

# Academic Quality and Standards Handbook

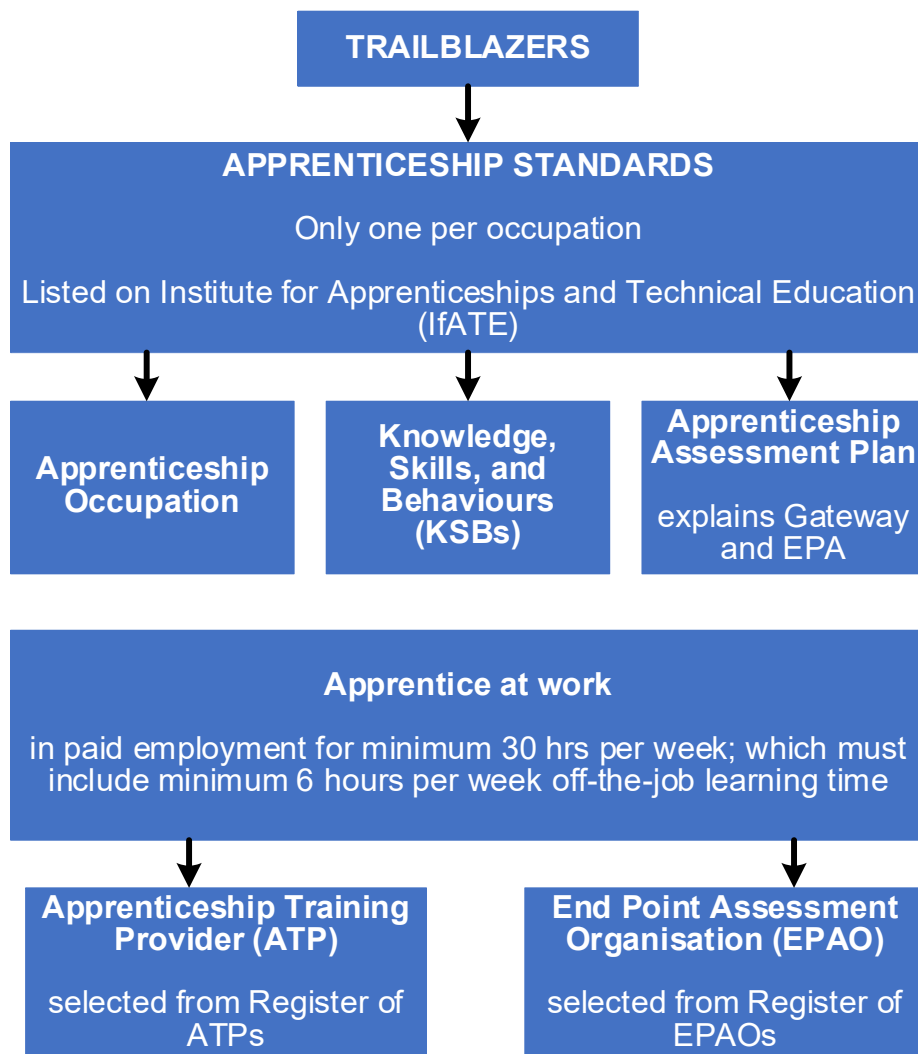
## Section 10: Higher and Degree Apprenticeships End Point Assessment (EPA)

2024-25

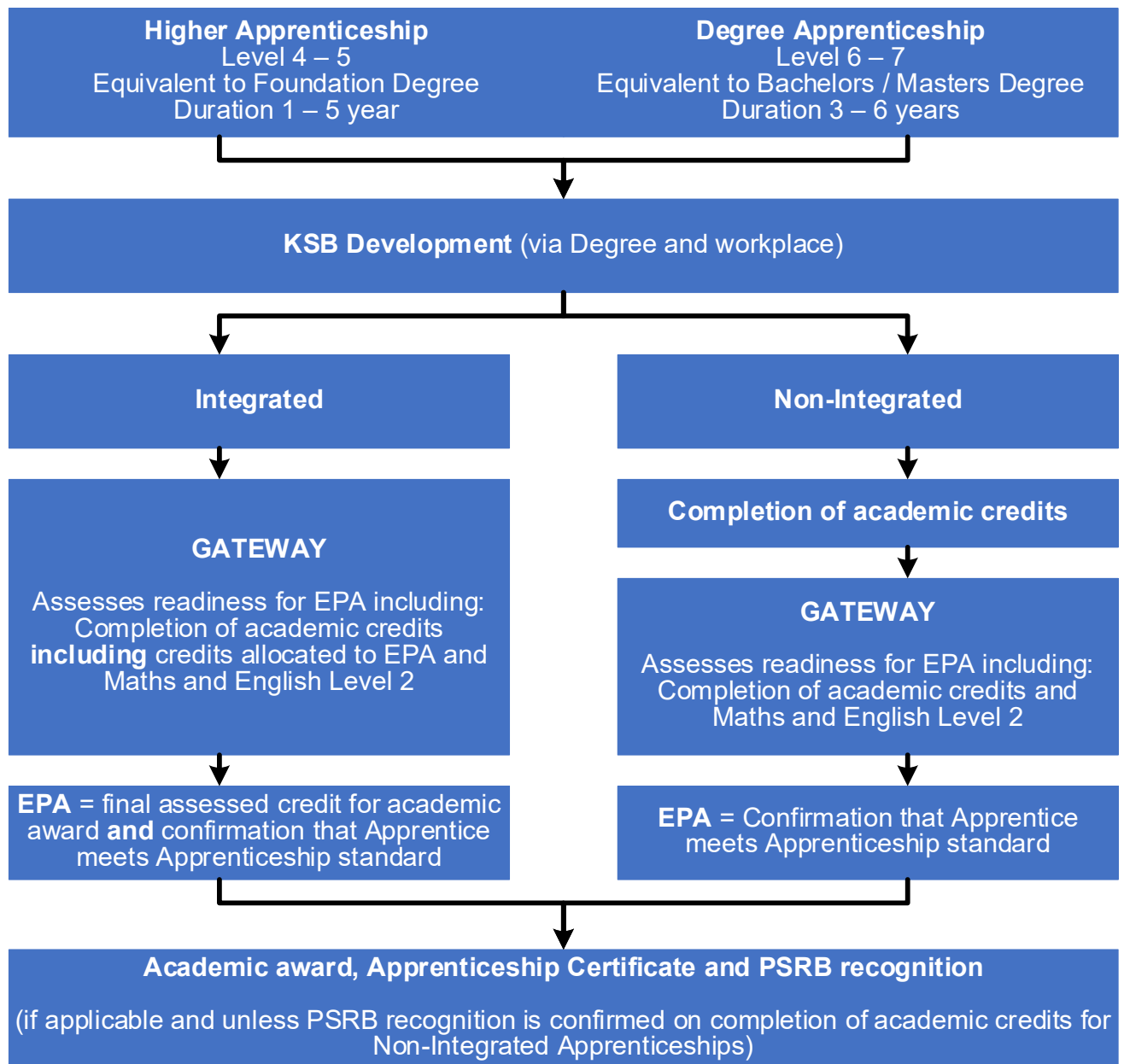
<b>1</b>	<b>Introduction .....</b>	<b>6</b>
1.1	Purpose and Aims.....	6
1.2	Definitions .....	6
1.3	Regulations relevant to this section .....	8
1.4	Responsibilities .....	8
1.5	Interpretation.....	8
1.6	Further Guidance .....	9
<b>2</b>	<b>Employer .....</b>	<b>9</b>
2.1	Roles and responsibilities of the Employer .....	9
<b>3</b>	<b>Apprentice .....</b>	<b>9</b>
3.1	Role and responsibilities of the Apprentice .....	9
<b>4</b>	<b>University .....</b>	<b>10</b>
4.1	Roles and responsibilities of the University.....	10
<b>5</b>	<b>End Point Assessment Organisation .....</b>	<b>10</b>
5.1	Roles and responsibilities of the EPAO .....	10
5.2	Conflict of interest responsibilities of the EPAO .....	12
<b>6</b>	<b>End Point Assessment Department .....</b>	<b>13</b>
6.1	Role of the EPAD.....	13
<b>7</b>	<b>Lead Independent Assessor .....</b>	<b>14</b>
7.1	Roles and responsibilities .....	14
7.2	Criteria for appointment as an LIA .....	14
7.3	Appointment notification.....	14
7.4	Conflict of Interest .....	15
7.5	Period of appointment.....	15
7.6	Training .....	15
7.7	Reporting .....	15
7.8	CPD activity .....	15
7.9	Information management .....	16
<b>8</b>	<b>Independent Assessor .....</b>	<b>16</b>
8.1	Roles and responsibilities .....	16
8.2	Criteria for appointment as an IA .....	17
8.3	Application process .....	18
8.4	Conflict of Interest .....	18
8.5	Confirmation of appointment .....	19
8.6	IA Agreement.....	19
8.7	Period of appointment.....	19
8.8	Induction .....	20
8.9	Training .....	20
8.10	CPD activity .....	20
8.11	Termination, resignation and absence .....	21
8.12	Information management .....	22

<b>9</b>	<b>EPA External Assessor .....</b>	<b>22</b>
9.1	Roles and responsibilities .....	22
9.2	Selection and appointment .....	22
9.3	Application process .....	23
9.4	Conflict of Interest .....	24
9.5	Confirmation of appointment .....	24
9.6	Period of appointment.....	24
9.7	Induction and training.....	24
9.8	CPD activity .....	25
9.9	Termination, resignation and absence .....	25
9.10	Information management .....	25
<b>10</b>	<b>Gateway .....</b>	<b>25</b>
<b>11</b>	<b>End Point Assessment .....</b>	<b>28</b>
11.2	Integrated EPA.....	28
11.3	Non-integrated EPA .....	29
11.4	The Assessment Plan .....	29
11.5	Consistency Assurance in EPA delivery .....	31
<b>12</b>	<b>EPA quality and operational processes.....</b>	<b>32</b>
12.1	External Examiners .....	32
12.2	Assessment Boards .....	33
12.3	Recording EPA outcomes .....	33
<b>13</b>	<b>Appeals and Complaints .....</b>	<b>33</b>
13.1	Appeals .....	33
13.2	Complaints .....	33
<b>14</b>	<b>Fair Access/Reasonable Adjustments .....</b>	<b>33</b>
<b>15</b>	<b>Resits, Retakes and Mitigating Circumstances.....</b>	<b>34</b>
<b>16</b>	<b>Academic Regulations .....</b>	<b>34</b>
<b>17</b>	<b>Certificate and Transcript .....</b>	<b>34</b>
17.1	Certificate.....	34
17.2	Transcript.....	35
<b>18</b>	<b>EPA feedback survey .....</b>	<b>35</b>
<b>19</b>	<b>Internal Reporting .....</b>	<b>35</b>
<b>20</b>	<b>External Quality Assurance (EQA) .....</b>	<b>35</b>
<b>21</b>	<b>External Reporting.....</b>	<b>36</b>
	<b>Glossary .....</b>	<b>37</b>

