PMIR-MAN-001
Delivery of IRSE Licensing Scheme

APPROVAL AND AUTHORISATION			
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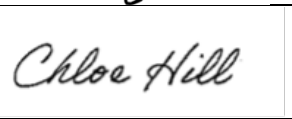
Authorised By		Head of Operations	10/06/2026
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AMENDMENT HISTORY		
Issue	*Summary of Changes and Reasons*	*Date*
1.0	New document.	November 2008
2.0	Updated to IRSE comments	December 2008
3.0	New assessor & IV qualifications	September 2011
4.0	Updated to reflect auditor advice	October 2011
5.0	Updates to include new Complaints procedure	September 2012
6.0	Update to include informing IRSE if candidate is found 'Not yet Competent'	February 2014
7.0	Update to procedure following review of change of IRSE requirements	August 2014
8.0	Update to organisation chart and photo requirements	September 2016
9.0	Update following procedure review	September 2018
10.0	Update to reflect that Record of Complaints doesn't need yearly sign off (6.1)	July 2019
11.0	Update to reflect candidates doing personal statements first	Oct 2019
12.0	Reformatting and layout changes	May 2020
13.0	Changes required from Briefing note 169-09-20 (Sections: 2, 3.Workplace assessor, 3.Candidate, 3.Licence holder, 6.2, 6.3, 6.4, 6.7	September 2020
14.0	Changes required due to version changes required in IRSE Licensing Procedures LP2, 3, 4, 6	July 2021
15.0	Changes made to section 6 to remove the need for Feedback forms and the recording requirements of assessments	Aug 2021
16.0	Changes made Administrative Assistant and Design TM's on Organisation Chart – Appendix A	July 2022

17.0	Changes to Appeal Procedure.	Dec 2022
18.0	Rewording of Scope Update to Organisation Chart – Appendix A	Aug 2023
19.0	Changes to 6.9.2 that were required due to updates in IRSE Licensing Procedure LP04.	Sept 2023
20.0	Changes in wording from Internal Verifier (IV) to Internal Quality Assurer (IQA) to reflect update from IRSE's Annual Assessing Agency Meeting in 2023.	May 2024
21.0	Changes made to section 6 to include details of IRSE's LP03 changes regarding assessments via video link. Changes to TM's	May 2024
22.0	Changes to TM's on Organisation Chart – Appendix A	July 2024
23.0	Rewording of 5.2 and additions of Appendix B and C	Aug 2024
24.0	Update to Appendix A	Oct 2024
25.0	Merging all procedures together into one document.	March 2026
26.0	Change of wording to 3.6 following IRSE BN.	May 2026
27.0	Merging procedures into one document.	June 2026
28.0	Formatting & Removal of duplicated wording in Section 8 – Appendix section added	June 2026
29	Section added for impartiality and independence	July 2026
30	Updated section 3.8 to add the training questionnaire and sections 3.5 and 3.6 to detail the ideal turnaround time	July 2026
31	Paragraph added to section 11 in line with the IRSE audit IAR	August 2026

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1 PURPOSE

This document defines how PM Training and Assessing Ltd will deliver the IRSE Licensing Scheme.

2 SCOPE

This procedure applies to all Workplace Assessors, Competence Assessors, Quality Assurers, Managers and Candidates involved in the IRSE Licensing Scheme.

This procedure stands alone as the delivery procedure for IRSE Licensing and is not part of any other Quality system. Any other activity of PM Training and Assessing Ltd is covered by individual procedures.

The working language of the scheme is English. Where other languages are to be used appropriate interpretation and translation services must be provided.

3 ROLES AND RESPONSIBILITIES OF THOSE INVOLVED

PM Training and Assessing's Organisation Chart can be found in Appendix A.

3.1 Assessing Agency Manager (AAM)

It is the AAM's responsibility to ensure that the appropriate standards set by the IRSE are kept and maintained. The AAM is the Lead Internal Quality Assurer for PM Training and Assessing Ltd and will coordinate other IQAs involved with the IRSE assessment scheme.

An Assessing Agent shall nominate an Assessing Agent Manager (AAM) who is to have overall responsibility for the operation of the Assessing Agency, and a Deputy Assessing Agent Manager to ensure continuity of operation.

The AAM nominated by the Assessing Agent shall be an experienced administrator capable of coordinating a multi-disciplinary team and shall have a working knowledge of the IRSE Licensing Scheme. The nominations shall be subject to approval by the Licensing Committee.

If you are the **AAM,** you are required to:

- Ensure that all assessors and internal quality assurers are approved to carry out their duties and are provided with a copy of this procedure.
- Keep records of all assessors, internal quality assurers and technical mentors and the categories they are approved for.
- Maintain a database of all IRSE licence holders, and those required to have one, within PM Training and Assessing Ltd.
- Ensure that each approved assessor has access to the relevant assessment material that they are approved for.
- Liaise with the IRSE with regard to approvals and audits.
- Maintain a secure filing system holding records of assessments. Access to these files must be restricted to appropriate staff only.
- Ensure that assessment records are internally verified and that records of these verifications are kept. Provide any feedback to assessors following these verifications as appropriate.
- Ensure Internal Verifications are carried out at a frequency to comply with IRSE requirements.
- Monitor staff training and development.
- Assessor Qualification and Approval Record is to be maintained for all assessors.
- To ensure that all assessors have the necessary specific occupational competence to undertake the assessment to which they are being allocated.
- Keep up to date with current good practice in assessing and quality assurance.
- Arrange meetings with all approved PM Training and Assessing Ltd assessors and IQAs on a regular basis to ensure:

- Assessors are briefed on any changes in standards;
- Standardisation of assessments is covered;
- Feedback on assessment practice is given; and
- Minutes of these meetings are produced and distributed to all assessors.

3.2 Deputy Assessing Agency Manager (DAAM)

The DAAM is the person who supports the AAM and will take on the role of the AAM if s/he is unable to fulfil the role.

The responsibilities of the DAAM are the same as the AAM.

3.3 Internal Quality Assurer (IQA)

The IQA is authorised to carry out internal quality assurance against the IRSE standards. The IQA must hold a nationally recognised internal verifier or internal quality assurer qualification.

