



**NPTC**

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**Level 2  
CERTIFICATE OF COMPETENCE  
IN  
FORK LIFT TRUCK OPERATIONS  
ASSESSMENT SCHEDULE**

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## NPTC Level 2 Certificate of Competence in Forklift Truck Operations

### Candidate Information

#### Introduction

The scheme will be administered by NPTC.

NPTC will:

- Publish
  - scheme regulations
  - Assessment schedule
  - Assessment material
- Approve centres to co-ordinate and administer the scheme
- Set standards for the training of Verifiers and Assessors
- Recruit, train and deploy Verifiers
- Manage verification
- Issue certificates to successful Candidates

#### The Certificate of Competence

Certificates of competence will be awarded to Candidates who achieve the required level of competence in the Units to which their Certificate relates.

#### Instruction

It is a legal requirement to undergo training before using a forklift truck and potential Candidates are strongly advised to ensure that they are up to the standards that will be expected of them when they are assessed. However, NPTC do not prescribe what course should be attended.

NPTC does **not** hold a register of instructors; however instruction will normally be available from recognised training providers and/or centres of further or higher education active in the areas covered by this certificate. Further information on training may be obtained from the local Assessment Centre.

#### Access to Assessment

Assessment Centres will be responsible for arranging assessment on behalf of a Candidate. Assessment may only be carried out by an Assessor approved by NPTC for that scheme. Under no circumstances can either instructors involved in the preparation of candidates, or the candidates work place supervisors, or anyone else who might have a vested interest in the outcome, carry out the assessment.

The minimum age limit for Candidates taking certificates of competence is 16 years. There is no upper age limit.

#### Assessment

The candidate must be registered through an NPTC approved Vocationally Related Qualification (VRQ) Assessment Centre prior to assessment.

Assessment is a process by which it is confirmed that the Candidate is competent in the Units within the award to which the assessment relates. It is a process of collecting evidence about his/her capabilities and judging whether that evidence is sufficient to attribute competence.

The result of the assessment will be recorded on the assessment report form.

The schedule of assessment contains the performance criteria relating to:

- Observation of practical performance
- Assessment of underpinning knowledge

#### Performance Evaluation

At the Assessment the Assessor will evaluate each activity against the following criteria:

- 4 = Meets or exceeds the assessment criteria by displaying a level of practical performance and/or underpinning knowledge, with no 'minor' or 'critical' faults. (Competent).
- 3 = Meets the requirements of the assessment criteria for both the practical performance and the underpinning knowledge, with some 'minor' faults but no 'critical' faults. (Competent).
- 2 = Does not fully satisfy the requirements of the assessment criteria, being unable to perform the practical task satisfactorily or being deficient in underpinning knowledge leading to the recording of minor faults. (Not yet competent).
- 1 = Does not satisfy the requirements of the assessment criteria, being unable to perform the practical task satisfactorily or safely or being deficient in underpinning knowledge leading to the recording of a critical fault. (Not yet competent).

A list of registered Assessment Centres is available from NPTC. ([www.nptc.org.uk](http://www.nptc.org.uk))

#### Verification

Verification is a process of monitoring assessment; it is an essential check to confirm that the assessment procedures are being carried out in the way that NPTC has laid down. The overall aim of verification is to establish a system of quality assurance that is acceptable in terms of both credibility and cost effectiveness.

Approved Assessors will be subject to a regular visit by the verifier at a time when assessments are being undertaken.

A selection of assessment reports completed by the assessor will be evaluated by an NPTC approved verifier.

Compliance with the verification requirements is a pre-requisite for Assessors remaining on NPTC's list of approved assessors.

### **Complaints and Appeals**

NPTC and its Assessment Centres have a formal Complaints and Appeals procedure. In the event of any dissatisfaction with the arrangements and conditions of assessment, the candidate should first contact the Assessment Centre through whom the assessment was arranged and submit the complaint in writing.

For further information on NPTC's Equal Opportunities Policy and Complaints and Appeals Procedures, please refer to [www.nptc.org.uk](http://www.nptc.org.uk)

### **Learning Outcomes**

The candidate will be able to:

1. Identify those key aspects of legislation which apply to the safe preparation, loading and operation of a forklift
2. Prepare a forklift for work safely without risk to themselves, other people and the environment
3. Carry out daily and routine maintenance on a forklift
4. State the identified knowledge that underpins understanding of driving a loaded forklift
5. Operate a forklift for work safely without risk to themselves, other people and the environment
6. Understand the procedure to follow when on a highway
7. Understand the limitations of a forklift

### **Guidance Notes for Candidates and Assessors**

The assessment is divided into three compulsory units.

