a single site or individual Trainer at a site standardisation may be undertaken with other individuals outside of the ATC/P.

External Quality Assurance

The purpose of External Quality Assurance (EQA) is to ensure adherence to the ATC/P scheme within the ATC/P's processes.

ATC/P's will have a regular External Quality Assurance Visit (EQAV)/ Desk Based Audit (DBA). These will be conducted by a Principal Standards Manager or other approved competent person.

The regularity of the audit with ATC/P's will be dependent upon their risk rating. Those ATC/Ps with lower levels of compliance (High risk) may receive more frequent audits.

The following provides example of how IQL UK may determine the level of risk:

Risk Level	Compliance Level	Indicators
Low	<ul style="list-style-type: none"> Excellence Good 	<ul style="list-style-type: none"> Previous audits scored were good or excellent All documentation and policies meet RLSS UK/IQL UK standards Required ATC/P Personnel are all in place
Medium	<ul style="list-style-type: none"> Improvement Needed 	<ul style="list-style-type: none"> At least a Level 2 sanction being given against an item within the audit Minor complaints received or poor customer feedback Improvement needed with RLSS UK/IQL UK documentation and policies reviewed during audit
High	<ul style="list-style-type: none"> Poor Suspended 	<ul style="list-style-type: none"> At least Level 3 or Level 4 sanction given against an item within the audit Serious complaints received Incomplete/missing documentation and policies reviewed during audit Failure to respond to RLSS UK/IQL UK audit requests Inadequate ATC/P personnel in place i.e., no ATC/P Coordinator ATC/P cancels or fails to attend more than one audit appointment

ATCs that have multiple sites will receive a higher number of audits either face to face by site visits or remotely (or a combination of both). The process will focus on the most active site or sites that have been selected due to the level of risk.

Each year you will be asked to complete and submit a Declaration of Compliance for your ATC/P. This is a standardised checklist/ statement confirming you have everything in place to carry out the delivery and assessment of RLSS UK/IQL UK regulated qualifications and conform to the ATC/P Terms and conditions.

The External Quality Assurance Process

The EQA audit process can take place in several ways all of which are aimed at supporting the ATC/P in becoming compliant or working towards becoming compliant. The EQA audit process can take place as follows:

Onboarding for new ATC/Ps (face to face/remote)

The Onboarding audit is a check designed to ensure that new ATC/Ps have everything in place to carry out the delivery and assessment of RLSS UK/IQL UK qualifications.

You will be asked to submit:

- relevant documentation and policies as detailed in the communication
- confirmation that you have suitable equipment and resources in place to enable effective delivery and award of RLSS UK/IQL UK qualifications
- confirmation that you have the relevant ATC/P Personnel in place

Your Onboarding audit will look at:

- The ATC/Ps Personnel
- Equipment Available
- Training Facilities
- Policies and Procedures as listed in Section 4 of this guidance
- The ATC/P's enrolment process

Thereafter further support will be given to the ATC/P and their first three activities carried out (course delivery or assessment activity) will be remotely audited to ensure full compliance. If this is achieved, the ATC/P will then receive audit request annually.

External Quality Assurance Visit (face to face)

Your ATC/P Co-ordinator will be contacted by the PSM to arrange an appointment. The appointment will be made in advance of the visit. It is vital ATC/P co-ordinator is present at these meetings. Where this is not possible e.g., in the case of an emergency, the ATC/P co-ordinator must ensure another representative is available for the visit as late cancellation may attract financial or other penalties being imposed.

Your PSM will request information in advance of the visit as this will help ensure their visit causes the least disruption to the normal operations of the venue.

Your PSM may need to see training and/ or assessment activity during the visit.

Where the ATC/P must cancel and rearrange a visit, they must inform the PSM/ member of the compliance team immediately. If cancellation is made within 5 working days of an arranged visit, RLSS UK/IQL UK may impose a charge for cancellation and any expenses incurred.

Where an ATC/P cancels more than one appointment their ATC/P status may be suspended until such time as an audit visit can be completed.