If you are an **IQA,** you are required to:

- Ensure that assessment decisions are correct and that there is consistency and quality from the assessors you are responsible for.
- Produce a sampling plan showing how assessments are to be monitored, and provide this to the AMM.
- Ensure that assessment records are Internally Verified and that records of these verifications are kept. Provide any feedback to assessors as appropriate.
- Provide advice and support to assessors on evidence requirements and interpretation of standards.
- Assist with any IRSE audits
- Carry out observation of assessors carrying out assessments to ensure that they carry out assessments against the national assessing standards.
- Keep up to date with current good practice in assessing and quality assurance.
- Take part in meetings within the area/discipline that you are acting as IQA for. These meetings will ensure that:
    - Assessors are briefed on any changes in standards;
    - Standardisation of assessments is covered;
    - Feedback on assessment practice is given

  Minutes of these meetings should be produced and distributed to all assessors within the area/discipline you are acting as IQA for. A copy of these minutes must be forwarded to the AAM.

3.4 Technical Mentor (TM)

The TM is a senior responsible person who is occupationally competent to advise on the technical interpretation of a competence standard.

If you are a **TM**, you are required to:

- promote consistency of assessments by providing technical guidance on the interpretation of competence standards;
- approve all assessors for the licence categories assessors they are competent to assess.
- arbitrate on disputes about the interpretation of technical requirements of competence standards;
- take part in Appeal panels as requested.

3.5 Competence Assessor (CA)

The CA is the person authorised to carry out competence assessments against a specific standard. The Competence Assessor shall be experienced in the occupational area, and be certificated to the TAQA Level 3 award in Assessing Competence in the Work Environment, or equivalent assessor qualification approved by the IRSE; and consistently work to the TAQA assessor standard. Competence Assessors shall require approval by the Licensing Committee. The CA cannot be responsible for a candidate's workplace assessment as well as their competence assessment.

If you are a **CA**, you are required to:

- Plan competence assessments with candidates.
- Aim to complete workplace assessments and submit the required documentation within four weeks of receiving a complete assessment request or agreed assessment date, wherever reasonably practical. Any delays should be communicated to the Assessing Agency Manager and the candidate.
- Have a Professional Discussion with candidates to ensure they meet the required standard.
- Complete Competence Assessment Checklists to the required standard.
- Provide feedback to candidates.
- Take an active role in assessor meetings and standardisation meetings at least once a year.
- Assist with any IRSE Audits
- Maintain occupational competence.
- Keep up to date with current good practice in assessing.
- Carry out surveillance & renewal assessments
- Assessors should not give formal technical training in the previous 2 years for someone they are assessing. This will need to be identified and the AAM informed.

3.6 Workplace Assessor (WPA)

The WPA is authorised to carry out workplace assessments against the IRSE standards. Workplace Assessors shall be occupationally competent, certificated to the TAQA Level 3 award in Assessing Competence in the Work Environment, or equivalent assessor qualification approved by the IRSE; and consistently work to the TAQA assessor standard.

If you are a **WPA**, you are required to:

- Plan Assessments with candidates and line managers.
- Aim to complete workplace assessments and submit the required documentation within four weeks of receiving a complete assessment request or agreed assessment date, wherever reasonably practical. Any delays should be communicated to the Assessing Agency Manager and the candidate.
- Provide advice and guidance to candidates on the requirements of the IRSE Licensing Scheme.
- Carry out assessments to the current national standard for assessing, and complete Competence Assessment Checklists to the required standard.
- Provide feedback to candidates.
- Pass all appropriate paperwork to the Competence Assessor.
- Take an active role in assessor meetings and standardisation meetings at least once a year.
- Assist with any IRSE Audits
- Maintain occupational competence.
- Keep up to date with current good practice in assessing.
- Assessors should not give formal technical training in the previous 2 years for someone they are assessing. This will need to be identified and the AAM informed.

WPAs who are registered with an awarding body as an 'Assessor Candidate' but are not yet certificated may carry out assessments as part of their training and qualification; for a period not exceeding twelve months. Such assessments shall be checked, authenticated, and countersigned by a fully qualified assessor approved to assess that category who shall also submit a short report justifying their decision. This report shall be submitted to the Licensing Registrar as part of the completed assessment documentation; and shall include the date on which the assessor was registered with the training body.

Assessors shall be fluent, both in writing and orally, in the language in which the assessment is to be carried out. If an interpreter or translator is required, this request needs to be submitted in writing to the AAM in minimum of 5 working days before the assessment. The interpreter or translator must not be undertaking any other role throughout the assessment process. All parties will ensure that the validity of the

assessment is not compromised and these measures shall be recorded and submitted to the assessing agency upon completion of the assessment.

3.7 Line Manager

The Line Manager is the manager or supervisor that the Licence Holder or Candidate reports to.

If you are a **Line Manager**, you are required to:

- Arrange for a workplace assessment for any member of your staff who requires an IRSE licence and has the required skills and experience.
- Carry out an annual review of the logbooks of all IRSE licence holder's you manage to ensure it is up to date.

You must also ensure that the licence holder has a copy of the IRSE procedure Introduction to IRSE Licensing, Confidentiality, Obligations of Licence Holders and Logbook requirements (LP01) within their logbook.

3.8 Candidate

This is the person applying for an IRSE licence or renewal of an existing licence.

If you are the **Candidate**, you are required to:

- Complete your Personal Statement on the CAC giving example of work you have done.
- Provide the appropriate evidence to support your personal statement
- Plan your assessment with your workplace assessor
- Attend your workplace assessment as directed by your WPA
- Attend your competence assessment as directed by your CA
- Keep your log book up to date with the current guidance from the IRSE
- Complete the Training Questionnaire, declaring any IRSE related training undertaken and identifying who delivered the training, to enable the Assessing Agency to allocate an independent assessor and avoid any conflict of interest.

A candidate who wishes special assessment requirements needs to be accommodated shall declare it on the application form.

3.9 Licence Holder

This is an individual who holds an IRSE licence in one or more licence categories.

If you are a Licence Holder you are required to comply with the requirements set out in the IRSE Licensing Procedure LP01 and keep a copy of it in your logbook. You must maintain and keep up to date your IRSE Logbook.

Licence applicants shall sign an agreement not to disclose any confidential information, including examination material used in the assessment; and to abide by the terms and conditions of the IRSE Licensing Scheme, which shall include the conditions that a licence holder must fulfil to maintain the validity of the licence. The Licensing Committee reserves the right to suspend or revoke the licence if the licence holder fails to abide by such terms and conditions.

4 ASSESSMENT PROCEDURES

4.1 Registration of WPA/ CA/ IQA

Workplace and competence assessors must be occupationally competent in the work they are assessing. This will be checked by the Technical Mentor.

Before carrying out any assessments within PM Training and Assessing Ltd **Workplace and Competence Assessors** are required to:

- register as a Workplace or Competence Assessor using the forms provided by the AAM
- submit a copy of their current CV and their assessor certificates to the AAM
- be personally responsible for ensuring that they understand and comply with the IRSE licensing procedures and this document.