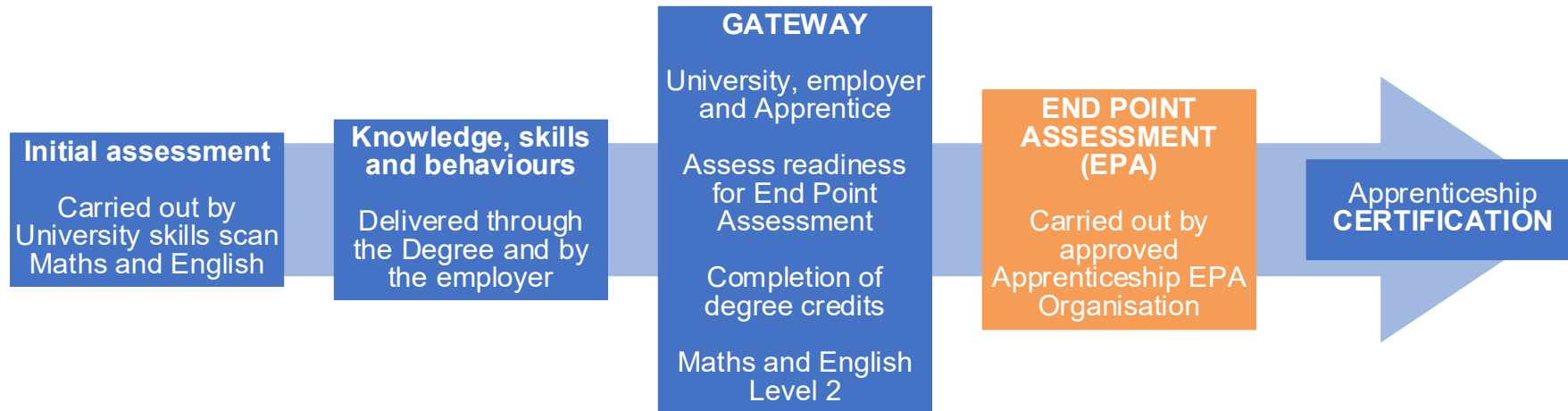
## Background to Apprenticeships



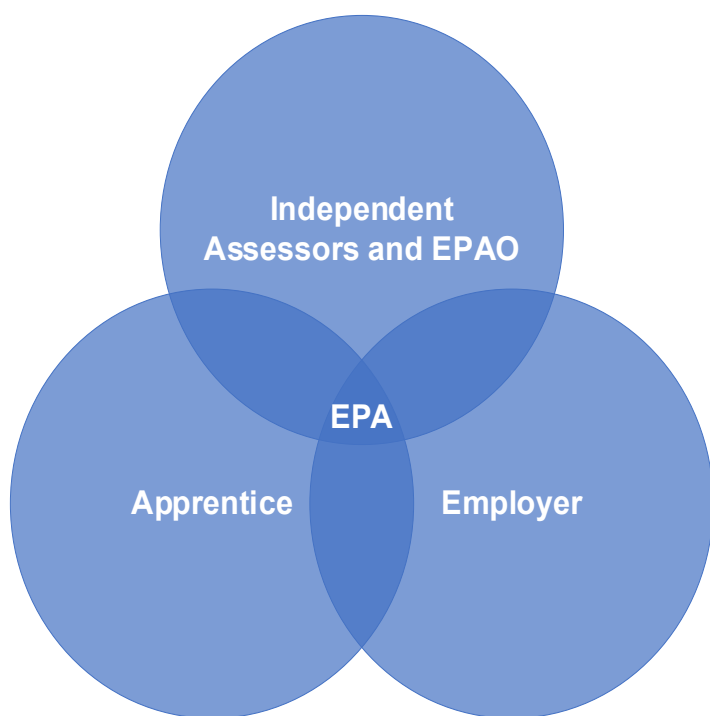
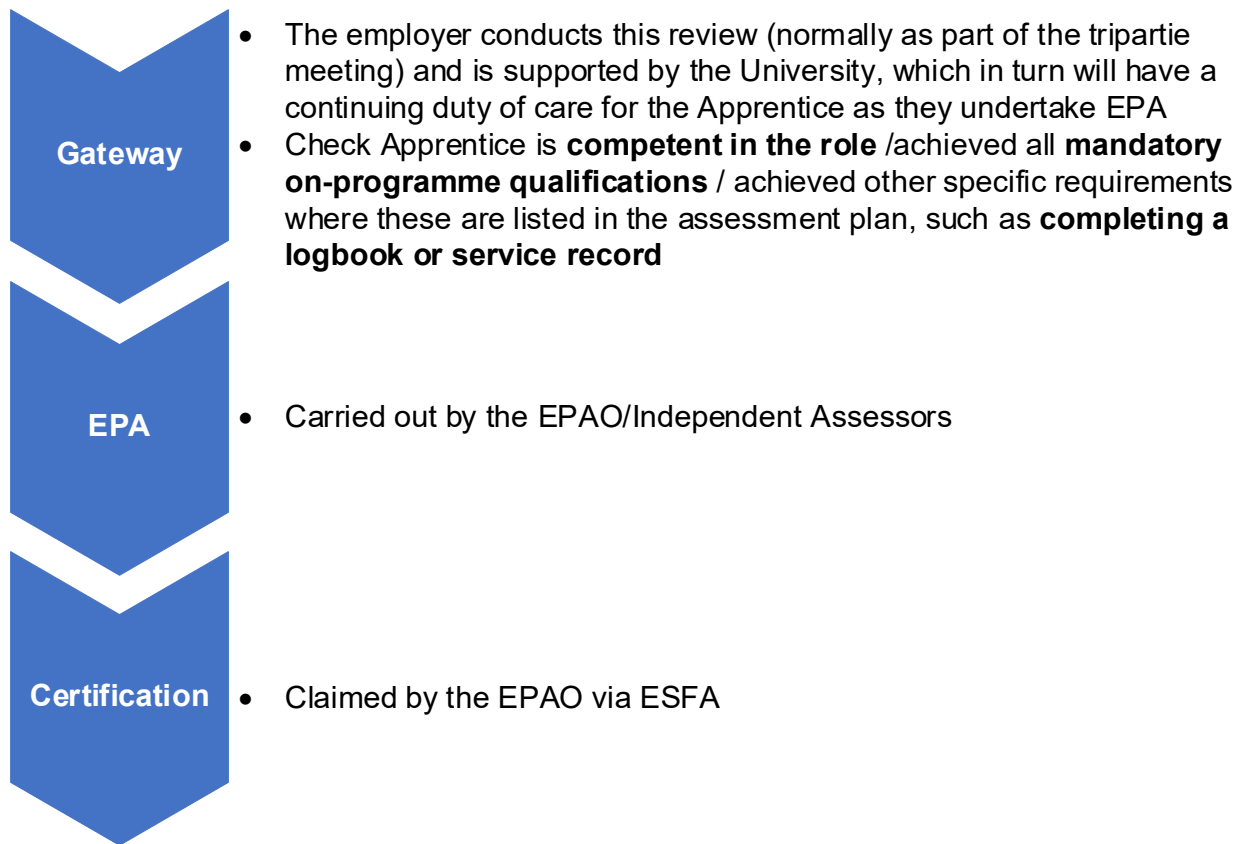
## Higher and Degree Apprenticeships process



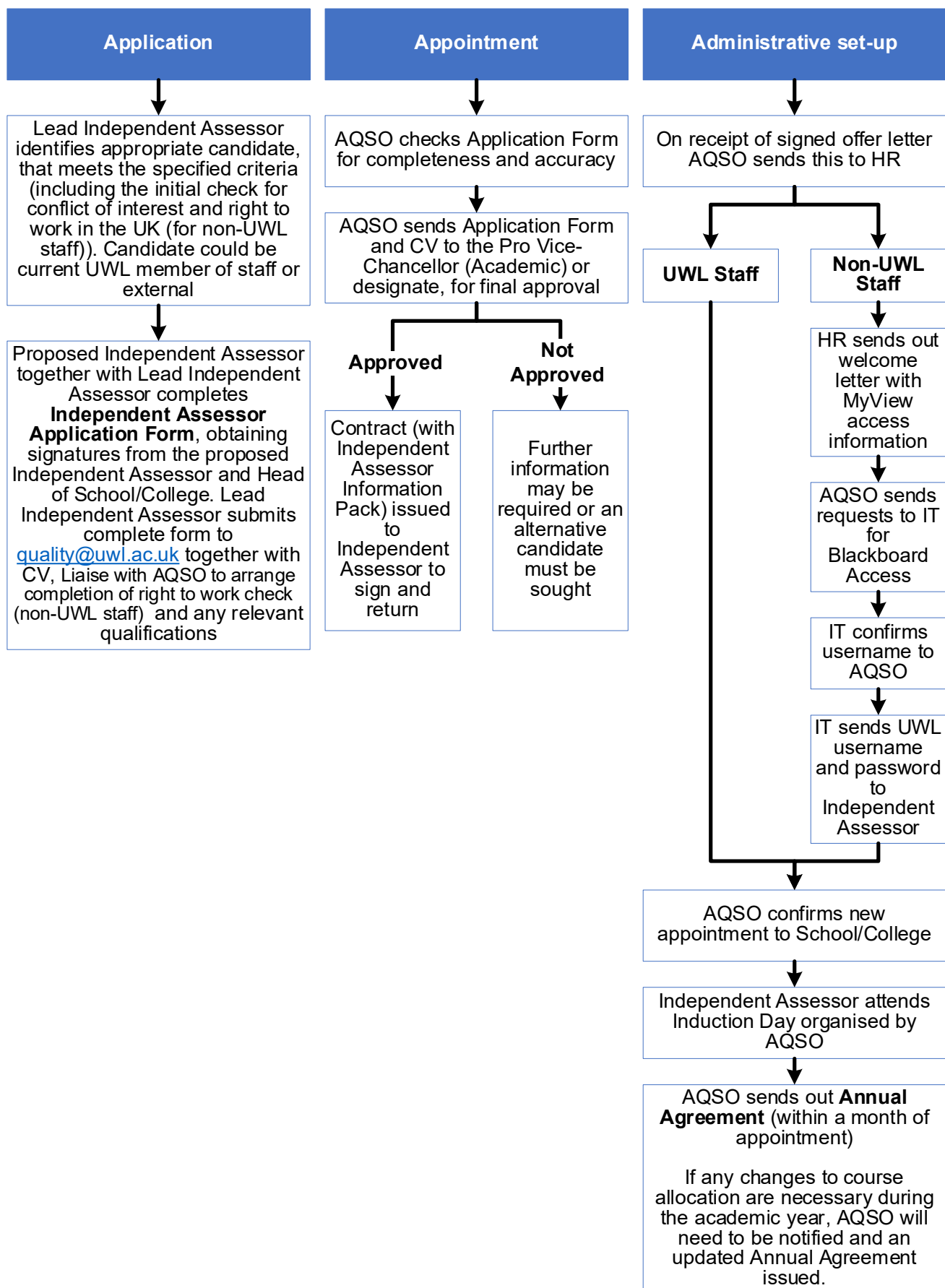
## Degree Apprenticeship Assessment Journey