Unit 1 – Pre-use Safety – Forklift Trucks

Unit 2 – Safety awareness of loads prior to operation

Unit 3– Operate the forklift

Candidates must successfully achieve all Assessment Activities in all three units.

Certificates will be endorsed according to the type of forklift truck used in the assessment:

- i) Industrial Counterbalance Forklift
- ii) Rough Terrain Masted Forklift
- iii) Rough Terrain Telescopic Forklift
- iv) Reach Truck
- v) Side Loader
- vi) Order Picker

If the machine used for the assessment has interchangeable attachments, the Certificate can be endorsed "**including alternative attachments**" by completing the optional section within Unit 2 (activities 6, 7 and 8).

### **Safe Practice:**

Appropriate Personal Protective Equipment (PPE) must be worn as dictated by the Risk Assessment.

Any equipment used must be operated in such a way that the Candidate, Assessor, other persons or equipment are not endangered.

**Failure to operate safely and comply with these requirements will result in the Candidate not meeting the required standard.**

### **Validation of Equipment:**

A Manufacturer's instruction book or other operators' manual should be available.

All equipment being used for this assessment must comply with the relevant requirements of the Provision and Use of Work Equipment Regulations (PUWER) 1998.

Any lifting equipment must comply with the relevant requirements of the Lifting Operations and Lifting Equipment Regulations (LOLER) 1998

Vehicles must comply with Department of Transport and Road Traffic Acts where relevant.

Any appropriate type of forklift truck complying with legal requirements is acceptable for the assessment, provided it is suitably equipped for **all** assessment activities to be carried out.

<b>Candidates Name:</b>	<b>Date:</b>	<b>Start Time:</b>	<b>Duration:</b>	<b>hrs</b>
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<b>Unit 1 Pre-Use Safety – Forklift Truck</b>	
<b>Assessment Activities</b>	<b>Assessment Criteria</b>
1. Identify any hazards specific to the site, task and machine.	<ul style="list-style-type: none"> <li>- Walk the site and remove or mark hazards</li> <li>- Confirm that the condition of the site as acceptable for the operation to take place</li> <li>- Report to the appropriate person if the site condition is unsuitable</li> <li>- Set out warning signs and barriers (if appropriate) <ul style="list-style-type: none"> <li>• Advising public of hazards</li> <li>• Exclude public/animals</li> </ul> </li> <li>• Implement suitable controls to protect operator</li> </ul> <p>Unless otherwise stated in manufacturers handbook, protection as highlighted by the Risk Assessment, which could include;</p> <ul style="list-style-type: none"> <li>- Safety boots</li> <li>- Footwear, soles kept clean when driving</li> <li>- Ear defenders</li> <li>- Face/eye protection</li> <li>- Suitable gloves for maintenance</li> </ul> <ul style="list-style-type: none"> <li>- Avoid manual handling where possible</li> <li>- Use mechanical aids</li> <li>- If unavoidable, use safe lifting techniques (bend knees and keep back straight)</li> </ul>
2. Identify and explain the function of all controls and instruments	<ul style="list-style-type: none"> <li>• May include: <ul style="list-style-type: none"> <li>- Starting devices, including cold start</li> <li>- Engine speed control</li> <li>- Stop control</li> <li>- Gear selection/torque converter</li> <li>- Clutch/transmission dump</li> <li>- Differential lock (where applicable)</li> <li>- Brakes (independent and parking) remote braking device if fitted</li> <li>- Selection of hydraulic controls as applicable</li> <li>- System relief valves</li> <li>- Tilt/joystick lock</li> <li>- Isolation control</li> <li>- Attachment lock</li> <li>- Steering mode selection (if fitted)</li> <li>- Four wheel drive selection (if fitted)</li> <li>- Other controls specific to the vehicle</li> <li>- External services</li> <li>- Lights, direction indicators, horn, screen wash/wipe, heating and ventilation controls and any safety warning device (where applicable)</li> </ul> </li> </ul>
Interpret all instrument readings	<p>Candidate to explain the function and significance of the information displayed on:</p> <ul style="list-style-type: none"> <li>- Oil pressure gauge (or warning light)</li> <li>- Ammeter, battery condition indicator or warning light</li> <li>- Safe Load Indicator</li> <li>- Steering Mode Indicator (if fitted)</li> <li>- Stabiliser legs indicator</li> <li>- Other warning lights/gauges (as applicable)</li> </ul>