Individuals wanting to carry out the role of **Internal Quality Assurer** must supply the AAM with:

- a copy of their current CV
- a copy of their IV or IQA certificate

and be personally responsible for ensuring that they understand and comply with the IRSE licensing procedures and this document.

Individuals wanting to carry out the role of Technical Mentor must supply the AAM with:

- a copy of their current CV.

and be personally responsible for ensuring that they understand and comply with the IRSE licensing procedures and this document.

Individuals carrying out the role of **Competence Assessor, Internal Quality Assurer and Technical Mentor** are required to register, and be approved by, the IRSE using the current IRSE forms.

NOTE: All workplace and competence assessors must be approved by the PM Training and Assessing Ltd Assessing Agency Manager and the appropriate Technical Mentor before they carry out any assessments on behalf of the Assessing Agency.

4.2 Preparing for an Assessment

If you are a **Candidate** requiring an IRSE licence assessment you must:

- Maintain an IRSE logbook that meets the requirements of the IRSE Licensing scheme.
- Make your logbook available to workplace and competence assessors as required.
- Write your Personal Statement on the CAC detailing work you have done to meet the criteria
- Collate evidence of recent work to support your personal statement
- Develop, with the assessor, an assessment plan that will detail how, where and when you will be assessed.
- Keep to the agreed deadlines for the assessment.

If you are the **WPA** you are required to:

- Assist the candidate in preparing for the assessment and support them throughout the workplace assessment process giving feedback as necessary.
- Ensure that you use the current IRSE Competency Assessment Checklist by downloading from IRSE licencing web site.
- Ensure that candidate meets any pre-requisites for the particular licence category being assessed. This will be detailed on the Competence Assessment Checklist (CAC) for the licence category.
- Formulate an assessment plan with the candidate.
- Review the candidate's logbook to ensure that they have been regularly employed on licensable work and have completed all the sections of the logbook outlined in IRSE Procedure LP01.
- Check that the candidate doesn't have a complaint on his licence and if s/he does report this to the AAM for advice on how to proceed.
- Check the authenticity and validity of all the performance and supporting evidence supplied by the candidate.
- Treat the assessment process as confidential.
- Refer to the AAM for support and advice.

4.3 Carrying out the Workplace Assessment

Assessors must not give training during an assessment although they can provide advice appropriate to the particular licence category.

If you are the **Workplace Assessor** you are required to:

- Review the assessment plan prior to start of assessment
- Review the candidates IRSE logbook to ensure that it is up to date and has been reviewed by their line manager

- Review the candidate's personal statement and supporting evidence
- Carry out the assessment as planned.
- Record observations of the assessment on the relevant part of the Competence Assessment Checklist (CAC).
- Record on the CAC the methods of assessment used during the assessment and follow the guidelines for evidence requirements.
- Make the assessment decision based upon the consistency of competence performance and the candidate's demonstration that they satisfy all the evidence criteria specified in the CAC.
- Record on the CAC the result of the workplace assessment and inform the candidate of this decision.
- Check the accuracy of the applicant's details on all the relevant assessment paperwork.
- Verify the identity of the candidate before conducting the assessment.

If the candidate is deemed ready for competence assessment you must supply the Competence Assessor with the:

- Approved Licence Application Form
- Competence and Assessment Checklist (CAC)
- The evidence the candidate supplies to support the assessment.

If the candidate is found to be "Not Ready" for competence assessment, then you must give feedback to the candidate that will leave them with a clear understanding about what they need to do to complete the assessment. This should be documented on the CAC. You should then send a copy of this to the AAM. The AAM will then inform the IRSE.

4.4 Carrying out the Competence Assessment

If you are the **Competence Assessor** you must:

- Arrange with the candidate when and where to carry out the assessment.
- Be in possession of the workplace assessment paperwork and the candidate's evidence portfolio, with adequate time to prepare for the competence assessment.
- Review the candidate's workplace assessment to confirm that it was adequate in scope, quality and quantity.
- Ensure that the workplace assessor has met the evidence requirements for each criteria.
- Review the candidate's IRSE logbook to ensure that they have been regularly employed on licensable work for an appropriate period of time, have completed all the sections identified for the candidate to complete, have no record of complaints / endorsements that would affect the licence assessment being undertaken, and to establish the extent of their underpinning knowledge.
- Confirm that the candidate has demonstrated the skills, attitude and underpinning knowledge to meet the requirements of the licence category.

- Complete the competence assessment checklist filling in all CA boxes.
- Verify the identity of the candidate before conducting the assessment.
- Ensure that any special needs the candidate are met.
- If pre-set question banks are used, they shall be kept secure and changed sufficiently frequently to ensure that their integrity is not compromised.

If you are the Candidate you must provide the Competence Assessor with a passport style .jpeg photograph (unless you already have a photo licence).

The Competence Assessor must then send all the completed documentation to the IRSE Assessing Agency Manager for a licence application to be made to the IRSE. This documentation must include:

- Competence and Assessment Checklist (CAC)
- Evidence list and evidence
- Approved Licence Application form
- A passport style 'jpeg photograph or a copy of their licence card
- copies of the required pages from the candidates IRSE log book

When the result of the assessment is "Not yet competent" you must indicate on the CAC the areas where the candidate did not achieve the required standard. You must give feedback to the candidate that will leave them with a clear understanding about what they need to do to complete the assessment. You must then send a copy of this documentation to the IRSE Assessing Agency Manager. The AAM will then inform the IRSE.

For support and advice the CA can contact the TM, IQA or AAM.

4.5 Use of Video Link During Assessments

Both the Workplace Assessor and Competence Assessor may carry out assessments via video link (e.g. Skype, FaceTime or another suitable application).

It is recommended that this is recorded and sent with the documentation to the AAM. An assessment must be recorded if requested by the IRSE Licensing Registrar or AAM. On request, the assessment shall be recorded in full (audio and video) in a standard format not requiring specialised software. The recording shall be retained in line with section 7 of this procedure and shall be made to the IRSE and auditors if requested.

Assessments by direct observation may be carried out using a video link. Approval must be given by the Assessing Agency Manager before the assessment of direct observation via video link takes place. When an assessment by direct observation is undertaken via video link a recording must always be made and sent with the documentation to the AAM. All recordings of directly observed assessments form part of the assessment records and will be kept by PM Training and Assessing Ltd in line with section 7 of this procedure and shall be made aware to the IRSE and auditors if requested.

Where necessary a recording of a practical task being performed may be made on site for the assessor to examine later. Approval of this must be given by the Assessing Agency Manager prior to the recording.

