



Part of the  
**Enginuity** Group

# Qualification Manual

## **EAL Level 3 Diploma in Train Driving**

**Qualification code: C00/4312/6**

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# 1.0 About EAL

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Since 1964 EAL (Excellence, Achievement and Learning) has been awarding vocational qualifications and apprenticeship components for engineering, building services and related sectors. Developed to the highest technical standard, our qualifications are regularly updated to reflect regulatory, employer and technical changes. We support the providers of our qualifications with an unparalleled level of service to ensure that learners are well prepared for the roles they plan to take on.

EAL recognise the value of skills in the work environment as one of the five key drivers of productivity, essential for economic growth and bringing a number of wider social benefits. Through its programme of continuous improvement EAL strives to meet the demand from employers for high performing, high quality products.

In 2012, EAL changed its name from EMTA Awards Limited to Excellence, Achievement and Learning, to better reflect its wide reaching position across industry – providing qualifications, not only in Engineering and Manufacturing, but also specialising in Building Services Engineering, Gas Utilisation, Environmental Technologies, Business Services and closely related sectors.

## 1.1 Equal opportunities and diversity

EAL expects its centres to enable learners to have equal access to training and assessment for qualifications in line with equalities legislation. Further details can be located in the EAL Equal Opportunities and Diversity Policy:

<http://www.eal.org.uk/centre-support/centre-support/policies-and-important-documents>

Note: Where learners taking the qualification in a region where legislation, organisations, regulations detailed does not apply, relevant legislation should be substituted.

## 1.2 Customer Experience and feedback

Customer Experience is a fundamental part of EAL's commitment to you. EAL aims to ensure that all customers receive a high-quality efficient service. We are always interested in feedback and if you have any comments or feedback on our qualifications, products or services, please contact the Customer Experience team:

EAL Customer Experience

Tel: +44 (0)1923 652 400

Email: [Customer.Experience@eal.org.uk](mailto:Customer.Experience@eal.org.uk)

## 2.0 About the qualification

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The EAL Level 3 Diploma in Train Driving is a competence-based qualification requiring work-based evidence of the learner's competent ability and demonstration of their underpinning knowledge and understanding in a range of train driving activities including: preparing for duty, communicating effectively, preparing, and operating trains for service, responding to train faults and out of course situations; and customer service. It has 834 guided learning hours (GLH) and a Total Qualification Time (TQT) 895 hours (This is notional time required by the learner to complete the qualification).

The qualification is graded pass or fail only.

The qualification is designed for learners who are undertaking formal training as a train driver in the transport sector and provides recognition of their competence.

### 2.1 Learner registration and certification

Learners must be registered with EAL on a code which relates to the qualification - this must be completed prior to assessment. Both learner registration and certification can be completed online at the EAL [www.eal.org.uk](http://www.eal.org.uk)

Qualification Title:	Code:
EAL Level 3 Diploma in Train Driving	C00/4312/6

### 2.2 Qualification support materials

The following assessment support materials are available:

- **Unit documentation**

These contain the details of the performance outcomes and knowledge and understanding requirements that are required to be assessed and evidenced.

## **2.3 Achievement of the qualification**

Learners will be required to create a Portfolio of Evidence to prove their competence in the workplace.

The qualification awarded when all the necessary units have been achieved. The centre will then be able to apply for the learner's certificate of achievement. The learner will also receive a certificate of unit credit, listing all the units they have achieved. If learners do not complete the full qualification, they can still claim a certificate of unit credit for the units achieved. This will mean that they will still have proof of their ability and could complete one of the qualifications at a later date.

Units can also be taken individually (stand-alone units). This manual must be used in conjunction with the delivery and assessment of any individual units to ensure that assessment requirements and methodologies are consistently applied.

## 3.0 Centre and qualification approval

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Centres wishing to deliver this qualification will need to comply with the Qualification Manual and EAL's centre recognition criteria. Centres must also put in place the appropriate physical and human resources and administration systems to effectively run the qualification.

**For existing EAL centres to put the qualification on your centre remit:**

To add this qualification to your centre qualification remit, create and complete a qualification approval application form in Smarter Touch and submit to EAL.