## EPA Gateway Process and Roles



## Independent Assessor Appointment





# 1 INTRODUCTION

## 1.1 Purpose and Aims

- 1.1.1 The University, as an Apprenticeship provider and End Point Assessment Organisation (EPAO), designs and delivers on-programme learning and assessment that facilitates and measures the Apprentice's achievement of Knowledge, Skills and Behaviours (KSBs) as outlined in the Apprenticeship Standard.
- 1.1.2 The aim of this section is to ensure the University has an identified approach for managing and assuring the quality of the EPA for its Higher and Degree Apprenticeships.
- 1.1.3 The University has developed Higher and Degree Apprenticeship EPA quality assurance procedures and processes with respect to Higher and Degree Apprenticeship provision it may deliver directly, or when acting as an EPAO itself or for other organisations. This will include higher/degree apprenticeship courses that are delivered through a partner organisation via subcontract arrangement.
- 1.1.4 The University is listed on the Apprenticeship provider and assessment register (APAR).
- 1.1.5 Apprenticeships combine on-programme academic and work-based learning and assessment together with an EPA that provides synoptic assessment of achievement of KSBs outlined in each Apprenticeship Standard. The Assessment Plan details on-programme and EPA requirements of the Apprenticeship and is referred to by the Apprentice, Employer and the University.
- 1.1.6 This section describes:
- (a) The University's approach to delivering and managing EPA for Apprenticeships
  - (b) The roles and responsibilities of key staff involved in this process, including Independent Assessors and EPA External Assessors.
- 1.1.7 This section should be read in conjunction with the [University's Apprenticeship Strategy](#) and the EPA Consistency Statement.

## 1.2 Definitions

- 1.2.1 Apprenticeship – is employment with training to industry standards in a recognised occupation. It involves a substantial programme of on and off-the-job training.
- 1.2.2 Degree Apprenticeship (Integrated) – an Apprenticeship, at levels 6-7, where the completion of the Degree (undergraduate or postgraduate) forms part of the EPA.
- 1.2.3 Degree Apprenticeship (Non-integrated) – an Apprenticeship, at levels 6-7, in which the completion of an Undergraduate or Postgraduate Degree is a requirement prior to the EPA.

- 1.2.4 End Point Assessment (EPA) is rigorous robust and independent assessment undertaken by an Apprentice at the end of training to test that the Apprentice can perform in the occupation they have been trained in and can demonstrate the duties, and KSBs set out in the occupational standard.

The approach to EPA is outlined in the Assessment Plan for the relevant Apprenticeship Standard.

*‘An independent EPA ensures that those making a decision on the competency of the Apprentice have nothing to gain from the outcome of the assessment. To ensure high quality Apprenticeships, it is vital that all Apprentices are assessed in a fair and objective manner. Independence and impartiality are critical to ensuring rigorous and high-quality assessment and that the standard is maintained over time’ (ESFA Sept 2017)*

- 1.2.5 EPA department (EPAD) – a University department, independent of the School/College delivering the Apprenticeship, responsible for managing the EPA process for all Integrated Degree Apprenticeships delivered by the University, and other organisations.
- 1.2.6 End Point Assessment Organisation (EPAO) – an organisation approved to deliver EPA for a particular Apprenticeship standard; EPAOs must be on the apprenticeships providers and assessment register (APAR).
- 1.2.7 Gateway – the requirements that need to be met in order for the employer to put forward their Apprentice for EPA. It ensures that all Apprentices have completed the mandatory aspects of the occupational standard and any work that underpins specific assessment methods, and that employers believe an Apprentice is occupationally competent at the point they enter Gateway. The employer and training provider will review their Apprentice’s KSBs to see if they have met the minimum requirements of the Apprenticeship set out in the Apprenticeship standard and are ready to take the EPA.
- 1.2.8 Higher Apprenticeship – an Apprenticeship, at levels 4-5, where the completion of the Foundation Degree is a requirement before EPA.
- 1.2.9 Independent Assessor (IA) – a professional academic either outside or within the University, but not involved in the delivery of the Apprenticeship, who is responsible for Apprenticeship EPA activities as set out by the Apprenticeship Standard and EPAO. The role of the IA is to assess Apprentice competence against an industry specific standard.
- 1.2.10 Lead Independent Assessor (LIA) – an experienced academic, from the School/College where the Apprenticeship resides, responsible for EPA activities for a specific Apprenticeship Standard and oversight of the Independent Assessor(s) appointed to that Apprenticeship Standard.
- 1.2.11 EPA External Assessor – an appointed individual responsible for commenting on assessment practices and procedures for an EPA in the context of the associated apprenticeship standard. This role should not be confused with Independent Assessors (IA) who mark apprentices’ EPA or External Examiners, who fulfill the

typical HEI requirement for the degree award. The External Assessor is exclusively concerned with the EPA.

### **1.3 Regulations relevant to this section**

- 1.3.1 The University must comply with the rules and regulations as set out by the: Education and Skills Funding Agency (ESFA); Institute for Apprentices and Technical Education (IfATE); Ofsted; Office for Students (OfS), Quality Assurance Agency (QAA) and Ofqual (or nominated External Quality Assurance Bodies during transition period).
- 1.3.2 This section is congruent with the policy principles of the Education and Skills Funding Agency Apprenticeship (ESFA) funding rules for main providers and the Institute for Apprenticeships and Technical Education (IfATE) external quality assurance framework.

### **1.4 Responsibilities**

- 1.4.1 The **Academic Board** has the responsibility and authority to set, maintain and assure academic standards.
- 1.4.2 The **Apprenticeships and Further Education Committee (AFEC)** is responsible for overseeing strategic issues, data and funding and student support matters relating to Apprenticeships.
- 1.4.3 The **Apprenticeships Continuous Quality Improvement Group (ACQIG)** is responsible for monitoring the quality of the Apprenticeship provision at an operational level and is tasked with exploring ways to continuously improve quality.
- 1.4.4 The **Academic Quality and Standards Office (AQSO)** is the designated EPAD responsible for managing the EPA process for all Integrated and non-integrated Degree Apprenticeships delivered by the University, where the University is the EPAO. The EPAD can also be responsible for managing the EPA for other organisations. The EPAD must be independent of any learning, teaching or delivery of the Apprenticeship.
- 1.4.5 The **Academic Quality Lead** in each School/College is responsible for ensuring that colleagues within their Schools/Colleges observe the procedures and requirements associated with Apprenticeships and EPA and have effective communication mechanisms with their Independent Assessors.
- 1.4.6 The **Course Leader** – identified for each course by the relevant School/College – is responsible for managing the delivery of the Apprenticeship.

### **1.5 Interpretation**

- 1.5.1 The document refers to the named positions (e.g. Academic Quality Lead, Deans/Directors/Heads of School/College) in order to detail the required activities or authorisations.
- 1.5.2 Where a School/College does not have the identified position or chooses to have the role undertaken by another position, an alternative must be identified, with

comparable seniority and remit, such that all required activities or authorisations are undertaken.

## **1.6 Further Guidance**

- 1.6.1 For further guidance on EPA, colleagues should contact the EPAD at [epa@uwl.ac.uk](mailto:epa@uwl.ac.uk) or on 020 8231 2063.
- 1.6.2 For further guidance on the delivery of Apprenticeships, colleagues should contact the Apprenticeships Office or the relevant Course Leader.
- 1.6.3 Where an academic partnership is involved, the lead School/College should ensure they contact both the AQSO, and the Global Partnerships Office at [UWL.GPO@uwl.ac.uk](mailto:UWL.GPO@uwl.ac.uk) or on 020 8231 2553.

## **2 EMPLOYER**

### **2.1 Roles and responsibilities of the Employer**

#### 2.1.1 The Employer:

- Supports the Apprentice to complete the requirements of the EPA
- Support the Apprentice to meet the Off-the-Job Training requirements
- Determines when the Apprentice is competent and ready to attempt the EPA and signs off the **EPA Gateway Declaration Form**
- Agrees the scope of a project with the EPAO to ensure that it adds value to the business
- When working with some PSRBs, also signs off the Apprentice for registration with the relevant PSRB and the declaration of good character.