At the start of the assessment, the Assessor shall establish the candidate's identity using a verifiable ID document.

Where an assessment is to be conducted via video link, the documentation must still be available to the Assessor at least a week before the date of assessment, in electronic format.

The completed assessment documentation must clearly state that a remote video link was used.

4.6 Sending the Paperwork to the IRSE

If you are the AAM you are required to:

- Keep a copy of all the CACs from workplace and/or competence assessments where the result is Not Yet Competent, on file.

If the result of the competence assessment is competent you must:

- Ensure that all documentation is completed correctly, i.e. all sections are present and filled in, the WA and CA have signed and dated in the required places.
- Ensure that IQA sampling is carried out as set out in the Sampling Plan.

You must then submit the following documentation to the IRSE Licensing Registrar:

- a complete copy of the Competence Assessment Checklist,
- details of the supporting evidence

4.7 Issuing the Licence

The IRSE Licensing Register will review the paperwork and issue the licence to the IRSE Assessing Agency Manager. Upon receipt of the licence the **AAM** must:

- enter the details of the licence into the licensing computer database, and
- send the licence to the candidate

If you are the **Candidate / Licence Holder** you are required to enter the details of your licence in the Licence Details section of your logbook.

An IRSE licence is valid for a period of 10 years. The licence however will show a "valid to date" which will be for a period of up to 5 years. This date will be followed by a letter "S" or "R".

If an "S" follows the validity date it denotes that the licence holder will need to undergo the surveillance process for the next assessment. See section 4.8

If an “R” follows the validity date it denotes that the licence holder will need to undergo a renewal assessment for the next assessment. See section 4.9

4.8 Surveillance Check

Licence holders will be subject to a surveillance check and interview by a Competence Assessor for each licence category they hold. This will take place 5 years after the initial assessment.

Successful completion of the surveillance check will allow the licence holder to maintain their IRSE licence for the full 10 year period. If the Competence Assessor feels that there is insufficient evidence to confirm satisfactory continuous competence then a full assessment (as per an initial application) will be required.

The Competence Assessor carrying out the surveillance will check that the licence holder’s logbook has been regularly completed and that the licence holder is still carrying out licensable work. The Competence Assessor will also check that the candidate has had a Log book review in the previous 12 months.

The Competence Assessor will assess the licence holder using the current Competence Assessment Checklist for the category concerned. If this has changed from the version that the licence holder was originally assessed against then the Competence Assessor must ensure that the licence holder has maintained competence in line with any changes in the competence criteria.

If you are the **Licence Holder** you must fill in the personal statement boxes as a shelf check that you are still complying with the competence criteria and provide supporting evidence.

If you are the **Competence Assessor** you must complete the most recent version of the CAC from the IRSE website.

You must send the following paperwork to the IRSE AAM who will forward it to the IRSE licensing Scheme Registrar:

- The Competence Assessment Checklist
- Evidence list and supporting evidence.
- Approved Licence Application form
- A passport style .jpeg photograph if they want a new photo on their licence
- Copies of pages from the candidates’ log book, as specified by the IRSE.

4.9 IRSE Licence Renewal

To continuously maintain an existing IRSE licence the competence assessment to renew a licence must take place at least 6 weeks before, the expiry date of the original licence. If the new licence is not issued by the IRSE before the expiry date the licence holder will not be considered competent to carry out licensable work between the expiry date of the original licence and the date when the IRSE issue the new licence. If you are

a Licence Holder it is your responsibility to make sure that your licence is renewed before the expiry date.

If you are a Licence Holder wanting to renew an existing licence category you must demonstrate that you continue to meet the requirements specified in the competence standards for the particular licence categories. You will be required to demonstrate that you have been employed on licensable work over the past 5 years. Your logbook must be up to date and have been reviewed every year.

To qualify for the renewal of your licence, using the renewal process detailed below, you must have maintained an adequate record of your licensable work. If you have failed to adequately maintain your IRSE logbook a full initial assessment will be needed before your licence can be renewed.

You should complete a self-evaluation by completing the personal statement boxes on the CAC and cross-reference supporting evidence. They may also cross reference to relevant entries in their logbook.
The **AAM** will appoint a Competence Assessor to check this self-assessment for validity, authenticity, currency and sufficiency. The Competence Assessor will also check that your logbook is up to date. If self-assessment is successful then the competence assessor will carry out an assessment as if it was a workplace assessment, including observation, if required.

If self-assessment is not satisfactory then further evidence is required through a workplace assessment as per an initial assessment.

The level of detail recorded should be consistent with that of a workplace assessment (i.e. activity observed, equipment worked on, location etc.).

Where for any reason the Competence Assessor is not able to assess the performance criteria that must be assessed by direct observation, they may delegate this to a suitably approved Workplace Assessor who holds the relevant current occupational competence. In this case:

- The Competence Assessor must specify which performance requirements they wish to be observed. Where an observation has taken place the checklist should clearly show what was observed, where, and by whom.
- The Workplace Assessor must submit their assessment and any supporting evidence, clearly showing how the performance requirements were met, to the Competence Assessor before the competence assessment interview takes place.
- The competence assessor should clearly indicate on the checklist how all the performance requirements have been met, including any observed by the workplace assessor.

The Competence Assessment must be carried out within six months of the category expiring otherwise a workplace and competence assessment must be undertaken.
If there is insufficient evidence for the Competence Assessor to confirm the competence of the applicant then full workplace and competence assessments in line with the initial application process need to be undertaken.

4.10 Lost, Stolen or Damaged Licenses

Following the loss, theft or damage of an IRSE Licence, the Licence Holder must request the IRSE AAM to arrange to r e-issue of the licence. The AAM will then arrange a replacement licence through the IRSE Licensing Registrar. When receiving the new licence the licence holder should record the details of the replacement licence on the Licence Details Form in their IRSE logbook.

4.11 External Candidates

External candidates should approach the PM Training and Assessing Ltd AAM to arrange any workplace and / or competence Assessments. The AAM will undertake licensing and re-licensing of external candidates without prejudice, subject to the availability of suitable workplace and competence assessors.

4.12 Dealing with Candidates that Have Additional Training & Assessment Requirements Policy

PM Training and Assessing Ltd take a positive approach to providing a range of assessment strategies and variations in assessment methods to cater for candidates with Additional training and assessment requirements.

We will normally vary our assessment arrangements, where the standards permit, in order that candidates receive access to a fair and reliable assessment. The nature of the arrangements depend largely upon the license that is being followed, the individual's assessment requirements and the availability of qualified assessors within the company.