The Audit visit will explore:

- Adherence to the ATC/P scheme and terms and conditions
- IQA processes
- Any changes to ATC/P personnel and support if needed
- If previous actions have been completed satisfactorily
- Paperwork standards in line with the relevant qualification guidance and Syllabus
- Equipment and training rooms available for the delivery/ assessment of qualifications
- ATC/P's policies and procedures
- Standardisation of the ATC/P's TAs (CPD)

Remote or Desk Based Audit (DBA)

Your ATC/P Coordinator will be contacted by your PSM or a member of the compliance team and provided with instructions and documentation required for audit.

You will be asked to submit:

- relevant documentation and policies as detailed in the communication
- confirmation that you have suitable equipment and resources in place to enable effective delivery and award of RLSS UK/IQL UK qualifications
- confirmation that you have the relevant ATC/P Personnel in place

You should submit documents within the time scale stated in the communication (unless agreed otherwise). Failure to upload/send documentation by required dates may result in a suspension until such time as the ATC/P complies with requests.

DBAs are carried out on a rolling basis and the outcome of your audit will be communicated up to three months from submission, earlier if actions are identified.

The DBA will explore:

- Adherence to the ATC/P scheme and terms and conditions.
- IQA processes.
- Any changes to ATC Personnel and support if needed.
- If previous actions have been completed satisfactorily.
- Paperwork standards in line with the relevant qualification guidance and syllabus.
- Equipment and training rooms available for the delivery/ assessment of qualifications (via declaration of compliance).

- ATC/P's policies and procedures.
- Standardisation of the ATC/P's TAs (CPD).

Spot checks/visits

There may be occasion where PSMs or other IQL UK personnel need to carry out spot checks or unannounced quality assurance visits without warning. Visits are to ensure that IQL UK and regulatory requirements are being maintained.

Visits can request any evidence relating to the training or assessing of candidates including any TAs or other relevant personnel as well as any administrative or other processes undertaken by the ATC/P or their representatives.

ATC/Ps must make themselves available for such visits and comply with requests promptly.

Failure to comply with any requests may result in sanctions being applied.

Outcomes of Audits

Following audits/ spot check visits a report will be prepared and sent to the ATC/P Co-ordinator. It may contain:

- Areas of good practice and advice and support on best practice.
- Details of monitoring and verification activities undertaken.
- Information on any sampling undertaken and candidates interviewed.
- Feedback on the quality and consistency of assessment process and the effectiveness of IQA.
- Any actions and deadlines the ATC/P must take in order to meet compliance.
- Details of any sanctions levels that have been imposed and the overall compliance level.

It is the responsibility of the ATC/P Co-ordinator to ensure that RLSS UK/IQL UK has a valid email address and contact to send a report to.

If the ATC/P is unhappy with the conduct or outcome of an audit visit the matter should be taken up through RLSS UK/IQL UK Appeals procedure (Section 4).

Compliance Levels

The overall compliance status can be found within section one of the audit report.

You will have been assigned a compliance level based on the information seen during the audit process. The levels are detailed below:

Excellent	Your ATC/P has met all the requirements of RLSS UK/IQL UK and there have been no issues found. There may be areas of guidance to further improve what you are doing.
Good	There have been minor errors (Level 1 sanctions) found which do not meet the RLSS UK/IQL UK requirements. There will be actions that need to be completed to become fully compliant. An increased check of the areas highlighted will be conducted during your next audit.
Improvement needed	Errors have been identified (Level 2 Sanctions) that could be detrimental to the awarding of results and do not meet the RLSS UK/IQL UK requirements. Or You have failed to action areas as highlighted in a previous audit where a Level 1 sanction has been applied.
Poor	There have been serious errors (Level 3 Sanctions) found that could be detrimental to the awarding of results and do not meet the RLSS UK/IQL UK requirements. Or You have failed to action areas as highlighted in a previous audit where a Level 2 sanction has been applied. Approval to run courses and/or assessments will need to be sought from the compliance team.