**For non EAL centres to gain centre approval to run the qualification:**

Please contact the EAL Customer Experience Team who will be delighted to hear from you:

EAL Customer Experience

Tel: +44 (0)1923 652 400

Email: [Customer.Experience@eal.org.uk](mailto:Customer.Experience@eal.org.uk)

## 4.0 Qualification structure

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To achieve this qualification learners are required to obtain all the units this diploma has 834 guided learning hours (GLH) and a Total Qualification Time (TQT) 895 hours (This is notional time required by the learner to complete the qualification).

**Mandatory Units:** All units must be completed:

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<b>EAL code</b>	<b>Unit title</b>	<b>GLH</b>
TD3-02	Prepare personally for duty	<b>14</b>
TD3-03	Communicate effectively	<b>217</b>
TD3-04	Prepare trains for service	<b>70</b>
TD3-05	Operate trains in service	<b>372</b>
TD3-06	Respond to train faults	<b>56</b>
TD3-07	Respond to out of course situations	<b>77</b>
TD3-08	Provide effective customer service	<b>28</b>

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*(Note only: there is no unit: TD3-01 in this qualification)*

## 5.0 Assessment strategy

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### 5.1 Learners

Learners will need to be on a formal training scheme with a rail service company. Due to the nature of the role candidates must meet medical standards of physical health these are set out within the Train Driving Licences and Certificates Regulations 2010.

Learners must have both the potential and opportunity to achieve the assessment criteria set out in the qualification units and gain evidence from the workplace.

**Age range is 18+.**

### 5.2 Assessor requirements to demonstrate effective assessment practice

Assessment must be carried out by competent assessors that as a minimum must hold a Level 3 Award in Assessing Competence in the Work Environment. Current and operational assessors that hold units D32 and/or D33 or A1 and/or A2 as appropriate to the assessment being carried out, will not be required to achieve the Level 3 Award as they are still appropriate for the assessment requirements set out in this unit assessment strategy. However, they will be expected to regularly review their skills, knowledge and understanding and where applicable undertake continuing professional development.

#### **Assessor technical requirements**

Assessors must be able to demonstrate that they have verifiable, relevant, and sufficient technical competence to evaluate and judge performance and knowledge evidence requirements as set out in the relevant unit learning outcomes and associated criteria.

This will be demonstrated either by holding a relevant technical qualification or by proven industrial experience of the technical areas to be assessed. The assessor's competence must, at the very least, be at the same level as that required of the learner(s) in the units being assessed.

#### **Assessors must also be:**

- a) Fully conversant with the Awarding Organisation's assessment recording documentation used for the units against which the assessments and quality assurance are to be carried out, other relevant documentation and system and procedures to support the QA process
- b) Demonstrate their ability and commitment to maintain their occupational competence
- c) Be able to relate the standards against which they will be assessing learners, to the activities in the workplace.
- d) Provide evidence that they:
  - understand and can interpret the qualification learning outcomes and criteria
  - recognise acceptable sources of evidence for the qualification; and can implement the recording procedures required
  - can implement the relevant assessment administration procedures.
- e) Be in regular contact with the learners and the IQA; and
- f) hold the appropriate assessor award (as defined by the regulatory authorities) or have a clear plan for achieving the award(s) within 18 months of commencing assessments (trainee Assessors must have their work countersigned by a qualified Assessor).



### 5.3 Internal quality assurance requirements

**Internal quality assurance (IQA)** must be carried out by competent IQA's that as a minimum must hold a Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practices. Current and operational IQA's that hold internal quality assurance units V1 or D34 will not be required to achieve the Level 4 Award as they are still appropriate for the IQA requirements set out in this unit assessment strategy.

IQA's must be familiar with, and preferably hold, either the nationally recognised assessor units D32 and/or D33 or A1 and/or A2 or a Level 3 Award in Assessing Competence in the Work Environment.