It is recognised that occasionally there may be candidates who require additional consideration with regards to the assessment. When this occurs advice should be sought from the IQA or AAM who may get advice from the IRSE if necessary.

If you are the **Assessor** you will:

- Prior to the assessment commencing ask candidates to make them aware of any special assessment requirements
- Agree any changes in assessment methods with candidates and IQA.

4.13 Management Review and Internal Audit

A review will be undertaken on an annual basis of the activities of PM Training and Assessing Ltd. This will be recorded as part of the Assessing Agency Meeting and will cover the following as a minimum:-

- Effectiveness of Assessing Agency
- Any complaints received
- Appeals against decisions

- Any improvements required.

PM Training and Assessing Ltd will, on an annual basis, conduct an internal audit of the functions of the Assessing Agency, this will be against the latest version of the IRSE Assessing Agency Audit Checklist, which will be downloaded from the IRSE website.

5 PAYMENT TERMS FOR IRSE ASSESSMENTS

Payment Terms are strictly 30 days from the date we receive your assessment in the office, unless special arrangements have been made. If payment is not made within 90 days PM Training and Assessing Ltd reserve the right to apply a charge of 8% per annum, above the current base rate to any overdue payments. If payment is not made within 120 days the debt will be passed on to our debt collecting agency. In the event of non-payment the fees from the Companies Collection Agency, will be added to the outstanding account.

Assessment charges are applicable whether the candidate is found 'competent' or 'not yet competent'.

If the candidate fails to complete the assessment within the timeframe required then the candidate is personally liable to for the cost of the assessment up to that point.

No licences will be processed to the IRSE unless payment has been made or a company purchase order is in place.

A licence will not be issued if the candidate has not paid the assessors in full if s/he is paying them direct.

Going ahead with the assessment is proof that the candidate (and his/her company if applicable) accept these terms.

6 ASSESSMENT STRATEGY

6.1 Recruitment of Assessors

All assessors will be recruited in line with the Equality & Diversity Policy.

Assessors must have a nationally recognised assessor qualification and be up to date with current standards.

Assessors must prove occupational competence in the area of work they will be assessing, and show continuous professional development. This must acceptable to the IRSE.

Assessors must provide a CV and certificates which will form the basis for a discussion with the appropriate technical mentor (TM). The TM will make a recommendation to the Assessing Agency Manager (AAM) who will have the final decision as to whether an assessor is appointed.

The IQA will take copies of the CV and certificates. These will be kept on file.

Trainee assessors must be registered for a nationally recognised assessor's award and actively working towards achievement. Assessors are expected to achieve their qualification within 12 months.

Assessors will agree and sign a contract with PM Training and Assessing Ltd.

6.2 Development of Assessors

Assessors will be supported by an Internal Quality Assurer (IQA) who is responsible for their development.

Each assessor must keep up to date with current IRSE requirements. The assessor and IQA will discuss their developmental needs at an informal meeting.

The IQA will keep assessors aware of training and development opportunities.

The IQA will have regular assessor meetings at which general development issues will be raised and particular development needs will be met through:

- standardisation (looking at and making judgements on other assessor's work, discussion of assessment experiences etc.)
- discussion on current practices

6.3 Monitoring of Assessors

Internal Quality Assurers are responsible for monitoring the quality of the assessments done by the assessors. This will be done in a number of ways:

1. **Sampling of candidate's assessment paperwork** – the IQA will sample one unit of every assessment for both the workplace and competence assessor. The IQA will check that the evidence meets the standards and that the paperwork

has been filled in correctly. The IQA will fill in a monitoring sheet and feed this back to the assessor.

2. **Observation & Professional Discussion of assessors**:
    a. Trainee Assessors – will be monitored in line with the current national qualification they are working towards.
    b. New Assessors - will have an observation within the first 3 assessments completed.
    c. Experienced Assessors – will have an observation at least every 5 years.

    If the IQA has any concerns about any assessor the IQA will do more discussions and observations as appropriate, to bring the assessor in line with the quality expected. A record will be kept in the assessors file.

3. **Standardisation meetings** – the IQA will hold regular standardisation meetings to review and discuss assessments. The IQA will facilitate the meeting and discussions.

7 CONFLICT OF INTEREST

7.1 Definition of Conflict of Interest

A conflict of interest is a situation in which an individual or organisation has competing interests or loyalties.

7.2 Examples of Conflict of Interest

Conflicts of interest can arise in a variety of circumstances in relation to awarding organisation activities. For example:

- The training delivery function and the awarding function rest within one organisation, and the functions are not strictly delineated.
- An individual has a position of authority in one organisation, which conflicts with their interest in another organisation.
- An individual has personal interests that conflict with their professional position.
- An individual is carrying out work for PM Training & Assessing Ltd and has friends or relatives undertaking a qualification with us.
- A conflict between the official responsibilities of a Trainer/ Assessor/ IQA and any of their other interests, which could compromise, or appear to compromise, their decisions
- A person who is connected to the development, delivery or awarding of qualifications by the organisation has interests in any other activity that has the potential to lead that person to act contrary to their interests in development, delivery or awarding in accordance with the awarding organisation's conditions of recognition.
- A person assessing a close relative, i.e., a parent, grandparent, aunt, uncle, child, sibling, spouse, or partner.
- An informed and reasonable observer would conclude that any of the above situations is a conflict of interest.

This is **not** an exhaustive list, and staff/ contractors should contact the AAM to find out if a particular situation is deemed a conflict of interest or not.

7.3 Roles & Responsibilities

Staff and contractors undertaking roles for IRSE assessments on behalf of PM Training & Assessing Ltd must be free from conflicts of interest that could negatively affect their judgment or objectivity towards the organisation when performing business activities and assignments.

PM Training and Assessing Ltd recognises that assessors and IQAs may be involved in other activities outside of their roles with us; however, any potential conflict of interest arising from those activities must be acknowledged, disclosed, and, where relevant, properly managed.

All relevant staff involved in roles where there is a possibility of conflict of interest have the duty to declare any actual or potential conflicts of interest to the AAM.

Once a conflict is declared to the AAM, it is the AMM's responsibility to assess the information and determine if further action is needed. If necessary, the AAM should implement measures to mitigate the conflict of interest.

8 IQA STRATEGY

8.1 Management of Quality Systems

It is the Internal Quality Assurer's responsibility to ensure that the following systems are in place and are maintained to meet the awarding body's requirements.

Records of all assessors, Internal Quality Assurers and other staff involved in the assessment process and their qualifications.

Lists of candidates and assessors.

Progress and achievement of candidates.