Unit 1 Pre-Use Safety – Forklift Truck (continued)	
Assessment Activities	Assessment Criteria
<p>3. Inspect forklift truck and comment on general serviceability. Check and comment on the condition of lifting components</p> <p>Carry out daily maintenance and pre-start checks to the fork lift</p>	<ul style="list-style-type: none"> <li>- All moving parts, belts, pulleys, and chains guarded</li> <li>- Lift chains undamaged and adequately lubricated</li> <li>- Mast rollers absence of excessive wear and movement</li> <li>- Pallet forks in good condition and secure</li> <li>- Wheel nuts tight and secure</li> <li>- Tyres free from excessive wear or damage</li> <li>- Absence of undue wear on wear pads</li> <li>- Cab floor free from loose tools etc</li> <li>- Horn working</li> <li>- Lubricated according to manufacturers handbook</li> <li>- Absence/severity of oil leaks</li> <li>- All lights working</li> <li>- Windscreen undamaged, wipers in working order</li> <li>- Mirrors and windows (if applicable) clean and undamaged</li> <li>- Indicators clearly visible and undamaged</li> <li>- Steering assister fitted</li> <li>- Ram Safety Stops available</li> <li>- Safe Load Indicator functioning</li> <li>- The Capacity plate or Safe Working Load (SWL) plate must be in place and must not be exceeded</li> <li>- Telescopic components in good working order</li> <li>- Frequency of checks undertaken</li> <li>- Report on findings where appropriate</li> <li>- Take appropriate actions</li> </ul> <ul style="list-style-type: none"> <li>- Engine air cleaner (if applicable)</li> <li>- Cab ventilation filter cleanliness (if applicable)</li> <li>- Seat, steering wheel and mirror adjustment for driver</li> <li>- Seatbelt/restraint system</li> <li>- Stop control operative</li> </ul> <p>Ensure:</p> <ul style="list-style-type: none"> <li>- Engine oil level is sufficient or Motive Battery electrolyte levels are adequate</li> <li>- Transmission oil level is sufficient</li> <li>- Hydraulic oil level is sufficient</li> <li>- Coolant level is sufficient</li> <li>- Fuel level is sufficient/batteries charged</li> </ul>
<p>4. Start and check the forklift</p> <p>Test hydraulic functions</p> <p>Check brakes</p> <p>Check steering</p>	<ul style="list-style-type: none"> <li>- Mount the forklift safely, using correct hand and foot holds</li> <li>- Engine started in safe manner: <ul style="list-style-type: none"> <li>• Cold starting technique demonstrated or explained</li> <li>• Fuel supply on (if applicable)</li> <li>• Gears in neutral</li> <li>• Ignition on</li> <li>• Engine started</li> </ul> </li> <li>- Hydraulic functions fully tested to ensure correct, smooth operation before lifting any loads</li> <li>- Brakes checked by driving short distance on level, smooth ground and performing emergency stop, noting: <ul style="list-style-type: none"> <li>- Effectiveness</li> <li>- Balance</li> </ul> </li> <li>- Steering works effectively</li> <li>- Absence of undue free play</li> </ul>

Unit 1 Pre-Use Safety – Forklift Truck (continued)	
Assessment Activities	Assessment Criteria
<p>5. Demonstrate Knowledge of legal and safety requirements relating to the use of a forklift truck</p> <p>Statutory and safety requirements for use of forklift trucks on the public highway</p>	<ul style="list-style-type: none"> <li>- Vehicle must not be set in motion from any position other than the drivers seat</li> <li>- Driver must not attempt to leave the vehicle whilst it is still in motion</li> <li>- No attempt should be made to leave the vehicle during an overturn</li> <li>- Lift truck should have a record of inspection under the Lifting Operations and Lifting Equipment Regulations (LOLER) 1998 requirements.</li> <li>- Vehicle should be fitted with Falling Objects Protection System (FOPS) and Roll Over Protection System (ROPS)</li> <li>- The Provision and Use of Work Equipment Regulations (PUWER 1998) require that: <ul style="list-style-type: none"> <li>• All operators must be competent</li> <li>• A Risk Assessment must be carried out before using the machine</li> <li>• Warning signs must be erected as appropriate</li> <li>• The lift truck is fitted with a restraint system if there is a possibility of it overturning.</li> </ul> </li> <li>- The Capacity plate or Safe Working Load (SWL) plate must not be exceeded</li> <li>- Operator must have written authorisation from employer to use the forklift truck</li> </ul> <p>Any self propelled machine driven on the public highway must:</p> <ul style="list-style-type: none"> <li>- Be road legal</li> <li>- Have a road fund licence (vehicle excise duty) and a minimum of third party insurance cover (to conform to Road Traffic Act requirements)</li> <li>- Be driven by somebody who holds a suitable, valid drivers licence.</li> <li>- Have an orange flashing beacon when driven on unrestricted dual carriageways (other road types subject to individual Risk Assessment).</li> </ul> <ul style="list-style-type: none"> <li>- Ensure safe speed and distance for braking when loaded</li> <li>- Forks covered/folded when empty</li> </ul> <p>Machine in correct mode for road use as applicable:</p> <ul style="list-style-type: none"> <li>- Four wheel drive mode disengaged</li> <li>- Differential lock disengaged</li> <li>- Front wheel steer mode selected</li> <li>- Boom/mast control locked</li> </ul> <p>Other changes appropriate to type</p>