Suspended	<p>There has been a total disregard for the RLSS UK/IQL UK requirements which has led to the integrity of the qualifications being delivered seriously compromised.</p> <p>Or</p> <p>You have failed to action areas as highlighted in a previous audit where a Level 3 sanction has been applied.</p> <p>Your ATC/P Status may be withdrawn from the ATC/P Scheme.</p>
Awaiting Review	<p>You are a new ATC/P, and your first 3 courses/ assessments haven't yet been fully audited. A compliance level will be assigned once all 3 courses/ assessments have been checked.</p> <p>You will not have direct claim status until a relevant compliance level has been assigned</p>

Sanctions can be applied to the ATC/P for several reasons outside the audit process. This may include:

- Failure to pay ATC/P Fees.
- Failure to respond to RLSS UK/IQL UK in a timely manner.
- Failure to respond to audit requests.
- Serious complaints received about the ATC/P.

This list is not exhaustive and is merely an example.

Direct Claim Status

Direct claim status is the ability for the ATC/P to process qualifications without further checks being made by RLSS UK/IQL UK.

An ATC/P's direct claim status can be affected for several reasons which include:

- Poor audit scores.
- Complaints made against the ATC/P.
- A TA associated with the ATC/P being suspected of malpractice.
- Failure to pay ATC/P fees.
- Failure to respond to requests in a reasonable timeframe from RLSS UK/IQL UK.
- Failure to address actions following audits.
- Failure to update ATC/P coordinator details meaning RLSS UK/IQL UK have no point of contact.
- They are a new ATC/P.

Direct Claim status can and will be reinstated at a time that RLSS UK/IQL UK believe actions have been met by the ATC/P and they are in adherence with the ATC/P scheme.

Section 3 - Course Organisation and Paperwork

Course Organisation

You must follow guidance produced by RLSS UK/IQL UK contained within this document and associated training guides and syllabus and any other policy documents required to ensure compliance with RLSS UK/IQL UK and regulatory authority requirements.

The following outlines some of the key aspects of practice and provision you need to ensure are in place to avoid non-compliance and possible sanctions being imposed.

Appointing a Trainer Assessor (TA)

When appointing TAs, it is important that you carry out and record relevant checks to ensure they are competent to deliver and assess RLSS UK and IQL UK qualifications. Checks should be made prior to any training and/or assessing taking place.

To ensure best practice you should:

- Check the TA's authority to delivery/ assess the relevant qualification(s) need. This can be done via their RLSS UK account
- Agree any partnership or business arrangements drawn up between the ATC/P and TA; these should be agreed prior to any training and/or assessing taking place.
- As an employer follow your organisations policy for DBS (Disclosure Barring Service) checks. For ATP's it is your responsibility to follow the guidance from your Governments DBS guidelines

Conflict of Interest and Independence of Assessment

A conflict of interest is where an individual or organisation has competing interests or loyalties. Conflicts of interest can arise in a variety of situations.

For IQL UK qualifications a conflict of interest can arise in several situations for example:

- Where an IQA Assessor is actively teaching the qualification, they are carrying out an IQA ofcourse delivery on.
- Where an IQA Assessor is Assessing the qualification, they are carrying out an IQA of assessment on.
- Where a Trainer and/or Assessor are related to each other, close working colleagues or friends.
- Where a Trainer and/or Assessor are related to, close working colleagues, friends of candidates on courses.
- Where the IQA Assessor is a candidate within the assessment taking place.
- An Assessor has been involved in the training of a candidate/new candidate/renewal candidates in the validation period of the qualification.

The list is not exhaustive and the ATC/P, Trainer and/or Assessor should seek clarification from the compliance team at compliance@iql.org.uk where in doubt.

The following table illustrates RLSS UK/IQL UK regulated qualifications requirements:

Qualification	Independent Assessment Required
National Pool Lifeguard Qualification	Yes
First Aid at Work	No
Emergency First Aid at Work	No
Paediatric First Aid	No
Emergency Paediatric First Aid	No
Automated External Defibrillation	No
Basic Life Support and Management of Anaphylaxis	No
Basic Life Support for Adults, Children and Infants (Including Drowning)	No
National Pool Supervisor Qualification (NPSQ)	No
National Pool Plant Operator	No

Selection of Independent Assessors

Assessors must be:

- Suitably qualified and hold current IQL UK Licence to Operator Membership
- Hold a current relevant DBS certificate. This is the responsibility of the ATC/P to ensure this is checked in line with their organisation's procedures.