## **3 APPRENTICE**

### **3.1 Role and responsibilities of the Apprentice**

#### 3.1.1 The Apprentice:

- Participates fully in their education, training and development
- Takes responsibility for learning independently and preparing for EPA
- Completes all mandatory qualifications e.g. Degree, vendor qualifications
- Completes Off-the-Job Training
- Completes Maths and/or English to level 2

- Completes all the requirements for the Gateway
- Signs the **EPA Gateway Declaration Form**
- Contributes to the decision on the timing of their EPA
- Completes EPA

## **4 UNIVERSITY**

### **4.1 Roles and responsibilities of the University**

4.1.1 The University when acting as the training provider and EPAO (for integrated degree apprenticeships) or solely as the training provider (for non-integrated apprenticeships) has the following responsibilities:

- Delivers the knowledge-based learning for the Apprentice
- Provides ongoing assessment through on-programme learning
- Advises the employer when the Apprentice has achieved on-programme requirements and is ready to undertake the EPA
- Is registered on the APAR
- Ensures adequate resources are in place to deliver the requirements of EPA
- Ensures an External Examiner is appointed to each Apprenticeship

## **5 END POINT ASSESSMENT ORGANISATION**

### **5.1 Roles and responsibilities of the EPAO**

5.1.1 The University has the following responsibilities when acting as the EPAO, this includes when the University acts solely as an End Point Assessment Organisation for non-integrated apprenticeship courses.

5.1.2 The EPAO:

- Designs and develops the content of the EPA, e.g. test questions, project topics or interview scripts
- Publishes EPA guidance to Apprentices, employers and training providers in relation to the requirements of the EPA as set out in the Assessment Plan
- Ensures that there is consistency and comparability in terms of the breadth and depth of each assessment, to ensure that assessments are reliable, robust and valid

- Where applicable, develops a bank of examination questions in consultation with representative employers to be reviewed annually and refreshed every three years
- Publishes assessment criteria as set out in the Assessment Plan
- Ensures that the EPA dates and schedules are clearly published to Apprentices and their employers
- Checks and verifies that the Apprentice has completed any pre-requisites to EPA, including any mandatory qualifications
- Administers the EPA
- Quality assures the EPAs that they deliver
- Ensures the EPA is succinct and independent
- Develops compensatory assessment for learners with special requirements to allow reasonable adjustments to be made to assess the KSBs of the Apprentice through alternative assessment techniques.
- Identifies and records when the Apprentice has passed the EPA
- Considers evidence in relation to reasons for failing an EPA and confirm whether a grade higher than pass will be allowed for a re-take/re-sit, where the learner may have failed and there are extenuating circumstances
- Applies and cover the cost of the Apprenticeship Certificate
- Appoints and approves IAs to conduct marking and grading of the EPA
- Provides induction and training for IAs, including annual standardisation and moderation activities
- Assigns LIAs for each Apprenticeship to oversee the IA(s) and EPA
- Ensures internal moderators and External Examiners are trained in EPA and quality assurance processes
- Ensures that IAs and LIAs are occupationally competent, and where applicable hold a live current registration with the PSRB
- Ensures IAs are able to assess the performance of the Apprentice using the EPA method
- Ensures IAs and LIAs undertake regular continuing professional development (CPD)
- Actively participates in the quality assurance procedures described in the Assessment Plan

- Has in place a complaints and appeals procedure which adheres to Apprenticeship and EPA requirements
- Adheres to the external quality assurance arrangements
- Prepares an annual evaluation report for the University and employers, acting on recommendations for improvement
- Identifies independent internal academic members for the presentation of practice panel
- Where appropriate, collaborates with at least one other EPAO delivering the same Apprenticeship to ensure consistency across assessors and assessments.
- Participates with an EPAO network to share and discuss areas of improvement and to report on best practice

## **5.2 Conflict of interest responsibilities of the EPAO**

### 5.2.1 As an EPAO, the University will:

- ensure that there is a clear separation between Apprenticeship delivery and the conduct of EPA, including ensuring that those involved in EPA are not also involved in, nor responsible for any course delivery, line management or assessment of the Apprentices
- ensure that any involvement in the advice, support or training of the Apprentice or Apprenticeship provided by the University does not conflict with the independence of the EPA process
- ensure that anyone involved in the EPA process is free from any conflicts of interest that could adversely affect their judgement or objectivity in administering and undertaking robust and consistent EPA (in line with the requirements set out in the Assessment Plan)
- ensure that the contractual arrangements with those involved in EPA clearly set out the individual's obligation to declare any actual or perceived conflict of interest
- review processes for the conduct of EPA and the identification and management of any conflicts of interest at least annually, under the oversight of the EPAD
- ensure that anyone who has access to confidential assessment material associated with EPA (including those contributing to the development, administration and marking of assessments) is independent of the Apprentice
- ensure that all members of staff declare any interest for colleagues, friends or relatives undertaking EPA prior to commencement of the EPA process.

## **6 END POINT ASSESSMENT DEPARTMENT**

### **6.1 Role of the EPAD**

#### **6.1.1 The EPAD:**

- Working with Schools/Colleges and professional service departments to ensure the high-quality delivery of EPA
- Scrutiny and Approval of EPA Assessment Tasks prior to issuance
- Provision of guidance on the EPA to Apprentices and employers for example
- Produces and regularly updates EPA guidance and templates
- Aide in facilitation of EPA
- Maintaining records of EPA outcomes
- Processes IA application forms
- Issues IA contracts
- Organises induction for IAs
- Oversees the nomination of LIAs
- Organises annual standardisation and moderation activities for IAs in conjunction with the relevant LIA and School/College
- Manages the IA and LIA register
- Appoints (manages contracts and application forms) for EPA External Assessors
- Organises induction and training for EPA External Assessors
- Manages and monitors IA and LIA and EPA External Assessor CPD records of activity
- Manages and monitors conflict of interest declarations and undertakes annual conflict of interest checks for IAs and LIAs and EPA External Assessor
- Manage and monitors records of EPA Gateway declaration forms
- Keeps regularly up to date on and communicates changes to Schools/College on EPA and Apprenticeship policies, procedures, regulations and standards to ensure continued compliance
- Maintains responsibility for ensuring the adherence of External Quality Assurer regulatory requirements in the delivery of EPAs



- Meeting other requirements detailed in the Apprenticeship Assessment Plan, which may include the production of annual evaluation report; or the requirement to collaborate with other EPAOs

## **7 LEAD INDEPENDENT ASSESSOR**

### **7.1 Roles and responsibilities**

#### **7.1.1 The LIA:**

- Nominates IAs
- Oversees the design of EPA activities
- Oversees the training of IAs
- Oversees and coordinates standardisation of EPA outcomes between IAs
- Annually submitting evidence of CPD activity to the AQSO within the agreed timescale.
- Annually reviewing their conflicts of interest declaration within the agreed timescale.
- Completion of annual report

### **7.2 Criteria for appointment as an LIA**

#### **7.2.1 The LIA must demonstrate appropriate evidence on the following in order to be appointed to the role:**

- Subject knowledge in the relevant Apprenticeship Standard
- Academic requirements as specified, for the Apprenticeship Standard
- Registration with the relevant PSRB, where applicable

### **7.3 Appointment notification**

#### **7.3.1 LIAs will be appointed to the role by the relevant Head of School/College based on their suitability, knowledge and experience. The Head of School/College will inform the AQSO via email when a new LIA has been appointed to the role, together with the required personal and professional information, including the Head of School/College's conflict of interest declaration.**

#### **7.3.2 The AQSO will send the LIA the necessary information to undertake the role, as well as request a conflict of interest declaration.**

## 7.4 Conflict of Interest

7.4.1 LIAs are required to declare any potential or actual conflicts of interest at the time of their appointment. If the conflict of interest cannot be resolved, the School/College will seek advice from the AQSO. The AQSO may advise that an alternative LIA must be sought. Conflict of interest declarations are retained by the AQSO. The AQSO will undertake a conflict of interest check annually with the LIA via email declaration, to ensure changes to circumstances have not led to a conflict of interest. This will be recorded on the LIA register.

7.4.2 In order to ensure LIAs are impartial in judgement and do not personally benefit from any Apprentice outcomes, nor have any connection to any Apprentice being assessed, the proposed LIA should have no direct interest or ties to the Apprenticeship or Apprentices, including:

- Being in a close professional, contractual or personal relationship with an Apprentice or employer on the Apprenticeship in question
- Having a close personal relationship with a member of staff or employer involved with the Apprenticeship in question
- Being required to assess colleagues who are recruited as Apprentices to the Apprenticeship in question
- Being someone who is, or knows they will be, in a position to influence significantly the future of Apprentices on the Apprenticeship in question

## 7.5 Period of appointment

7.5.1 LIAs will be appointed for a period of three academic years in the first instance, with the potential to renew their appointment following the three academic years.

## 7.6 Training

7.6.1 LIAs will be involved in training provided to IAs and will also run their own activities, as appropriate. LIAs will be given ongoing support and guidance from the AQSO and the relevant School/College in order to fulfil their role. They will also be expected to attend internal and external events relevant to the Apprenticeship to ensure they are kept up to date with any changes to the Apprenticeship Standard.

## 7.7 Reporting

7.7.1 LIAs are required to complete an annual report based on the EPAs and IAs they have had oversight of during the academic year. The report template will be supplied by the AQSO in June of each academic year. The report should be submitted to the AQSO by no later than the end of July each academic year.

## 7.8 CPD activity

7.8.1 LIAs are expected to participate in CPD activity and submit an annual **CPD Record of Activity** which demonstrates their competence for the Apprenticeship Standard and IAs they are overseeing. The AQSO will retain and monitor CPD records.

## **7.9 Information management**

- 7.9.1 The AQSO will retain a register of LIAs and update this regularly. The register will include personal and professional information including contact details and conflict of interest information. All data is held and processed in line with the [University's Data Protection Policy](#).

## **8 INDEPENDENT ASSESSOR**

### **8.1 Roles and responsibilities**

- 8.1.1 Although the functions of an IA may vary depending on the EPA, roles and responsibilities include:

- Carrying out the EPA as set out in the Assessment Plan for the Apprenticeship. This involves ensuring national comparability of academic standards, that the assessment processes are reliable, fair and transparent, and operate in line with:
  - University regulations, policies and procedures
  - QAA UK Quality Code for Higher Education
  - QAA Characteristic Statement for Apprenticeships
  - IfATE guidance and criteria
  - Relevant Apprenticeship Standard and Assessment Plan
  - Professional, Statutory and Regulatory Body (PSRB) requirements (where applicable).