Unit 2 Safety Awareness of Loads Prior to Operation	
Assessment Activities	Assessment Criteria
<p>1. Demonstrate knowledge of potential hazards and appropriate procedure/precautions to be observed when driving: Up and down slopes</p> <p>Over rough ground</p> <p>Across a slope</p>	<ul style="list-style-type: none"> <li>- Vehicle could stall or runaway</li> <li>- Loss of traction or load</li> <li>- Heavy braking during descent could result in "overturning"</li> <li>- Appropriate low gear should be selected before encountering slope</li> <li>- Clutch should not be disengaged during descent</li> <li>- Avoid heavy braking</li> <li>- Load first up hill/load last down hill</li> <li>- Increased risk of load shifting or being dropped</li> <li>- Weight of load could lead to excess "bouncing" of cab and possibly driver injury</li> <li>- Maintain low speed to reduce "bouncing"</li> <li>- Try to avoid larger bumps and potholes</li> <li>- Loads should be secured to prevent movement</li> <li>- Increased risk of load shifting</li> <li>- Tendency to pull down hill</li> <li>- Increased risk of vehicle rolling</li> <li>- Avoid turning on slopes</li> <li>- Observe correct in cab procedure in the event of overturning</li> <li>- Maintain slow speed when driving across slopes</li> <li>- Maintain low centre of gravity if possible (e.g. load should be kept close to the ground)</li> </ul>
<p>2. Demonstrate knowledge of possible causes of instability</p>	<ul style="list-style-type: none"> <li>- Turning at speed</li> <li>- Operating with a soft tyre</li> <li>- Uneven ground</li> <li>- Turning on a slope</li> <li>- Carrying load too high</li> <li>- Load not centrally placed</li> <li>- Articulation under load</li> <li>- "Live" loads</li> <li>- Exceeding safe maximum working load</li> <li>- Forks not fully inserted</li> <li>- Violent braking</li> <li>- Travelling forward down a slope when loaded</li> <li>- Incorrect use of tilt at high level loading</li> <li>- Boom not fully retracted</li> <li>- "Live" loads</li> </ul>
<p>3. Demonstrate knowledge of the factors affecting safe loading</p>	<ul style="list-style-type: none"> <li>- Rating and de-rating values</li> <li>- Slopes and ground conditions</li> <li>- Stability of load</li> <li>- Overall weight and weight distribution of load</li> <li>- Safe Working Load of lift truck</li> <li>- Load centre is "the distance from the centre of gravity of the load to the front face of the fork shank"</li> <li>- If the load centre is greater (i.e. a long load) the lifting capacity is reduced.</li> <li>- Carrying extended loads</li> <li>- Using alternative attachments</li> <li>- Undercutting</li> </ul>