In addition, IQAs must:

- a) be able to relate to the qualification learning outcomes and criteria
- b) provide evidence that they:
  - understand and can interpret the qualification learning outcomes and criteria
  - recognise acceptable sources of evidence for the qualification; and
  - can implement the recording procedures required
  - can implement EAL's quality assurance and administration procedures.
- c) be in regular contact with the assessor and
- d) hold the appropriate IQA award (as defined by the regulatory authorities) or have a clear plan for achieving the award(s) within 18 months of commencing assessments (trainee IQAs must have their work countersigned by a qualified IQA).

It is recommended that IQA's hold the appropriate assessor qualification.

#### **Specific requirements for Internal Quality Assurers**

Internal Quality Assurers must be able to demonstrate they have verifiable, sufficient and relevant industrial experience, and must have a working knowledge of the processes, techniques and procedures that are used in the relevant sector/occupation.

The tables on the following page show the recommended levels of technical competence for assessors, IQAs and EQAs.

## Requirements for Assessors and Quality Assurers

Position	Prime activity requirements	Support activity requirements	Technical requirements (see notes)
Assessor	Assessment Skills	IQA Systems	Technical competence in the areas covered by the units being assessed
IQA	Quality Assurance Skills	Assessment Knowledge	Technical understanding of the areas covered by the qualifications
EQA	Quality Assurance Skills	Assessment Understanding	Technical awareness of the areas covered by the qualifications

### Notes:

1. Technical **competence** is defined here as a combination of practical skills, knowledge, and the ability to apply both of these, in familiar and new situations, within a real working environment.
2. Technical **understanding** is defined here as having a good understanding of the technical activities being assessed, together with knowledge of relevant health and safety implications and requirements of the assessments.
3. Technical **awareness** is defined here as a general overview of the subject area, sufficient to ensure that assessment and portfolio evidence are reliable, and that relevant Health and Safety requirements have been complied with.
4. The competence required by the assessor, IQA and EQA, in the occupational area being assessed, is likely to exist at three levels as indicated by the shaded zones in the following table.

Technical Competence required by:	An ability to discuss the general principles of the competences being assessed	An ability to describe the practical aspects of the competence being assessed	An ability to demonstrate the practical competences being assessed
Assessor			
IQA			
EQA			

## 5.4 Expert Witnesses

Where “Expert Witnesses” are used in the assessment process they must be sector competent individuals who can attest to the learner’s performance in the workplace. It is not necessary for expert witnesses to hold an assessor qualification, as a qualified assessor must assess the performance evidence provided by an expert witness. Evidence from expert witnesses must meet the tests of validity, reliability, authenticity and sufficiency. Expert witnesses will need to demonstrate:

- they have relevant current knowledge of industry working practices and techniques
- that they have no conflict of interest in the outcome of their evidence.

## 5.5 Assessment of performance outcomes

Evidence for the performance outcomes must be valid, sufficient, current, and reliable and must attest to the learner’s competence in the activity being assessed and must be assessed by a qualified Assessor in accordance with Section 5.2.

The primary source of evidence will be naturally occurring and from the workplace. **If the learner cannot meet all assessment criteria from naturally occurring evidence from the workplace; and needs to simulate a specific task, please refer to the guidance notes “Centre Guidance for Developing Assessments for Simulation/Replication” in smarter touch.**

The performance criteria within this qualification have applicable codes to indicate the preferred assessment methods and approaches to assessment these are:

- **U:** Unannounced monitoring
- **O:** Direct observation of work
- **R:** Review of records produced
- **T:** Validated testimony (from an Expert Witness)
- **S:** Simulation (*but see bold text above*).

These are combined to indicate a preferential order, such as:

- **O/T:** Observation of work is preferred, but if this is not possible than a statement from a competent person who has seen the work taking place is acceptable.
- **O/S:** The preferred method is by observation but if this is not possible a simulation may be used as an alternative (*simulation to be in accordance with Centre Guidance for Developing Assessments for Simulation/Replication” in smarter touch*).

Learners must demonstrate competent performance for the activity being assessed over a period of time. Therefore, Assessors must use their professional judgment to determine when competent performance has been achieved for the activity to meet the performance criteria. In practice it would be anticipated that individual performance criteria will require evidencing between one and three times depending on the activity being carried out. This will be based on the Assessor’s professional judgement to ensure consistency of performance.