The tasks involved in carrying out the EPA include:

- Invigilating, assessing and grading the assessment activities according to the Assessment Plan
- Chairing the presentation panel (where applicable)
- Observing the Apprentice in practice (where applicable)
- Determining the EPA grade
- Taking part in standardisation activity
- Participating in annual assessment training
- Annually submitting evidence of CPD activity to the AQSO within the agreed timescale.

- Annually reviewing conflicts of interest declaration within the agreed timescale.

8.1.2 The IA should also be aware of the following obligations:

- The importance of objectivity and fairness to the Apprentice
- The importance of transparency for the Apprentice
- Correct process followed if candidates fails to meet the requirements of any relevant assessment strategy if assessing a qualification
- Health and safety considerations
- Unrealistic/unnecessary stress on the Apprentice
- Inauthentic evidence/collusion/unjustifiable support to the Apprentice

## **8.2 Criteria for appointment as an IA**

8.2.1 The IA must demonstrate appropriate evidence on the following in order to be appointed to the role:

- Knowledge and understanding of UK sector agreed reference points for the maintenance of academic standards and assurance and enhancement of quality.
- Competence and experience in the fields covered by Apprenticeship.
- Relevant academic and/or professional qualifications to at least the level of the qualification being examined, and/or extensive practitioner experience, where appropriate.
- Competence and experience relating to designing and operating a variety of assessment tasks appropriate to the subject and operating assessment procedures.
- Sufficient standing, credibility and breadth of experience within the discipline to be able to command the respect of academic and, where appropriate, professional peers.
- Familiarity with the EPA performance expected of Apprentices to achieve the award being assessed.
- Fluency in English.
- Meeting applicable criteria set by PSRB, where applicable.
- Awareness of current developments in the design and delivery of relevant assessments.
- Registration with the relevant PSRB, where applicable

### **8.3 Application process**

- 8.3.1 The LIA is responsible for identifying an appropriate candidate for the role of IA.
- 8.3.2 IA vacancies can be advertised in the relevant industry sector, promoting the role which includes the specific requirements for the Apprenticeship Standard.
- 8.3.3 The **IA Application Form** requires that the applicant demonstrates that they hold the required qualifications (e.g. subject and/or assessor), occupational experience, current professional registration (where applicable), and where required, a specific number of years' experience in terms of their ability to design and develop assessment tools as required for the standard. The IA must provide any additional documentation as required, e.g. CV, proof of right to work in the UK, qualifications.
- 8.3.4 The application form requires the IA to sign a declaration that there is no conflict of interest in applying for the post. This applies to both UWL staff and non-UWL staff.
- 8.3.5 The LIA and Head of School/College is responsible, in the first instance, to check the eligibility of the applicant including conflict of interest and right to work in the UK (for non-UWL staff). The IA and School/College must sign the application form and forward together with the required documentation to the AQSO. The AQSO will process the application, confirming all checks have been completed and all required documentation has been received.
- 8.3.6 The application form will be formally approved by the Director of Academic Quality and Standards.

### **8.4 Conflict of Interest**

- 8.4.1 IAs are required to declare any potential or actual conflicts of interest at the time of their nomination. In addition, prior to the EPA, the IA will have access to the names of the Apprentices they are due to assess as well as their employers. The IA must confirm whether there is any real or potential conflict of interest by completing additional conflict of interest forms per cohort. If the conflict of interest cannot be resolved, the School/College will seek advice from the AQSO. The AQSO may advise that an alternative IA must be sought. Conflict of interest declarations are retained by the AQSO. Regular checks are carried out by the AQSO to ensure changes to circumstances have not led to a conflict of interest.
- 8.4.2 In order to ensure IAs are impartial in judgement and do not personally benefit from any Apprentice outcomes, nor have any connection to any Apprentice being assessed, the proposed IA should have no direct interest or ties to the Apprenticeship or Apprentices, including:
- Being in a close professional, contractual or personal relationship with an Apprentice or employer on the Apprenticeship in question.
  - Having a close personal relationship with a member of staff or employer involved with the Apprenticeship in question

- Being required to assess colleagues who are recruited as Apprentices to the Apprenticeship in question
- Anyone who is, or knows they will be, in a position to influence significantly the future of Apprentices on the Apprenticeship in question
- Being significantly involved in recent or current substantive collaborative research activities with a member of staff or employer closely involved in the delivery, management or assessment of the Apprenticeship in question
- Anyone involved in a reciprocal arrangement involving cognate courses at another Higher Education provider.

## 8.5 Confirmation of appointment

8.5.1 Once the Pro-Vice Chancellor (Academic) (or designate) has granted final approval of the appointment, the AQSO will send a **Contract** and **Information Pack** to the IA. The contract and information pack will detail the contractual obligations and responsibilities and duties of the role. The IA is required to sign and return a copy of the contract. For non-UWL staff, once this has been received, the AQSO will liaise with the Human Resources Department and IT Department in order to ensure that the IA is set up on the required systems. The approved IA, LIA, School/College, and Academic Partner (where applicable) will receive confirmation of their appointment by the AQSO.

## 8.6 IA Agreement

8.6.1 The IA's **Agreement** will be drafted by the AQSO and confirmed by the Head of School/College (or designate) for each IA at the beginning of the contract.

8.6.2 The IA Agreement will specify appointment details, duties regarding curriculum coverage, School/College contact details, fee band (for non-UWL staff), conflict of interest and CPD record of activity declarations.

8.6.3 Following the School/College approval, the completed IA Agreement is sent by the AQSO directly to the IA within one month of employment. If an IA is appointed mid-year, their IA Agreement will be confirmed and sent within one month of appointment.

## 8.7 Period of appointment

8.7.1 IAs will be appointed for a period of three academic years in the first instance, with the potential to renew their appointment following the three academic years.

8.7.2 The AQSO are responsible for undertaking annual eligibility checks to confirm that the IA is still suitably qualified and experienced to undertake the role within the three academic year period.

8.7.3 IAs will not normally be permitted to extend their tenure following the three academic year period.

8.7.4 IAs can have their duties extended to cover an additional course(s); this must be approved through the formal appointment process managed by the AQSO.

## **8.8 Induction**

8.8.1 IAs are required to undertake an induction session once they are formally appointed. The AQSO will facilitate this session together with the LIA and other relevant stakeholders. The aim of the session is to provide a general overview of EPA processes such as making judgements, grading assessments, recording outcomes and the University's EPA standardisation process.

8.8.2 The induction will include guidance to enable IAs to undertake fair and impartial assessment, making judgements about the application of KSBs in the workplace setting.

8.8.3 The induction will also include workshops for the specific Apprenticeship Standard they have been appointed to.

## **8.9 Training**

8.9.1 Ongoing training is facilitated by the AQSO and the relevant LIA as well as input from external professional bodies. The training is designed to ensure that all Apprenticeship requirements are met and to ensure that all assessments conducted are valid, fair and reliable and in line with the Assessment Plan.

8.9.2 IAs are expected to attend an annual standardisation training event to ensure fair, consistent and reliable grading of all assessments. The event will also allow the School/College to update the IAs on any changes to the Apprenticeship or standard. Apprenticeship Course Teams are also expected to communicate regularly with the IA during the academic year, providing updates and additional information as appropriate.

8.9.3 Records of induction, training and standardisation events will be retained by the AQSO on the IA register.

## **8.10 CPD activity**

8.10.1 IAs are required to submit an annual CPD record of activity which demonstrates their occupational competence for the Apprenticeship Standard they are assessing. The AQSO will retain and monitor the records using the Assessment Plan as the criteria which maps to the IAs CPD record. The CPD record of activity must be submitted to the AQSO by the IA by the end of August each academic year.

8.10.2 CPD activities could include:

- Workplace visits and shadowing e.g. staff shadowing experts in their place of work.
- Attendance at conferences to a) present an academic paper b) deliver a workshop c) industry-based conference, in each case the staff member will engage with subject and sector knowledge and debate.

- Attendance at trade exhibitions
- Shared assessment delivery with industry
- Membership of Professional Bodies and attendance at events
- Academic and professional up skilling-studying for professional body membership/higher level qualification
- Conducting industry focused research
- Attendance to ESFA/Ofsted/OfS –developmental events e.g. EPA Organisation annual conference
- Apprenticeship sector specific training –ESFA/Ofsted/QAA: example The Prevent Duty (Counter-Terrorism and Security Act 2015)
- Paid or unpaid employment in the relevant sector.

8.10.3 Any concerns around the IAs ability to meet the ongoing occupation relevance and experience will be identified and communicated to the IA as requirement for their continued ability to provide their services to the University.

8.10.4 Where a general need for development is identified, the University will ensure this training is provided to the IA.

## **8.11 Termination, resignation and absence**

8.11.1 The appointment of an IA can be terminated by the University, approved by the Pro-Vice Chancellor (Academic), if the IA fails to fulfil their obligations for example:

- Failure to take part in required training
- Failure to update their records of CPD and conflicts of interest annually;
- Failure to carry out EPAs and standardisation activities in line with expectations;
- Failure to provide the written reports by the required deadline.

Where a conflict of interest arises during the IA’s employment, and where the conflict cannot be resolved satisfactorily, normal practice is that the IA resigns. However, as a last resort the University will terminate the IA’s contract.

Termination of contract is normally subject to three months’ notice. Any termination of an IA must be reported to the next Academic Board with reasons for termination.

8.11.2 Where an IA wishes to resign their post, this will normally be subject to three months’ notice.



## **8.12 Information management**

8.12.1 The AQSO will retain a register of all IAs and update this regularly. The register will include personal and professional information including contact details, qualifications and conflict of interest information. All data is held and processed in line with the [University's Data Protection Policy](#).

## **9 EPA EXTERNAL ASSESSOR**

### **9.1 Roles and responsibilities**

9.1.1 An External Assessor is appointed to the EPA element of an apprenticeship, in addition to the External Examiner who has responsibilities for the degree element of the apprenticeship.