Monitoring of assessors including assessor meetings, standardisation meetings, assessment paperwork sampling and observation of assessors.

8.2 Recruitment of IQAs

All IQAs will be recruited in line with the Equality & Diversity Policy.

IQAs must have a nationally recognised IQA / IV qualification and be up to date with current standards.

IQAs must prove to the Assessing Agency Manager (AAM) that they have a good knowledge of the area of work they will be quality assuring. This must be acceptable to the IRSE and evidenced in the same way as assessors.

The AAM will check the authenticity of certificates and take copies of the CV and certificates. These will be kept on file.

Trainee IQAs must be registered for a nationally recognised IQA award and be actively working towards achievement. IQAs are expected to achieve their qualification within 18 months.

8.3 Development of IQAs

IQAs will be supported by the AAM who is responsible for their development.

Each IQA must keep up to date with current IRSE requirements. The AAM and IQA(s) will discuss their developmental needs at an informal meeting.

The AAM will keep IQAs aware of training and development opportunities.

The AAM will have regular meetings at which general development issues will be raised and particular development needs will be met through:

- standardisation (looking at and making judgements on assessor's work, discussion of assessment experiences etc.)
- discussion on current practices

8.4 Support for Assessors

The following support will be made available by the IQA for the assessors.

- Regular assessor meetings
- Regular standardisation meetings
- One to one meetings where appropriate
- On going e-mail and telephone support

The AAM will support the IQAs in the same way.

8.5 IQA Procedure

The Internal Quality Assurer shall review the completed documentation covering both Workplace and Competence Assessment for a sample of the assessments undertaken based on a sampling plan dependent on the quality of assessments carried out by each assessor. They shall also witness a sample of assessments.

Where an assessor has not been observed carrying out an assessment to the standard set by the TAQA Level 3 award in assessing competence in the work environment, or equivalent, within the last five years, the next assessment carried out by that assessor must be observed.

Internal Quality Assurers shall be certificated to the TAQA Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice or equivalent qualification approved by the IRSE, and consistently work to, the TAQA Internal Quality Assurance standard while undertaking their role.

Internal Quality Assurers shall observe the assessments and review the assessment documentation of newly appointed assessors until they are satisfied those assessments are consistently being completed to the required standard.

Where necessary the Internal Quality Assurer shall arrange for a review of other assessments undertaken by the same assessor(s) and provide guidance on conducting assessments.

The Internal Quality Assurer shall compare the assessment decisions from different assessors for the same licence category for similar candidates and apply procedures to standardise assessment practice and outcomes by involving assessors in exercises to ensure the consistency of assessments.

The Internal Quality Assurer shall undertake the verification of those assessments sampled prior to their submission to the Licensing Registrar; however, if an assessment is found to be defective after a licence has been issued, the Internal Quality Assurer shall report the facts to the Assessing Agent's responsible manager and to the Licensing Registrar.

When an Assessor has not conducted any assessments in a particular licence category for five years, the Internal Quality Assurer shall be satisfied that the assessor concerned still has the competence and current experience to successfully assess candidates for that category.

An Internal Quality Assurer shall review the workplace and competence assessments for all applications that result in an appeal against the result of the formal assessment.

The Internal Quality Assurer shall document all IQA/IV activities including plans and the reports of those assessments subjected to IQA/IV; and these shall be available for audit purposes.

8.6 Monitoring of Assessors

Internal Quality Assurers are responsible for monitoring the quality of the assessments done by the assessors. This will be done in a number of ways:

1. **Sampling of candidate's assessment paperwork** – the IQA will sample one unit of every assessment for both the workplace and competence assessor. The IQA will check that the evidence meets the standards and that the paperwork has been filled in correctly. The IQA will fill in a monitoring sheet and feed this back to the assessor.

2. **Observation & Professional Discussion of assessors**:
    a. Trainee Assessors – will be monitored in line with the current national qualification they are working towards.
    b. New Assessors - will have an observation within the first 3 assessments completed.
    c. Experienced Assessors – will have an observation at least every 5 years.

    If the IQA has any concerns about any assessor the IQA will do more discussions and observations as appropriate, to bring the assessor in line with the quality expected. A record will be kept in the assessors file.

3. **Standardisation meetings** – the IQA will hold regular standardisation meetings to review and discuss assessments. The IQA will facilitate the meeting and discussions.

9 COMPLAINTS & APPEALS

9.1 Complaints Against Licence Holders and Endorsements

Any person who has witness the work of a licence holder can make a complaint about the licence holder. An endorsement can only be issued by the IRSE after an investigation has taken place and the evidence considered by the IRSE licensing committee. For details of this procedure see IRSE Licensing Procedure LP04 'Complaints' which provides detailed information on how complaints against licence holders are managed. This is available on the IRSE Licensing web site.

Complaints about the work or conduct of a Licence Holder must fall within the scope of the licensing scheme and may come from any source, e.g. infrastructure manager, employer, client, fellow employee. The complaint shall be made in writing to the Licensing Scheme, normally by use of the form on the Licensing Scheme website and shall contain at least sufficient information to enable an initial evaluation to be made. It is also expected that, where possible, the Licence Holder will be informed directly by the complainant, that a complaint is being made, and of its nature.

9.2 Appeals Against Assessment Decisions

A candidate has the right to appeal when they consider they have been unfairly treated either by;

- the result of workplace or competence assessment
- the withholding of access to an assessment

Initially, all appeals must be made to the AAM, in writing, within ten days of the assessment decision. The AAM will then investigate within thirty days of the appeal being lodged.

The AAM will also nominate the Appeal Panel members. The nature of the appeal will determine the most appropriate individuals to be involved. Typically a panel would consist of the AAM, and either some, or all, of the following, an independent workplace assessor, independent competence assessor and the relevant Technical Mentor.

If this appeal is rejected then the candidate may appeal to the IRSE Licensing Committee, but only if all efforts by PM Training and Assessing to resolve the situation have been exhausted.

In the event of a continuing "failure to agree", a candidate has the right to appeal to the Institute within the timescales set out in IRSE Licensing Procedure No4; Complaints and Appeals, in the following circumstances:

- refusal to issue a licence or licence category by the IRSE Licensing Committee,
- withdrawal of a licence or licence category by the IRSE Licensing Committee,
- revocation of a licence or licence category by the IRSE Licensing Committee, and
- the dismissal of an appeal by the PM Training and Assessing Ltd AAM.

Copies of the IRSE Licensing Procedure No4; Complaints and Appeals can be found at https://www.irse.org . The IRSE is a Nominated Body of the Engineering Council. Therefore any person whose grievance is not resolved by appeal to the Institution Council may appeal to the Engineering Council in accordance with Article 17.5 of the IRSE's Articles of Association.

