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| Higher and Degree Apprenticeships  End Point Assessment Policy | |
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| Higher and Degree Apprenticeships  End Point Assessment Policy |

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# Policy Statement

* 1. The University of Hull (UoH) is committed to providing high quality education and services to all its learners and client organisations. As an apprenticeship training provider, our aim is to procure high quality End Point Assessment (EPA) provision from registered End Point Assessment Organisations (EPAO) on behalf of employer partners for both integrated and non- integrated apprenticeships. The University itself also aims to provide high quality EPA services as a Registered EPAO for both integrated and fully-integrated apprenticeships.

# Definition of Terms

* 1. **End Point Assessment (EPA)** is an independent assessment that takes place at the end of the apprenticeship programme.
  2. **Independent End Point Assessor (IEPA)** conducts the end point assessment or process against industry specific competencies in accordance with the assessment plan approved within the apprenticeship standard.
  3. **End Point Assessment Organisation (EPAO)** is the organisation responsible for delivering the End Point Assessment for Apprenticeship programmes.
  4. **External Quality Assurance (EQA)** is the independent evaluation that an apprentice has undergone a quality End Point Assessment that assesses occupational competence at the end of their apprenticeship.
  5. **External Assessor (EA**) is a deployed individual with assessment expertise to observe EPA delivery and check that it is being undertaken in a manner that supports the assessment of occupational competence in accordance with the apprenticeship standards and EPA Policy.
  6. **Lead Quality Assurer (LQA)** is an internal deployed individual that oversees the internal and external quality assurance activity for apprenticeships.
  7. **Internal Quality Assurance (IQA**) is the process of monitoring the quality of assessment within an organisation.
  8. **Designated Quality Body (DQB)** designated by the Secretary of State in order to provide assessment and advice to the Office for Students on quality and standards in Higher Education.
  9. **Non- integrated Apprenticeship:** has an underpinning academic award followed by an end point assessment (EPA) that is delivered by an **independent external** End Point Assessment Organisation (EPAO).
  10. **Integrated Apprenticeship:** has an underpinning academic award included and all assessment specifically relating to the apprenticeship award is integrated within the end point assessment (EPA) for the Apprenticeship. The EPA is delivered by the host training provider who have responsibility as the End Point Assessment Organisation (EPAO).
  11. **Fully-Integrated Apprenticeship:** has an underpinning academic award with all apprenticeship related assessment fully integrated into the academic award. Fully-integrated apprenticeships still have an End Point Assessment (EPA) however, this is a **process** that starts with the board of examiners and finishes when the training provider makes the required declarations to the Professional Statutory Regulatory Body (PSRB). The apprentice is **not** required to carry out any additional assessments outside of the main underpinning academic award in accordance with category 4 below.
  12. **Category 4 EPAs**: For degree apprenticeships where the professional body has a regulatory role which controls access to the occupation, the EPA **must** be integrated with the professional body’s assessment procedures rather than the degree itself. The degree in these apprenticeships will be completed as a gateway requirement, but the apprenticeship will continue until the EPA is completed. The EPA will be the professional body’s assessment process. Successful completion of the EPA will grant the apprentice membership of the professional body and allow them to practise in the occupation.  The EPA will need to meet the general requirements for end-point assessment. The structure, parameters and requirements of the end-point assessment as set out in its associated EPA plan (IFATE, 2022).

# Purpose

* 1. This policy outlines the University’s approach to End Point Assessments including the processes and procedures for internal and external quality assurance so that the University can procure or provide EPA services to clients that are of the high standard that employer partners expect. There are three types of EPA related services to manage that the University has defined:

## Procuring EPA provision from a third party

This policy sets out how we ensure that employer requirements for EPA provision are captured and understood, how the University undertake due diligence and select appropriate services and how relationships are managed with contracted EPA Providers.

## Delivering EPA services to other training providers

Where the University intends to enter the EPA market to deliver EPA services to other training providers, it **must** establish a clear commercial offering and provide appropriate service throughout the contracting period. The University **must** apply successfully to the Apprenticeship Provider and Assessment Register (APAR) for each integrated/fully integrated apprenticeship standard offered. The University **cannot** deliver EPA services to University of Hull (UoH) apprentices for ‘non-integrated’ apprenticeships.