9.1.2 The role and responsibilities of an External Assessor for EPA include:

- Reviewing documentation relating to the EPA, including the EPA assessment instruments/materials and internal quality assurance documentation
- Conduct three sampling activities per academic year, each of which will review EPA assessments from the previous 3 or 4 cohorts
- Scrutiny of assessment materials and the apprentice's work
- Reviewing a sample of EPA assessed work, including observing live assessments
- Observing Independent Assessor standardisation or moderation meetings
- Meeting with Independent Assessors and other EPAO staff
- Meeting with apprentices and, where possible, employers
- Observing the meeting at which the final decision on the EPA is confirmed (such as the Board of Examiners/Examination Committee)
- Participate in training events (induction and standardisation)
- Complete an interim and annual report once per academic year to comment on EPA standards

9.1.3 EPA External Assessors are expected to conduct at least one visit (in person or online) to the EPAO each academic year.

### **9.2 Selection and appointment**

9.2.1 The appointment of EPA External Assessors for EPA will be determined by the requirements as set out in the EPA Assessment Plan.

9.2.2 The criteria for appointment will also be dependent on the requirements as set out in the EPA Assessment Plan, some general requirements will always apply, these include:

- Be knowledgeable about, and competent in, assessing apprentice achievement in higher education at level 6.
- Be qualified to at least the FHEQ level of the apprenticeship programme and be competent in the English language.
- Have broad and current knowledge, relevant experience and occupational competence in the apprenticeship occupational area.
- Have a high level of competence and experience in the fields covered by the apprenticeship and have a good understanding of apprenticeships.
- Be appropriately experienced in apprentice assessment design and delivery of EPA assessment materials.
- Have experience in acting as an external quality assurer or be willing to undertake training.
- Be able assess standards in an effective manner, identify good practice and recommend enhancements to enable informed EPA development.

### 9.3 Application process

9.3.1 The EPAD is responsible for identifying an appropriate candidate for the role of EPA External Assessor. The EPAD will liaise with relevant Schools/Colleges and Professional Service departments on the appointment.

9.3.2 EPA External Assessor vacancies can be advertised in the relevant industry sector, promoting the role which includes the specific requirements for the Apprenticeship Standard.

9.3.3 The EPA External Assessor is required to complete the **EPA External Assessor Application Form** which requires that the applicant demonstrates that they hold the required qualifications (e.g. subject and/or assessor), occupational experience, current professional registration (where applicable), and where required, a specific number of years' experience in terms of their ability to design and develop assessment tools as required for the standard. The EPA External Assessor must provide any additional documentation as required, e.g. CV, proof of right to work in the UK, qualifications.

9.3.4 The application form requires the EPA External Assessor to sign a declaration that there is no conflict of interest in applying for the post.

9.3.5 The EPAD and Course Leader for the apprenticeship course from the School/College is responsible, in the first instance, to check the eligibility of the applicant including conflict of interest and right to work in the UK (for non-UWL

staff). The EPAD will process the application, confirming all checks have been completed and all required documentation has been received.

- 9.3.6 The application form will be formally approved by the Director of Academic Quality and Standards.

#### **9.4 Conflict of Interest**

- 9.4.1 EPA External Assessors are required to declare any potential or actual conflicts of interest at the time of their nomination. Conflict of interest declarations are retained by the AQSO. Regular checks are carried out by the AQSO to ensure changes to circumstances have not led to a conflict of interest.

#### **9.5 Confirmation of appointment**

- 9.5.1 Once the Pro-Vice Chancellor (Academic) (or designate) has granted final approval of the appointment, the AQSO will send a **Contract and Information Pack** to the EPA External Assessor. The contract and information pack will detail the contractual obligations and responsibilities and duties of the role. The EPA External Assessor is required to sign and return a copy of the contract. Once this has been received, the AQSO will liaise with the Human Resources Department and IT Department in order to ensure that the EPA External Assessor is set up on the required systems. The approved EPA External Assessor, LIA, School/College, and Academic Partner (where applicable) will receive confirmation of their appointment by the AQSO.

#### **9.6 Period of appointment**

- 9.6.1 EPA External Assessors will be appointed for a period of three academic years in the first instance.
- 9.6.2 The AQSO are responsible for undertaking annual eligibility checks to confirm that the EPA External Assessor is still suitably qualified and experienced to undertake the role within the three academic year period.
- 9.6.3 EPA External Assessors can have their duties extended to cover an additional course(s); this must be approved through the formal appointment process managed by the AQSO.

#### **9.7 Induction and training**

- 9.7.1 EPA External Assessors are required to undertake an induction session once they are formally appointed. The EPAD will facilitate this session together with other relevant stakeholders. The aim of the session is to provide a general overview of EPA processes and the role requirements and the University's EPA standardisation process.
- 9.7.2 Ongoing training will be provided by the EPAD and relevant stakeholders in order to ensure the EPA External Assessor can continue to carry out their role effectively.

## **9.8 CPD activity**

9.8.1 The University has a responsibility to ensure that EPA External Assessors appointed to EPA are qualified and undertake CPD in relation to their associated discipline and professional field, and also Apprenticeships and EPA processes more generally.

9.8.2 The EPAD will be responsible for monitoring the CPD activity of each of the University's EPA External Assessors through an annual request for information using the CPD Log Form. The CPD record of activity must be submitted to the AQSO by the IA by the end of August each academic year.

## **9.9 Termination, resignation and absence**

9.9.1 The appointment of an EPA External Assessor can be terminated by the University, approved by the Pro-Vice Chancellor (Academic), if the EPA External Assessor fails to fulfil their obligations for example:

- Failure to take part in required training
- Failure to update their records of CPD and conflicts of interest annually;
- Failure to carry out EPAs and standardisation activities in line with expectations;
- Failure to provide the written reports by the required deadline.

Where a conflict of interest arises during the EPA External Assessor's employment, and where the conflict cannot be resolved satisfactorily, normal practice is that the EPA External Assessor resigns. However, as a last resort the University will terminate the EPA External Assessor's contract.

Termination of contract is normally subject to three months' notice. Any termination of an EPA External Assessor must be reported to the next Academic Board with reasons for termination.

9.9.2 Where an EPA External Assessor wishes to resign their post, this will normally be subject to three months' notice.

## **9.10 Information management**

9.10.1 The AQSO will retain a register of all EPA External Assessors and update this regularly. The register will include personal and professional information including contact details, qualifications and conflict of interest information. All data is held and processed in line with the [University's Data Protection Policy](#).

## **10 GATEWAY**

10.1.1 EPA is a vital part of an Apprenticeship and should be planned for at the start of the Apprenticeship.

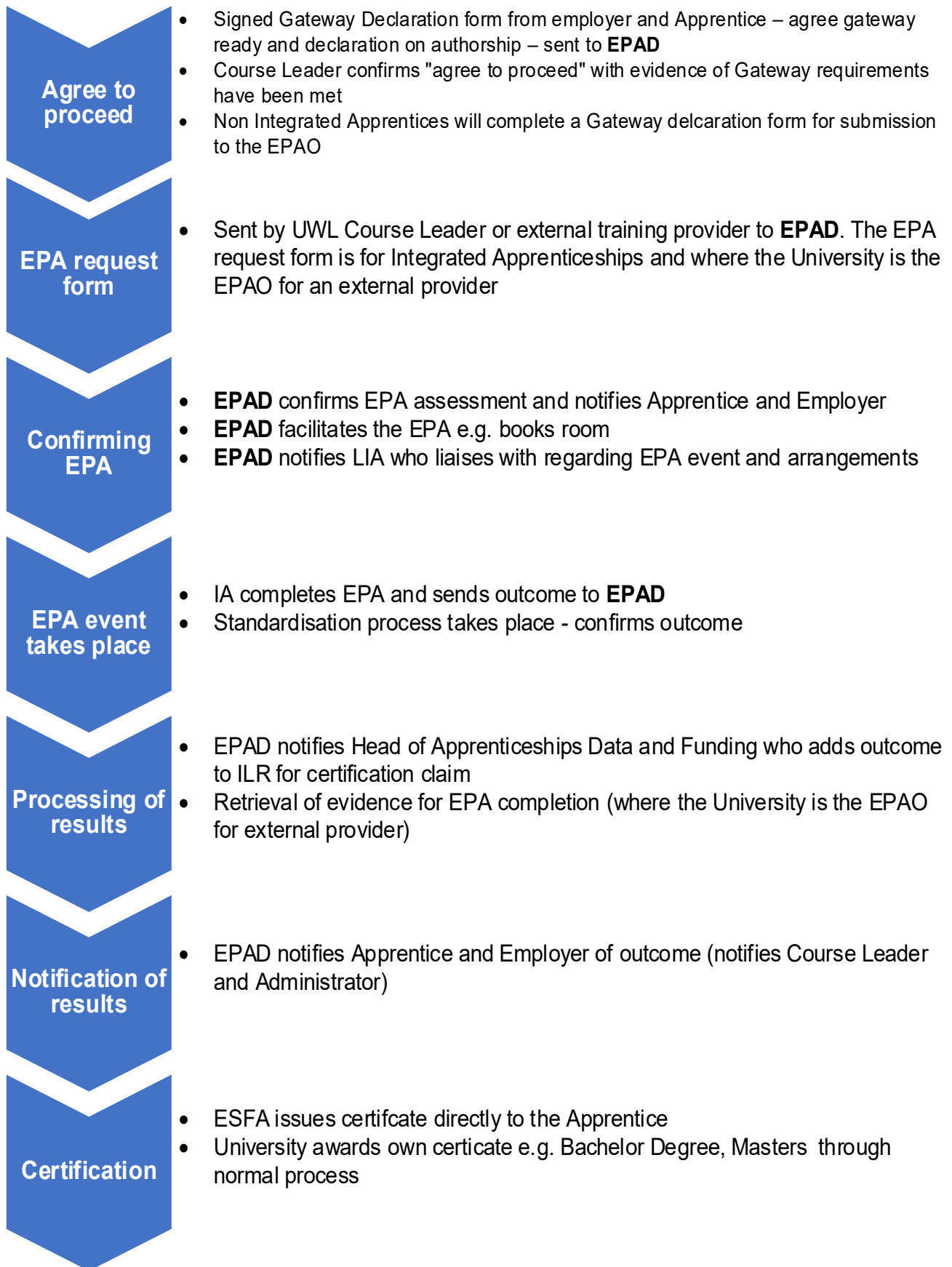
10.1.2 When an Apprentice reaches the planned Gateway date, the employer should hold a final meeting with the Apprentice to confirm that the Apprentice is ready to sit the EPA. Where the University is the EPAO, both for Integrated Apprenticeships and where the University is the EPAO for an external provider, the employer and Apprentice must complete the **EPA Gateway Declaration Form**. For Non-Integrated Apprenticeships, where another organisation is the EPAO, the University will follow the guidance, forms and processes as set out by each EPAO, in order to inform them that the Apprentice is at the Gateway stage.