9.3 Complaints Against the PMT Training & Assessing Ltd IRSE Assessing Agency (Stakeholder Complaints)

A candidate has the right to make a complaint about the Assessing Agency.

A candidate can complain to the AAM in the first instance and if they feel that this has not adequately been answered then this should be escalated to the IRSE Licensing Registrar who will conduct an investigation.

The IRSE Licensing Registrar shall conduct an investigation and this will be brought before the Licensing Committee who will decide what action, if any, will be taken.

10 RECORDS

All records of assessments shall be treated as confidential and securely filed. Records on computer database shall be protected by a password, which will be changed in the event of any Administration staff leaving.

All records will be maintained for 12 years.

11 CONFIDENTIALITY

All records holding information about candidates and assessors will be stored securely and password protected. Confidentiality will be maintained with access limited solely to those people for whom this is essential. Rights of access are identified in the procedure below.

The following staff will have access to all candidate records:

- IRSE Auditor
- Assessing Agency Manager and his/her Deputy
- Suitably qualified and authorised staff acting on behalf of the AAM (for audit purposes as necessary)
- Assessment Centre administration staff

The following staff will have access to specific candidates' records for the purpose of assessment and verification.

- Internal Quality Assurers
- Workplace and Competence Assessors

Candidates and their Line Managers have access to their own records by arrangement made through the AAM.

Any disclosure of confidential information to persons outside the Assessing Agency must be authorised by the Assessing Agency Manager and only information necessary for the purpose shall be disclosed. The recipient shall be made aware that the information is confidential and must be treated accordingly.

- Any request for confidential information received from a person outside the Assessing Agency shall be referred to the Assessing Agency Manager.
- The Assessing Agency shall contact the relevant individual to obtain their permission before any information is disclosed.
- Once permission has been confirmed, the requested information may be provided to the person outside the Assessing Agency.
- Confidential information shall not be disclosed unless the appropriate permission has been received.
- All correspondence relating to the request and disclosure shall be retained and filed accordingly.

11.1 Impartiality and independence

The Assessing Agent shall not allow commercial or other considerations to influence the confidentiality, objectivity, or impartiality of the assessment process.

Where a company provides both training and assessment services, it shall ensure that the use of both services does not result in any reduction in the impartiality of the assessment.

The personnel employed by the Assessing Agent need not be exclusively employed by the Assessing Agent, but their other employment shall not be such as to compromise their impartiality.

The independence and impartiality of the Assessing Agency and its activities shall be periodically verified by means of related body analysis. All assessors and Quality Assurers will sign either page 1 of the Approved Roles Form (Appendix B) or the IRSE Licensing Scheme - Workplace Assessor Qualification's and Approval Record (Appendix C). This details that the Assessors and Quality Assurer shall declare any information that will reveal a conflict of interest regarding the impartiality of the applicant's assessment to the Assessing Agency Manager. The Assessing Agent shall identify and evaluate such situations and assign responsibilities and tasks to ensure that impartiality is not compromised.

Assessors and quality assurers shall not participate in the assessment/verification process if they have been involved in related formal training activities associated with the evaluation of the applicant within the previous two years.
Assessors shall not have been involved with the formal training of the candidate, intended to deliver the competencies required for the licence being sought, in the two years prior to the assessment; and shall be sufficiently independent from the candidate to be able to assess the candidate's competence impartially. Each assessor shall verify the identity of the candidate before conducting the assessment.

12 PROCEDURE REVIEW

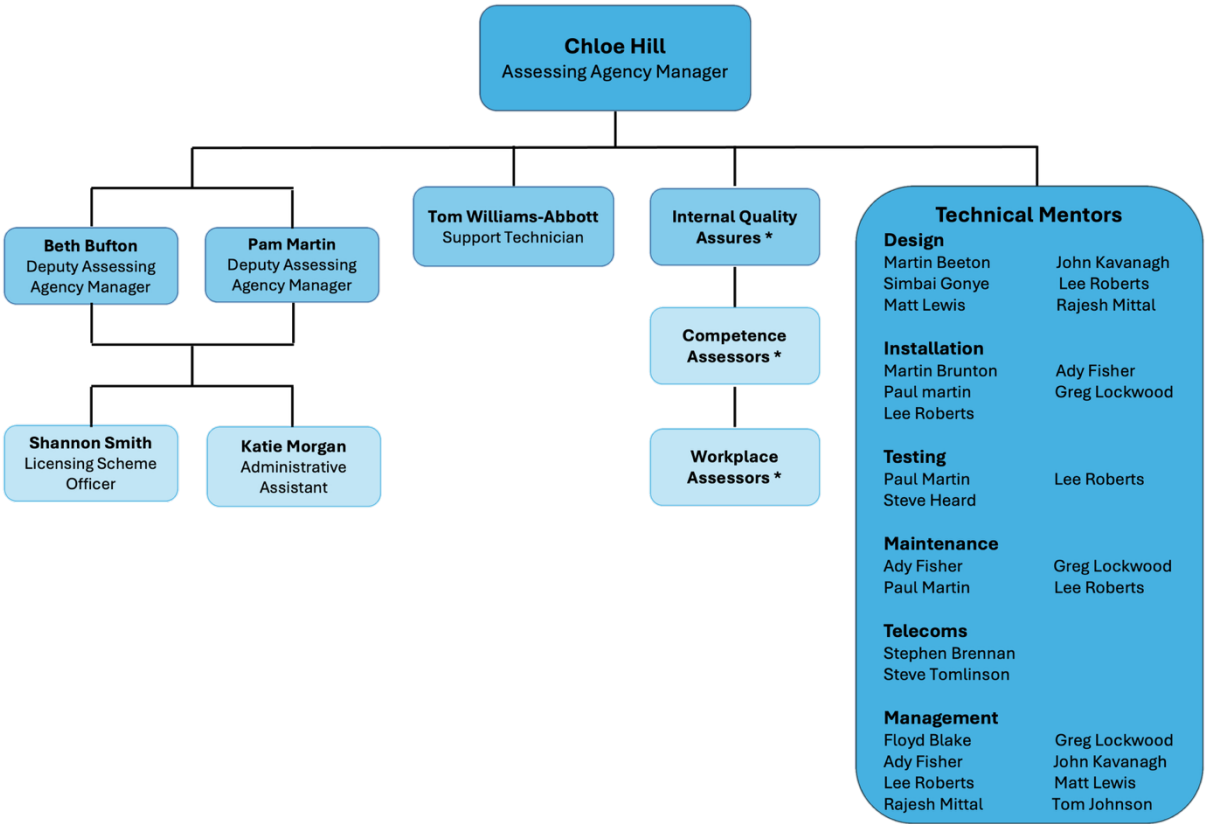
This procedure will be reviewed at intervals not exceeding 12 months. Responsibility for carrying out the review will rest with the AAM for PM Training and Assessing Ltd.