Further guidance for selection of Assessors can be found in each qualification guidance and syllabus.

Registering Candidates

The ATC/P Co-ordinator and TAs must ensure that all candidates complete enrolment forms either electronically or in written format which contain:

- Candidate's personal details – e.g., name, contact details, date of birth and emergency contact.
- Link to RLSS UK/IQL UK policies – Candidates must be made aware of relevant policies and procedures at enrolment and prior to commencement of the course (Section 4).
- Course prerequisites – e.g., age, prior knowledge.
- Specific learning needs. Candidates must be made aware of their rights and be encouraged to disclose any specific learning needs they may have to ensure that any reasonable adjustments or apply special considerations can be put in place¹.
- Disability/Medical awareness. Candidates must be made aware of their rights and be encouraged to disclose any specific disabilities or medical needs they may have to ensure that any reasonable adjustments can be put in place.

¹ Reasonable adjustments and special considerations policy provide information as to the processes involved when applying for adjustments

- Candidate identification check – photographic ID **must** be checked to ensure the correct individual is being trained and assessed.
- Prior Learning – refer to relevant qualification guidance and syllabus and the RPL policy.
- Candidate signature (and parent/guardian signature if candidate is under 18 years of age).
- Information on RLSS UK/IQL UK use of candidate data and how the ATC/P comply with Data Protection.

Example templates of enrolment forms can be found within the ATC/P Resource area found in the ATC/P Coordinators RLSS UK account.

Course Materials

ATC/P must ensure only IQL UK course material is used for the relevant qualification(s).

Course/Assessment Equipment

ATC/Ps must ensure that suitable equipment is available for courses and assessments. Each qualification has a 'Guidance and Syllabus' document that outlines equipment required for each type of course and assessment. It is essential that the minimum amount of equipment detailed within the guidance and syllabus is available and fit for purpose for training and assessment to ensure learners are not disadvantaged.

Record Keeping

In order to comply with the requirements of the ATC/P Scheme, the ATC/P Co-ordinator must ensure that full and accurate records are maintained of all training and assessment activities undertaken by them under their ATC/P.

Documentation must be kept securely for a period of at least 7 years or as directed within current data protection legislation (Data Protection Act 2018). It is acceptable to scan documents and keep an electronic version, providing all documents are legible when scanned.

Records must include:

- All course and assessment records as per RLSS UK/IQL UK relevant qualification document checklist.
- Internal Quality Assurance records.
- External Quality Assurance reports.
- Details and relevant qualifications (where applicable) of ATC/P Coordinator, any onsite TA and other key staff.
- RLSS UK/IQL UK or ATC/P policies and procedures.
- Record of actions or sanctions applied, and any actions taken.
- Record of standardisation training.
- Equipment maintenance logs.

Training and Assessment

Dealing with learners who fail to meet pass criteria

It is the responsibility of the TA to ensure that learners are made aware they have not reached the standard required for pass criteria. TAs must ensure that they convey information to individual candidates sensitively according to their individual specific needs, guiding them to areas to enable them to retake the assessment to pass the qualification.

The TA must ensure its clear what relevant element(s) they have failed as per RLSS UK/IQL UK Guidance and Syllabus.

If learners wish to re-sit an assessment, the ATC/P Coordinator should refer to the relevant Guidance and Syllabus document. ATC/Ps must be clear in the terms and conditions when the candidate's book on the courses to detail the arrangements for reassessment and any associated costs.

Where all learners in a particular group fail to meet the pass criteria the Assessor must report this to the RLSS UK Compliance team within 5 working days of the assessment. The form to report this is held with the ATC/P's resource area.

Applying for Certification

ATC/P Coordinator must ensure assessment results are uploaded as per RLSS UK/IQL UK guidance.

It is important to ensure results are completed accurately and they should be checked before submitting them within your RLSS UK Account. Errors may lead to qualifications being withdrawn and candidate needing to be reassessed.