10.1.3 To meet the minimum requirements set out in the Apprenticeship Standard an Apprentice needs to:

- display occupational competency
- have evidence of/or pass functional skills (at level 2) in English and maths
- complete mandatory training
- take any qualifications set out in the Apprenticeship Standard
- meet the minimum duration for their Apprenticeship training

10.1.4 The Gateway Administration Process is illustrated in the diagram below:

## Gateway Administration Process



## **11 END POINT ASSESSMENT**

- 11.1.1 End Point Assessment (EPA) is the synoptic assessment at the end of the programme to confirm that the apprentice has achieved occupational competence.
- 11.1.2 All Apprentices must take an EPA at the end of their training to confirm that they have achieved occupational competence. Rigorous, robust and independent EPA is essential to give employers confidence that Apprentices completing an Apprenticeship can perform in the occupation they have been trained in and can demonstrate the duties, and KSBs set out in the Apprenticeship Standard. All EPAs consist of at least two forms of assessment.
- 11.1.3 Only organisations on the Apprenticeship provider and assessment register (APAR) are eligible to conduct independent end-point assessment of apprentices. The University must be registered on the APAR for each Apprenticeship Standard that is being delivered where the EPA is integrated.
- 11.1.4 The EPAD will work with Schools and Colleges to coordinate the applications to the APAR. Early engagement with this process is advised as the application must be approved at least nine months before the EPA is scheduled to take place.
- 11.1.5 EPAs can take place up to 3 months after an apprentice's portfolio and learning has been completed and in order to continue meeting Levy requirements during those 3 months, Schools/Colleges will continue to engage the apprentices in relevant activities. These may include revision, EPA preparation, future careers sessions etc. These will still account for 20% of the apprentice working week (off-the-job-training).
- 11.1.6 The University will supply all required information to the ESFA to ensure compliance with the EPA process and outcomes.
- 11.1.7 Unsuccessful apprentices will either:
- Be awarded a resit opportunity as per the EPA Assessment Plan
  - Be required to undertake a resit as per the EPA Assessment Plan
  - Be considered for an award for the honours degree only (not the apprenticeship) in line with the University Academic Regulations (Section 8, 8.21.2).

### **11.2 Integrated EPA**

- 11.2.1 The Assessment Plan will indicate that the EPA is integrated. The University will deliver both the on programme learning/training and the EPA. The EPA is part of the academic award and is normally the final project/module. The integrated EPA will have been approved at the time of course approval.
- 11.2.2 Where a work-based project forms part of the EPA, it may be necessary for the employer to be involved in agreeing the scope of the project as it is important that the project meets the needs of the employer organisation.

11.2.3 The University, as the EPAO, will need to agree the scope of the work-based project, ensure it is comparable to other projects and that it will fulfil the requirements of the EPA for the Apprenticeship Standard and Assessment Plan. The University may produce project specifications to guide employers in determining the requirements of the work-based project. There should be evidence of 'sign off' by all parties, University, employer and learner on any agreed work-based project.

### 11.3 Non-integrated EPA

11.3.1 When the EPA is non-integrated, successful completion and ratification of the final academic award is required before the EPA can be attempted. Significant alignment of the Apprenticeship Standard with the programme and module learning outcomes will exist. The EPA is carried out by a designated End Point Assessment Organisation (EPAO). The Employer will determine the EPAO to be used and therefore, the University may be working with more than one EPAO for any one cohort of learners.

### 11.4 The Assessment Plan

11.4.1 The Assessment Plan sets out requirements to be completed or achieved before an Apprentice can undertake an EPA. This must cover:

- minimum English and Maths requirements
- mandatory qualifications detailed in the occupational standard
- any requirements or outputs that underpin an assessment method
- confirmation that the employer is confident that the Apprentice is occupationally competent, that is, they are deemed to be working at or above the level set out in the occupational standard, and is ready to undertake the EPA

11.4.2 The Assessment Plan describes how each assessment method will be delivered and the parameters which EPAOs must follow when developing and delivering assessment. For example, how long Apprentices will be given to undertake tasks, or the minimum number of questions they will be asked in an interview. This will help ensure that all Apprentices undertake comparable EPA.

11.4.3 Work completed prior to Gateway can be used to support an assessment method but cannot be an assessment method in its own right. This includes logbooks, portfolios, projects or similar that are completed during the Apprenticeship, and may be useful tools to support assessment methods, for example a presentation.

11.4.4 The IfATE have published the following requirements for an Apprenticeship Standard EPA:

- **Deliver valid and accurate judgements of occupational competence.** The assessment methods must be fit for purpose and appropriate to the content of the occupational profile. They must include a mixture of valid assessment



methods that will lead to a synoptic EPA that truly measures occupational competence. This is underpinned by having at least one synoptic assessment method (a method that tests a combination of KSBs)

- **Produce consistent and reliable judgements** – the assessment methodology and tools used must ensure that employers can have confidence that Apprentices assessed in different places, at different times, by different assessors have been judged in the same way and to have therefore reached the same standard of occupational competence.
- **Ensure independence** of the organisation delivering the assessment and of the IA making assessment decisions. For Integrated Degree Apprenticeships the organisation does not have to be independent but the IA must be.
- **Apprenticeships should be graded using** at least one level (merit or distinction) above pass for the EPA as a whole.
- **Feasibility, manageability, and affordability** within the constraints of funding policy.
- **Enables EPAOs to make reasonable adjustments** for conducting an EPA in compliance with equality legislation.

11.4.5 The EPAO must use the assessment methods as detailed in the Assessment Plan and must include a minimum of two distinct assessment methods and at least one of these must assess the KSBs in the occupational standard synoptically (i.e. test some knowledge, some skills and some behaviours). EPA can take a wide range of forms including:

- **Observation based** – the IA will observe how the Apprentice undertakes one or more duties in the workplace. This can be supplemented by the IA asking the Apprentice questions during or/and after the observation.
- **Practical demonstration based** – an assessment of skills (and sometimes knowledge and behaviours) that takes place in a practical skills facility such as a simulated work area in an assessment centre or a skills development facility. This can be supplemented by questioning during or after the demonstration.
- **Test based** – an assessment taken under controlled and invigilated conditions. The types of questions used may vary (for example, multiple-choice, open-answer and scenario/case study-based tests or a combination thereof). The test could be presented on paper, as an online series of questions or pre-loaded onto a computer.
- **Project based** – a defined piece of work undertaken after the Gateway to demonstrate a particular aspect of the occupation – a project could be marked in its own right and/or used to inform a presentation or interview/discussion. This could be a written-assignment or a practical project, and wherever possible should have a business benefit and include the production of verifiable and assessable work outputs.

- **Presentation based** – the Apprentice making a presentation to an individual IA. This will often be followed by questioning from the IA.
- **Discussion based** – could be either an interview (where a series of questions is posed to the Apprentice about an aspect of their occupation and how they have demonstrated different competencies) or a professional discussion or viva (which is an in-depth, two-way discussion between an independent assessor and Apprentice to assess theoretical or technical knowledge). Questioning and answering (where short, focussed questions are asked in support of another assessment method for example observation or presentation) would also be classed as being discussion-based types of assessment.

11.4.6 EPA activity may be recorded for moderation purposes. All participants will be notified of this prior to commencement.

11.4.7 The IA will make the judgement and overall grade for the EPA (unless otherwise stated on the EPA Assessment Plan). The aggregated mark of the EPA will provide the Apprenticeship grade. Apprentices must pass each assessment method of their EPA in order to achieve an overall pass grade. Grading is awarded based on the achievement of the KSBs of the Apprenticeship as identified in each Assessment Plan.

11.4.8 Assessment methods should have equal weightings to enable a simple process of grading of the whole EPA, however there may be a specific rationale for different weightings to be applied.

## **11.5 Consistency Assurance in EPA delivery**

11.5.1 The University has rigorous processes in place in order to meet Internal Quality Assurance (IQA) requirements for the EPA. This involves making sure that individual assessments are being undertaken correctly and assuring others (including funding bodies and employers) that the University is effectively delivering (including applying reasonable adjustments), standardising, marking and reporting the outcome of assessment appropriately.

11.5.2 The University has robust IQA measures in place to ensure the EPA is applied consistently, this includes:

- specifying levels of moderation that must be applied
- stipulating essential occupational and assessment knowledge, skills and experience IAs should have; and any CPD requirements
- giving the minimum frequency at which IAs should meet to standardise assessment practices within their individual assessment organisations
- specifying the tools, materials or techniques to be used in the assessment

- describing the processes for benchmarking performance, moderating assessments and reviewing standards over time and across different locations.

11.5.3 The University has produced an EPA Consistency Statement for further guidance.

## **12 EPA QUALITY AND OPERATIONAL PROCESSES**

### **12.1 External Examiners**

12.1.1 External Examiners are appointed to Apprenticeships as part of the University's standard quality assurance procedures. Their involvement in the EPA can vary depending on whether the Apprenticeship is Integrated or Non-Integrated or whether components of the EPA are credit bearing or non-credit bearing.

12.1.2 For Integrated apprenticeships, the External Examiner will be involved in the oversight of the end-point assessment where the end point assessment also forms part of the degree. In these cases, the specific requirements for external examining are set out in the apprenticeship Assessment Plan and must be adhered to in the assessment process.

12.1.3 For Non-Integrated apprenticeships, the External Examiner will not play a direct role in the end-point assessment process. They will, however, be involved in the awarding of the degree.