### Witness testimony

Where observation is used to obtain performance evidence, this must be carried out against the unit performance criteria. Best practice would require that such observation is carried out by a qualified Assessor. If this is not practicable, then alternative sources of evidence may be used. For example, the observation may be carried out against the performance criteria by someone else that is in close contact with the learner. This could be a team leader, supervisor, mentor or line manager who may be regarded as

a suitable witness to the learner's competency. However, the witness must be technically competent in the process or skills that they are providing testimony for, to at least the same level of expertise as that required of the learner. It will be the responsibility of the assessor to make sure that any witness testimonies accepted as evidence of the learner's competency are reliable, auditable and technically valid.

## **5.6 Assessment of knowledge and understanding**

### **Assessing knowledge and understanding**

Evidence for the knowledge and understanding outcomes must be valid, sufficient, current, and reliable and must be assessed by a qualified Assessor in accordance with Section 5.2.

It is anticipated that auditable oral questioning will be the primary assessment method for evidencing the knowledge and understanding criteria. Where this is the case the unit's evidence reference can indicate the appropriate audio timestamp. Written answers are also acceptable providing the knowledge and understanding is validated by the Assessor. In appropriate situations knowledge and understanding may also be inferred through practical demonstration.

Assessors should ask enough questions to make sure that the learner has an appropriate level of knowledge and understanding, as required by the unit.

The achievement of the specific knowledge and understanding requirements of the units cannot simply be inferred by the results of tests or assignments from other units, qualifications, or training programmes. Where evidence is submitted from these sources, the assessor must, as with any assessment, make sure the evidence is valid, reliable, authentic, directly attributable to the learner, and meets the full knowledge and understanding requirements of the unit.

Where oral questioning is used the assessor must retain a record of the questions asked, together with the learner's answers.

## 5.7 Quality control of assessment: General

There are two major points where EAL interacts with the Centre in relation to the external quality control of assessment for a qualification and these are:

- Approval - when a centre takes on new qualifications, the awarding organisation, normally through an External Quality Assurer (EQA) ensures that the centre is suitably equipped and prepared to deliver the new qualification
- Monitoring - throughout the on-going delivery of the qualification the awarding organisation, through EQA monitoring and other mechanisms must maintain and the quality and consistency of assessment of the qualification.

### Approval

In granting approval, the awarding organisation, normally through its External Quality Assurer (EQA) must ensure that the prospective centre:

- meets any procedural requirements specified by the Awarding Organisation
- has sufficient and appropriate physical and staff resources
- meets relevant health and safety and/or equality and access requirements
- has a robust plan for the delivery, assessment and QA for the qualifications.

EAL will visit the centre to view the evidence provided. The Centre must have a clear rationale for the method(s) deployed.

### Monitoring

The Awarding organisation, through EQA monitoring and other mechanisms must ensure:

- that a strategy is developed and deployed for the on-going awarding organisation monitoring of the centre. This strategy must be based on an active risk assessment of the centre. In particular the strategy must identify the learner, assessor and IQA sampling strategy to be deployed and the rationale behind this
- that the centre's internal quality assurance processes are effective in learner assessments
- that sanctions are applied to a centre where necessary and that corrective actions are taken by the centre and monitored by the awarding organisation/EQA
- that reviews of awarding organisation's external auditing arrangements are undertaken.

## 6.0 About the qualification's units

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This qualification is made up of a number of nationally recognised units which EAL has converted into performance criteria, and knowledge and understanding assessment material. These documents allow both the learner and the assessor to record the progress through the qualification.

The units contain the performance to be assessed, and the knowledge and understanding to be assessed and the evidenced from the learner to demonstrate their competence.

All units in these qualifications contain the following information:

- qualification and unit title
- unit level
- unit summary
- performance to be assessed and evidenced
- knowledge to be assessed and evidenced

### 6.1 Learner's portfolio building and referencing

For guidance to assessment and exemplars on completing documentation including completed assessment units and assessment planning documentation refer to EAL centre guidance.

For further information please contact EAL Customer Experience:

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