## Delivering Integrated/fully- integrated EPA Services

Where an apprenticeship programme is identified as ‘integrated or fully- integrated’, the UoH can act as both training provider and end point assessment organisation providing that the University meets the conditions of and successfully applies to the Apprenticeship Provider and Assessment Register (APAR).

# Scope

* 1. This policy applies to all higher and degree apprenticeship standards offered by the University. The policy will not affect the independence of the University’s decisions to make awards relating to underpinning qualifications, except where the design of the programme and the EPA are interlinked, for example, integrated apprenticeships, and are therefore reliant on each other. This policy also outlines the roles and responsibilities in relation to EPA and quality assurance.
  2. The policy details the need for a clear EPA delivery plan for each EPA service the University offers, considers the process for appeals to EPA decisions (where EPA is provided by the University) and considers the requirements of both Internal (IQA) and External Quality Assurance (EQA) as outlined by the Institute for Apprenticeships and Technical Education Framework (IFATE, 2020).

# Policy Details

## Part 1 – Procuring an End Point Assessment Organisation

* 1. For some apprenticeships delivered by UoH (i.e., non-integrated apprenticeships), the university cannot conduct the EPA and it **must** be delivered by an independent third-party End Point Assessment Organisation (EPAO). This policy provides a framework for procuring EPAO's in situations where the University of Hull is the apprenticeship provider and the EPAO, assuring apprentices have met the Knowledge Skills and Behaviours (KSB'S) required to meet the relevant standard. UoH will ensure each Independent End Point Assessor (IEPA) appointed has the capability and capacity to deliver the EPA.
  2. The University will apply a focused process proportionate to the role of the EPAO and tailored to the Education and Skills Funding Agency (ESFA) rule in force applying to End Point Assessment of Apprenticeships ensuring:
  3. that selection of the EPAO and associated procurement takes place prior to the start of each cohort of apprentices, wherever possible.
  4. there is an overall rationale (for EPA this will normally be the selection of the EPAO by the employer in accordance with ESFA rules).
  5. the organisation is on the Register of End Point Assessment Organisations for the Apprenticeship Standard specified.
  6. appropriate legal and financial due diligence checks are satisfied (including that the organisation is a legal person, it is not subject to legal proceedings to dissolve or wind up the company, it is up to date with submission of its statutory accounts, and these have been subject to external audit by an independent and qualified auditor and has a process to identify any conflicts of interest and ensure independence).
  7. the Apprenticeship Funding and Compliance Service is satisfied as to the EPAO's capacity and track record in providing high quality provision including that it is able to quality assure and improve relevant provision.
  8. the University has conducted clear and timely communications with the EPAO to ensure both parties are familiar with each-others policies and processes and expertise so that expectations and actions are clearly set out and where necessary documented in the EPA contract for services.
  9. the University will be able to conduct effective monitoring and performance review procedures to oversee the contract as determined by the Apprenticeships Funding and Compliance Service. This will include monitoring triggers and processes to intervene and terminate contracts as necessary, including continuity arrangements to transfer or support current apprentices.

## Part 2 – Establishing a commercial EPA offering to other training providers to deliver EPA Services

* 1. In order to deliver EPA services to other organisations, the University **must** ensure that there is a sufficient market of training providers/employers that would be interested in procuring the University’s services. A detailed **Business Case** (the format of which to be determined by the proposer) will be required detailing the benefits and risks of market entry, how the services will be marketed and how a service will be provided that includes the production of materials, briefing potential customers on requirements and how these relationships will be contracted. Detail relating to the quality assurance of provision and how appeals and certification will be managed will be required in accordance with the application to the Apprenticeship Provider and Assessment Register.
  2. Once the University is assured of the market potential and of the capacity and capability to deliver EPA services an **EPA Proposal Form** (Annex A) is required in order to facilitate an application to the Apprenticeship Provider and Assessment Register and to comply with the External Quality Assurance requirements as set out in the External Quality Assurance framework (IFATE, 2020).
  3. The information from the EPA Proposal Form **should** form the basis of an EPA Delivery Plan that will be a live document, and which relates to how the services will meet the requirements of the ‘Assessment Plan’ aligned to the relevant apprenticeship standard published by IFATE.
  4. The University **must** apply separately to the Apprenticeship Provider and Assessment Register to be eligible to deliver the EPA for each Apprenticeship Standard that it wishes to offer. From the 1st August 2023 the Register of Apprenticeship Training Providers (RoATP) will be renamed the Apprenticeship Providers and Assessment Register (APAR)