13 APPENDIX

Appendices are to reference linked documents within the IMS only – examples provided here are uncontrolled and for reference only.

Full & controlled versions of documents within the appendices can be accessed on the company website or provided directly upon request if required.

13.1 PM Training & Assessing Ltd Org Chart



13.2 IRSE Licensing Scheme Approved Roles Form, Page 1

IRSE
Institution of Railway Signal Engineers

Approved roles form
for CAs, TMs, IQAs, AAMs and DAAMs

Section A: Applicant details

Forename(s)	Click or tap here to enter text.		Surname	Click or tap here to enter text.	
Address	Click or tap here to enter text.			Licence number (if held)	Click or tap here to enter text.
Telephone	Click or tap here to enter text.	Email	Click or tap here to enter text.	Date of birth	Click or tap to enter a date.

Confidentiality
The observance of confidentiality is a fundamental duty of personnel associated with the Licensing Scheme and is not terminated with the passage of time. Information learned or obtained as a result of undertaking Licensing Scheme activities must always be maintained in absolute confidence. You must agree to keep confidential all information obtained in the process of IRSE Licensing activities and not to disclose to any third party without the prior written consent of the organisation or individual from whom the information was obtained, except where the law requires such information to be disclosed. When required by law to release such information, the organisation or individual concerned shall be informed beforehand of what information is required.

Conflict of interests
You must always act in the best interests of the IRSE and its stakeholders, and in accordance with the law, professional practice rules, IRSE Licensing Scheme rules and procedures and the principles of good professional conduct. You must not permit your own personal interests or those of your employer / client to influence your behaviour. Where there is a conflict of interest between your appointment and your other business activities or interests, you must inform the Licensing Registrar of the circumstances, so that your suitability may be reviewed.

Impartiality
You must undertake all work in your IRSE approved role impartially. The promise of favours, financial reward or fear of consequences must not influence any decision regarding the recommendation for the award of a licence.

I agree to comply with the requirements of the IRSE Licensing Scheme and to be bound by its rules.

Applicant signature		Date	Click or tap to enter a date.

v.5 March 2025

13.3 IRSE Licensing Scheme Workplace Assessor Qualifications and approval Record, Page 1

IRSE Licensing Scheme - Assessor Qualifications and Approval Record

SECTION A (to be completed by the assessor / assessing agent manager)

Surname	Forenames	Title	IRSE licence/membership No
NI No	Telephone	Email address	
Assessing agent (AA)			

Assessor qualification & date	Awarding body & certificate No	AA Manager Signature	Date

Occupational Competence Explain the training & experience that has given you the required level of knowledge, understanding and competence for the licence categories listed. You will normally be expected to have at least 5 years' relevant experience in the licence category. Holding a current licence in a specific category is accepted as evidence.

Licence Category	Evidence of recent industrial / occupational experience for each licence category	Confirmed by the AA TM for the category (or authorised deputy*) Signature	Date

* The TM may delegate approval of WPAs to those with appropriate knowledge and experience. The Assessing Agent Manager shall retain a record of delegated approvals.

Declaration

Confidentiality The observance of confidentiality is a fundamental duty of personnel associated with the Licensing Scheme and is not terminated with the passage of time. Information learned or obtained as a result of undertaking Licensing Scheme activities must always be maintained in absolute confidence. You must agree to keep confidential all information obtained in the process of IRSE Licensing Activities and not to disclose to any third party without the prior written consent of the organisation or individual from whom the information was obtained, except where the law requires such information to be disclosed. When required by law to release such information, the organisation or individual concerned shall be informed beforehand of what information is required.

Conflict of Interests You must always act in the best interests of the IRSE, its stakeholders and in accordance with the law, professional practice rules, IRSE Licensing Scheme rules and procedures and the principles of good professional conduct. You must not permit your own personal interests or those of your employer / client to influence your behaviour. Where there is a conflict of interest between your appointment and your other business activities or interests, you must inform the Assessing Agent Manager of the circumstances, so that your suitability may be reviewed.

Impartiality You must undertake all work in your role as an IRSE Workplace Assessor impartially; the promise of favours, financial reward or fear of consequences must not influence any decision regarding the assessment of an applicant for a licence.

I agree to comply with the requirements of the IRSE Licensing Scheme and to be bound by its rules and to notify the IRSE if I believe for whatever reason (e.g. have not kept up to date in a certain licence category) that I no longer have sufficient occupational competence to undertake an assessment in any of the licence categories listed above	**Signature**	
	Date	

Please type or complete this form in **black ink** IRSE quals & approval v4 May 2022 1

13.4 IRSE Privacy Statement, Page 1

IRSE OPERATING PROCEDURE 04
Privacy Statement – IRSE Assessments

By undertaking the assessment process, you are agreeing for your data being used in the following way:

- The Workplace and Competence Assessor will be given access to your details to enable them to carry out your assessment. They will have access to all documentation that relates to your assessment.
- The Assessing Agency Manager, Deputy Assessing Agency Manager, Technical Mentor, Internal Quality Assurer and administration staff will have access to your details and assessment paperwork for the purpose of processing, checking and quality assurance.
- The IRSE will have access to a copy of your assessment and related paperwork. Their auditors may check your original assessment, evidence & log book at our annual audit.
- If there is a dispute about your assessment, then other Assessing Agency staff e.g. a further assessor, may also be granted access at the discretion of the Assessing Agency Manager or Deputy Assessing Agency Manager.
- Your assessment may be used within the assessing agency for standardisation purposes with assessors and IQAs. No personal data other than your name will be disclosed.
- If you are working for a company, either as an employee or a contractor, who have requested your assessment, or are paying for your assessment, then they will be given details of the progress of your assessment and a copy of your assessment paperwork if request. An electronic copy of your licence will be sent to them.

A copy of your assessment will be kept by PM Training and Assessing Ltd for 12 years, after the date of issue of the licence. If you are found 'not yet competent' then your assessment will be kept for 12 years, after the date of the assessment.

If you have had a video of your assessment this will be kept until the upcoming IRSE audit has been completed.

You can request a copy of all the paperwork relating to your assessment at any time during the 12-year period. To gain a copy you must put your request in writing to the Assessing

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