<b>Unit 3 Operate the Forklift</b>	
<b>Assessment Activities</b>	<b>Assessment Criteria</b>
1. Prepare to move the load	<ul style="list-style-type: none"> <li>- Assess weight of load to establish suitability of machine</li> <li>- Calculate/estimate/establish load centre</li> <li>- Adjust pallet forks as appropriate</li> <li>- Ensure security and condition of load</li> <li>- Ensure the area is safe for work</li> </ul>
2. Operate the forklift	<ul style="list-style-type: none"> <li>- Operate controls in correct sequence according to manufacturers handbook/operators manual</li> <li>- Ensure all around observation</li> <li>- Use correct 'move off' procedure as outlined in manufacturers handbook/operators manual</li> <li>- Travel with forks at appropriate height (as determined by individual Risk Assessment)</li> <li>- Use horn when approaching corners, blind bends or entrances</li> </ul>
3. Pick up a load	<ul style="list-style-type: none"> <li>- Apply parking brake</li> <li>- Transmission in neutral when lifting and lowering - apart from minor adjustments on rough terrain</li> <li>- Insert forks cleanly without damaging or moving the pallet/box</li> <li>- Use 'undercutting' technique as necessary</li> </ul>
4. Travel with a load	<ul style="list-style-type: none"> <li>- Carry load at minimum height without scraping</li> <li>- Drive at suitable speed without sudden acceleration or braking</li> <li>- Maintain all-round observation</li> <li>- Accurate negotiation of course</li> <li>- Ensure body remains inside frame/cab at all times</li> <li>- Use traction aids on rough terrain if required</li> </ul>
5. Place loads in identified positions	<ul style="list-style-type: none"> <li>- Load positioned in appropriate place as designated by job specification</li> <li>- Load put down safely using appropriate controls according to machine type <ul style="list-style-type: none"> <li>• Tilt</li> <li>• Side shift/swing</li> <li>• Forward reach</li> </ul> </li> <li>- Withdraw forks without moving or damaging the pallet/box</li> </ul>
<b>CONNECT AN ATTACHMENT</b>	
<b>The following three activities only need completing by candidates who operate different attachments</b>	
6. Demonstrate knowledge of the safe use of the attachment (OPTIONAL)	<ul style="list-style-type: none"> <li>- Possible de-rating effect</li> <li>- Suitability of the attachment for the operation</li> </ul>
7. Change the attachment (OPTIONAL)	<ul style="list-style-type: none"> <li>- Pallet forks removed safely</li> <li>- Attachment attached safely</li> <li>- Accurate driving</li> <li>- Correct use of controls</li> <li>- Attachment secure</li> <li>- Attachment does not foul the mast</li> </ul>
Check and comment on the condition of attachment components	<ul style="list-style-type: none"> <li>- Lubricated according to manufacturers handbook</li> <li>- Absence/severity of oil leaks</li> <li>- Components in good working order</li> </ul>
8. Use the attachment to carry out an operation appropriate to the normal work situation of the candidate (OPTIONAL)	<ul style="list-style-type: none"> <li>- Drive at suitable speed without sudden acceleration or braking</li> <li>- Maintain all-round observation</li> <li>- Accurate driving and operation</li> <li>- Ensure body remains inside frame/cab at all times</li> <li>- Use traction aids on rough terrain if required</li> <li>- Operation carried out as designated by job specification</li> <li>- Operation carried out safely using appropriate controls according to machine type <ul style="list-style-type: none"> <li>• Tilt</li> <li>• Side shift/swing</li> <li>• Forward reach</li> </ul> </li> </ul>
9. Park and secure the machine	<ul style="list-style-type: none"> <li>- Move to secure site</li> <li>- Lower attachment to ground and leave in safe position</li> <li>- Apply handbrake</li> <li>- Gears in neutral</li> <li>- Switch off engine, remove ignition key</li> </ul>



Unit 3 Operate the Forklift (continued)	
Assessment Activities	Assessment Criteria
10. Demonstrate knowledge of factors to consider when cleaning the forklift and reasons for cleaning	Forklift is cleaned to: <ul style="list-style-type: none"> <li>- Prevent corrosion</li> <li>- Facilitate maintenance and adjustments</li> <li>- Prevent personal contamination</li> <li>- Prevent hazardous operating conditions</li> <li>- Prevent soiling of roads</li>   <li>- Identify PPE to be used</li> <li>- Identify a suitable site</li> <li>- Remove any unwanted debris safely using appropriate method               <ul style="list-style-type: none"> <li>• Compressed air</li> <li>• Water</li> <li>• Brush</li> </ul> </li> <li>- Dispose of waste material according to company policy and legislation</li> </ul>
11 Demonstrate knowledge of the need to inspect the forklift for defects	<ul style="list-style-type: none"> <li>- Inspected for wear and damage</li> <li>- Use of operators manual as appropriate</li> <li>- Report findings to appropriate person or take other required action</li> <li>- Inspecting ensures the continued serviceability of the forklift</li> <li>- Gives opportunity for faults to be rectified prior to being used again</li> <li>- Could prevent another operator from using it if in a potentially dangerous</li> </ul>
<b>M</b> <input type="text"/>	<b>C</b> <input type="text"/>
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