## Part 3 – Becoming an EPAO for an Integrated/fully integrated apprenticeship

* 1. In order for the University to deliver End Point Assessments for its own Integrated/fully- integrated Degree Apprenticeships, it **must** register to join the [Register of End Point Assessment Organisations](https://www.gov.uk/guidance/register-of-end-point-assessment-organisations) for each Apprenticeship that it wishes to offer **within 12 months prior to delivering the EPA.**
  2. Organisations that wish to deliver any form of EPA **must** be able to demonstrate that they have suitable expertise and are able to deliver EPA services and comply with the external quality assurance (EQA) requirements as set out in the External Quality Assurance Framework (IFATE, 2020).
  3. In particular, all applicants to the Apprenticeship Provider and Assessment Register **must** understand the [conditions](https://www.gov.uk/guidance/conditions-for-being-on-the-register-of-end-point-assessment-organisations) for applying which **must** be met. The University **must** assess its capability and capacity in delivering EPA provision by demonstrating its expertise and its plan in accordance with the Apprenticeship Standard. The **EPA Proposal Form** **(Annex A)** provides the basis for an assessment of the capability and capacity relating to each apprenticeship standard and **must** be completed to support each application and submitted to the Apprenticeship Funding and Compliance Service. This assessment **must** be robust in order to comply with external quality assurance requirements for EPA as set out in the External Quality Assurance Framework (IFATE, 2020).

# Overarching roles, responsibilities and requirements where the University delivers the EPA

The University **must** appoint to the roles of External Examiner (EE), Independent End Point Assessor (IEPA) and External Assessor (EA) for apprenticeships where the University delivers the EPA.

## Fully-Integrated Apprenticeship standards

* 1. For the **fully-integrated** apprenticeship standards, the apprentice is **not** required to carry out any assessment as part of the EPA, and the EPA starts with an examination board and finishes when the EPAO makes the required to declaration to the Professional Statutory and Regulatory Body (PSRB). The Designated Quality Body specify that a single individual, appointed by the EPAO, **should** undertake the roles of Independent End Point Assessor (IEPA), External Examiner (EE) and External Assessor (EA).
  2. The IEPA role for fully integrated apprenticeships **should** be carried out in accordance with Annex C of this policy.
  3. External examining duties for Apprenticeship programmes will be carried out in accordance with the Code of Practice for External Examiners.
  4. For the purposes of EQA monitoring, EA’s are required to carry out internal quality assurance processes in accordance with Annex B.

The following activities for **fully- integrated** apprenticeships **must** therefore be undertaken by the EA:

* review documentation relating to the EPA, including, for example, the EPA delivery plan and associated quality assurance documentation
* meet with EPAO staff involved in the delivery of the EPA
* review documents relating to gateway approval for individual apprentices
* attend the meeting at which the final decision on the EPA is confirmed (such as the Board of Examiners/Examination Committee/EPA Awards Board) in accordance with Annex C of this policy
* review the process for confirming the EPA result with the PSRB.

The EA is expected to conduct at least one visit to the EPAO for each cohortof apprentices completing an EPA. Visits do not always require the EA to attend on site and can be conducted online, where it is appropriate and practical to do so without compromising the ability of the EA to undertake their role. The scheduling of activities for the EA should be agreed between the EPAO and the EA and details shared with the Designated Quality Body (DQB) who from 1st April 2023 is the Office for Students (OfS). This will be monitored by a named DQB Officer appointed by the DQB as part of the ongoing monitoring activity within the EQA approach.