Where an ATC/P does not have Direct Claim Status a check will need to be made by the RLSS UK Compliance team prior to the awarding of that specific qualification. This may include being asked to produce certain paperwork.

Section 4 - Policies and Procedures

ATC/P Responsibility Regarding Policies and Procedures

All ATC/P must ensure their policies reflect those of the RLSS UK/IQL UK Policies and Procedures. ATC/Ps and TAs must ensure all candidates and relevant staff and other personnel are made aware of policies and procedures when carrying out the delivery and/or assessment of IQL UK qualifications.

The PSMs and compliance team will ask to see copies of your policies and procedures during the audit process.

Outlined below are the key policies that an ATC/P must have in place:

- Appeals Policy.
- Complaints Policy.
- Equal Opportunities and Diversity Policy.
- Malpractice and Maladministration Policy.
- Reasonable Adjustments and Special Considerations Policy.

Addition Policies to consider are:

- Safeguarding Policy.
- Data Protection Policy.

It is our recommendation that you use our policy templates which can be found [here](#). However, if your ATC/P already has policies in place or wish to create your own then please ensure you cross reference these with the key points below to ensure they meet our requirements.

Appeals Policy

- How to appeal
- Timescale to appeal
- What will happen with the appeal
- When and how you will acknowledge the appeal
- How to contact the RLSS UK Compliance Team

Complaints Policy

- How to make a complaint
- Timescales to make a complaint
- When and how you will acknowledge the complaint.
- What will happen with the complaint
- How to contact the RLSS UK Compliance Team

Equality, Diversity and inclusion Policy

- Policy Statement
- Policy Aims
- Your Commitments
- How to contact the RLSS UK Compliance Team

Malpractice and Maladministration Policy

- Who to report suspected or actual cases of malpractice and/or maladministration to
- How to report suspected or actual cases of malpractice and/or maladministration
- Timescales to make the report
- When and how you will acknowledge the reported incident
- What will happen with the reported incident
- How to contact the RLSS UK Compliance Team

Special considerations and Reasonable Adjustments

- Policy statement
- Policy Aims
- Who to apply to
- Ways to apply
- What to include in/with your application
- Timescales to make your application
- What will happen with your application
- How to contact the RLSS UK Compliance Team

The ATC/P should be aware of the following RLSS UK/IQL UK Policies and Procedures which can be found here <https://www.rlss.org.uk/policies> :

- Sanctions Policy
- Customer Services Policy and Service Standards
- ATC/P Terms and Conditions
- Fees and Invoicing Policy
- Withdrawal Policy
- RLSS UK Code of Practice
- RLSS UK Code of Conduct
- Disciplinary Policy
- Adverse Effects
- Recognised Prior Learning (RPL)
- Conflict of Interest

Section 5 – Glossary

Useful Terms and Abbreviations

ATC	Approved Training Centre
ATP	Approved Training Provider
ATC/P Co-ordinator	Person responsible for managing the ATC/P scheme
CCEA	Council for Curriculum Examinations & Assessment in Northern Ireland
Code of Practice	Organisations Standards, guidance notes and policy statements
Code of Conduct	Sets out acceptable behaviour
PSM	Principal Standards Manager
DBA	Desk Based Audit
EQAV	External Quality Assurance Visit
G & S	Guidance and Syllabus
IQA	Internal Quality Assurance
IQAA	Internal Quality Assurance Assessor
IQL UK	Awarding Organisation of RLSS UK
IV	Internal Verifier
MHSISP (or HSG 179)	'Managing Health and Safety in Swimming Pools' (2018) (published by the Health and Safety Executive)
NPLQ	National Pool Lifeguard Qualification
Ofqual	Office of Qualifications and Examinations Regulation
PSM	Principal Standards Manager
TA	Trainer Assessor
QW	Qualifications in Wales (equivalent to Ofqual)
EQA	External Quality Assurance
RLSS UK	Royal Life Saving Society UK



Enjoy Water **Safely**

Tel: 0300 323 0096

Email: compliance@iql.org.uk

Visit: www.rlss.org.uk

 RLSS UK  @RLSSUK  @RLSSUK