12.1.4 End Point Assessment (EPA) External Examiners will be appointed on a needs assessed basis or where the assessment plan requires the appointment of an EPA External Examiner. Responsibilities and duties of an EPA External Examiner will be determined by the apprenticeship standard assessment plan. Further information on the role of the EPA External Examiner can be found in Section 7 of the Academic Quality and Standards handbook.

12.1.5 External Examiners may also be asked to review EPA assessment briefs and examination questions, to assure external benchmarking and consistency, as part of the standard quality assurance process and as detailed in their role.

12.1.6 Where they are required to review Apprentices' work completed as part of the EPA, they will do so according to the Assessment Plan and University procedures and regulations.

12.1.7 External Examiners will attend Assessment Boards as part of their standard role and present comments on EPA, as appropriate.

12.1.8 External Examiners will be trained accordingly and be given the required guidance to undertake their role appropriately, incorporating additional training related to Apprenticeships and EPA, as appropriate.

12.1.9 Where the assessment plan references the role of the External Examiner (such as having industry relevant experience) consideration of these requirements should occur at the time of appointment.

## **12.2 Assessment Boards**

- 12.2.1 For Integrated Degree Apprenticeships, the EPA module/component will be ratified at an assessment board as per standard University practice.
- 12.2.2 For Non-Integrated Degree Apprenticeships, the EPA/module component, although not undertaken as part of the Degree Award, will also be ratified at an assessment board, however, will be considered in a different format.

## **12.3 Recording EPA outcomes**

- 12.3.1 EPA outcomes are communicated by the EPAD to relevant stakeholders including the Head of Apprenticeship Funding and Data who records this information in the (Individual Learner Record) ILR (managed within the University's student record system (SITS). Where the University is the EPAO for the Apprenticeship, the EPAD also records the outcome on the ESFA's Apprenticeship Assessment Service website.

## **13 APPEALS AND COMPLAINTS**

### **13.1 Appeals**

- 13.1.1 The University's Appeals regulations as detailed in the University's [Academic Regulations](#) apply to all students studying at the University. For Apprentices it includes: Apprentices enrolled on Integrated Apprenticeships undertaking the EPA at the University and Apprentices enrolled on Non-Integrated Degree Apprenticeships, for the Degree award element of the Apprenticeship.
- 13.1.2 If the appeal is in relation to the EPA delivered by another organisation, this will be covered by the Appeals policy of this organisation.
- 13.1.3 If the University were to act as the EPAO for another organisation, separate regulations apply. Further details can be found in the Apprenticeships End Point Assessment Complaints Procedure UWL as EPAO.

### **13.2 Complaints**

- 13.2.1 EPA carried out by the University is subject to the University's standard complaints procedures as detailed in the Complaints Policy on the [University's website](#).
- 13.2.2 If the University were to act as the EPAO for another organisation, separate regulations apply. Further details can be found in the Apprenticeships End Point Assessment Complaints Procedure UWL as EPAO.

## **14 FAIR ACCESS/REASONABLE ADJUSTMENTS**

- 14.1.1 EPA carried out by the University is subject to the University's standard Fair Access to Assessment Policy accessible from the [University's website](#).

## **15 RESITS, RETAKES AND MITIGATING CIRCUMSTANCES**

- 15.1.1 EPA carried out by the University is subject to the details as stated within the EPA Assessment Plan. The EPA Assessment Plan takes precedence over the University academic regulations.
- 15.1.2 Resits and retakes are defined by the IfATE as:
- a retake requires a period of further learning before the learner can attempt the EPA again;
  - a resit does not require further learning before attempting reassessment of the EPA or the failed component of the EPA.
- 15.1.3 Timing of retake will be determined within the assessment plan for each specific Apprenticeship Standard.
- 15.1.4 The cost of retakes and resits will be detailed in the contract with the EPAO.

## **16 ACADEMIC REGULATIONS**

- 16.1.1 The academic regulations relevant to Degree Apprenticeships are detailed in the University's Academic Regulations, available on the [University's website](#).

## **17 CERTIFICATE AND TRANSCRIPT**

### **17.1 Certificate**

- 17.1.1 The University is responsible for claiming the Apprenticeship Certificate from the Apprenticeship Assessment Service for all EPA delivered by the University, i.e. for Integrated Apprenticeships and for where the EPA is delivered on behalf of an external provider.
- 17.1.2 For Integrated and Non-Integrated Apprenticeships, the University will issue a standard UWL Degree Certificate for the UWL Academic Award. For Non-Integrated Apprenticeships this may be issued once the EPA is complete even if though the EPA may not have been passed.
- 17.1.3 UWL Degree Certificates will only be issued once apprentices have attempted the EPA and will not be awarded until at least one attempt of EPA. If EPA is not attempted, certificates will not include the title of 'Degree Apprenticeship' as this would not have been achieved.
- 17.1.4 Extenuating circumstances may be considered on a case by case basis and final approval is required from the Director of Apprenticeships.

## **17.2 Transcript**

- 17.2.1 For Integrated Degree Apprenticeships, Apprentices are issued with a transcript (together with their Degree Award Certificate) of their academic performance in line with standard University procedures.
- 17.2.2 For Non-Integrated Degree Apprenticeships, Apprentices will be issued with a transcript to be presented to the EPAO.
- 17.2.3 Where the University is delivering the EPA on behalf on an external provider, only the outcome of the EPA will be recorded, no transcript will be issued.

## **18 EPA FEEDBACK SURVEY**

- 18.1.1 In order to develop the University's understanding of the experience of EPAs from a range of perspectives and use this information to improve provision of services, the EPAD coordinates a confidential post-EPA survey for:

- Apprentice
- Employer
- Independent Assessor
- Training provider

The results of the surveys are shared with the relevant School/College. If the survey highlights issues in the EPA provision the University may use this as evidence as to why the EPAO should not be used in the future. A summary of the survey is presented annually to AFEC.

## **19 INTERNAL REPORTING**

- 19.1.1 An annual report on EPA outcomes is produced by the EPAD, the report is presented to the first Apprenticeships Continuous Quality Improvement Group (ACQIG).

## **20 EXTERNAL QUALITY ASSURANCE (EQA)**

- 20.1.1 EQA is undertaken by an external body and covers all EPAOs delivering EPA against a particular Apprenticeship Standard

- 20.1.2 The four possible approaches to EQA are:

- Employer-led
- Professional Body
- Ofqual

- The Institute for Apprenticeships and Technical Education

## **21 EXTERNAL REPORTING**

21.1.1 The University is required to report to the relevant EQA body for each Higher and Degree Apprenticeship.

21.1.2 The EPAO must provide the EQA provider with a monthly return of:

- assessments delivered and their outcomes
- estimates of Apprentices in the pipeline
- details of where and when any assessments have taken place
- planned IQA activity

21.1.3 On an annual basis each EQA provider will generate a report on each EPAO's delivery of the standards they are registered for. They will also provide a report on each Assessment Plan for which they deliver EQA. These reports will be submitted to the IfATE for review by the Institute's Quality Assurance Committee.

## GLOSSARY

**Apprenticeship Standard** – Apprenticeship based on an occupational standard that defines the duties carried out by someone in the occupation and knowledge, skills and behaviours required to achieve that competence in those duties and the Apprentice's occupational competence is tested by an independent, End Point Assessment

**Assessment Plan** – A detailed document that accompanies each Apprenticeship Standard setting out each element of the Gateway requirements and the methods of synoptic assessment to be used in the End Point Assessment.

**Apprenticeship provider and assessment register (APAR)** – The register for organisations eligible to receive government funding to train Apprentices. This register also includes the list of end-point assessment organisations (RoEPAO) from which an employer can select an organisation (to be contracted by the main provider) to deliver the end-point assessment as part of the employer's agreed Apprenticeship programme.

**Degree Apprenticeship (Integrated)** – An Apprenticeship, at levels 6-7, where the completion of the Degree (undergraduate or postgraduate) forms part of the End Point Assessment. The Apprenticeship will last approx. 3-6 year and at least 20% of an Apprentice's contracted working hours must be on off the job training. The Higher Education institution delivering the degree must be on the register of Apprenticeship training providers and the register of End Point Assessment Organisations.

**Degree Apprenticeship (Non-Integrated)** – An Apprenticeship, at levels 6-7, in which the completion of an undergraduate or postgraduate degree is a requirement prior to the End Point Assessment. The Apprenticeship will last approx. 3-6 year and at least 20% of an Apprentice's contracted working hours must be on off the job training. The education provider cannot be the End Point Assessment Organisation, this role must be undertaken by a third party from the Register of End Point Assessment Organisations and chosen by the Employer.

**Education and Skills Funding Agency (ESFA)** – An executive agency, sponsored by the Department for Education, which is accountable for funding education and skills for children, young people and adults. The ESFA administers contracts for funding and the Digital Apprenticeship Service for Levy payments to Apprenticeship Providers.

**External Quality Assurance (EQA)** – The monitoring of End Point Assessment to ensure that robust, consistent and comparable assessment decisions are made across End Point Assessment organisations and across standards.

**External Quality Assurer bodies** – All EQA for an apprenticeship standard will be delivered by: The Office of Qualifications and Examinations Regulation (Ofqual) or The Office for Students (OfS) for integrated higher and degree apprenticeships.

**Gateway requirements** – These are requirements set out in the Assessment Plan that the Apprentice must meet before undertaking End Point Assessment of the Apprenticeship Standard. They will include the completion of English and Maths qualifications (where applicable) and completion of any on-programme mandatory qualifications (where applicable) along with satisfactory evidence (as determined by the employer, in consultation



with the provider) that the Apprentice has achieved the necessary knowledge, skills and behaviours set out in the standard.

**Higher Apprenticeship** – An Apprenticeship, at levels 4-5, where the completion of the Foundation degree is a requirement before the End Point Assessment.

**Institute for Apprenticeships and Technical Education (IfATE)** – An executive non-departmental public body, sponsored by the Department for Education, which ensures high-quality Apprenticeship standards and advises government on funding for each standard.

**Knowledge, Skills and Behaviours (KSBs)** – The elements of competence that the Apprentice will gain during the Apprenticeship and needs to evidence at the End Point Assessment in order to complete the Apprenticeship.