The activities above should enable the EA to provide feedback and commentary to the DQB and EPAO on EPA delivery and, specifically, whether:

* the EPA is delivered in line with the published EPA assessment plan for the Standard

* any requirements of the Standard (in terms of achievement of gateways and

mandatory qualifications and requirements) have been achieved, and that the employer and EPAO are satisfied that gateway requirements for EPA have been met prior to the start of the EPA period

* procedures and processes are fit for purpose and cover the requirements of the EPA assessment plan when applied in practice, including independence of the EPA and timely completion

* the procedures and arrangements for confirming the final outcome (such as the Board of Examiners) are in accordance with the Standard and the EPAO procedures and requirements, and enable valid and reliable decisions
* information and data that forms the basis for EPA decisions and for confirming the final outcome is accurate and reliable

* resources are adequate to support EPA delivery and internal quality assurance

* the uploading of the apprentice’s course and personal details to the PSRB database/register, and the declaration of the apprentice’s good health and character to the PRSB, are dealt with appropriately.

**Note:** Where any of the above activities are not covered, or where the evidence outlined above is not generated by the EA appointed by the EPAO, the DQB will appoint its own External Assessor to visit and conduct these activities. This is to ensure that, collectively, evidence on all the above is obtained and reported to the DQB for EQA monitoring purposes.

* 1. Upon successful appointment, **for fully integrated apprenticeships only**, the single Individual taking on the roles of IEPA, EE and EA will normally be contracted to a 4-year term of office. **Note**, where there are large numbers of learners, the EE and IEPA/EA may be separate appointments.

1. The Independent End Point Assessor/External Assessor for a **fully-integrated** Apprenticeship as a minimum **should**:
2. understand the occupational standard and end-point assessment plan.
3. be occupationally competent and hold professional registration with relevant PSRB (if appropriate).
4. comply to the requirements of the EPAO and PRRB Approved Education Provider (if appropriate).
5. be independent of the apprentice, and the employing organisation who are involved in delivering the apprenticeship.
6. be willing to take on roles of IEPA, EA and EE (if required)**)**
7. not have been involved in the teaching or on-programme assessment of the apprentice **other than**, in their role as an External Examiner (**Fully- integrated apprenticeships only**).
8. Undertake External Examiner duties in line with QAA Guidance on External Examiners/ Expertise for HE programmes (unless a separate EE is appointed).

## For Integrated Apprenticeship standards

For **integrated** apprenticeship programmes Independent End Point Assessors (IEPA) **must** be a separate appointment to the External Examiner to avoid conflict of interest as the IEPA will deliver the EPA and the External Examiner has a key role in the internal quality assurance of the assessment. The External Examiner can however take on the role as EA if they are willing to take on the additional role.

**Role of External Assessor (EA) for Integrated Apprenticeships**

In addition to any EPAO requirements (should the EA be undertaking external examining requirements for the degree), the EPAO should ensure that an appointed EA can demonstrate that they:

* are independent from the apprentices, employer, assessors and training provider(s) involved, and from the delivery of EPA[[1]](#footnote-1), with no conflicts of interest
* are impartial in judgement and wholly independent of the EPAO and its staff

(including the governing body), and any relevant employers and/or partners

* are knowledgeable about, and competent in, assessing apprentice achievement in higher education at levels relevant to the subjects and awards to which their appointments relate
* have broad and current knowledge, relevant experience and occupational competence in the area of work related to their appointment
* have a high degree of competence and experience in the fields covered by the EPA, and have a good understanding of degree apprenticeships
* are appropriately experienced in apprentice assessment design and delivery at the level of the award
* can assess standards in an effective manner, identify good practice and recommend enhancements to enable informed EPA development
* have experience in acting as an internal quality assurer or are supported by the EPAO in undertaking their duties, for example, through training and mentoring
* have had sufficient experience in quality assurance to enable them to discharge their role effectively
* can engage in open and transparent dialogue with key stakeholders within the EPAO to build relationships and provide guidance and support
* are prepared to undertake relevant training and continuing professional development
* comply with all relevant employment legislation, including safeguarding, as appropriate.

* 1. The role of the Independent End Point Assessor differs depending on whether they are undertaking the EPA for an integrated or fully integrated apprenticeship programme. An overview of the specific duties aligned to the role including requests for IEPA’s to undertake EA duties will be confirmed with upon appointment. IEPA’s are required to attend initial induction training upon appointment followed by annual training to ensure that quality standards are maintained in accordance with this policy and Apprenticeship standards set out by IFATE.

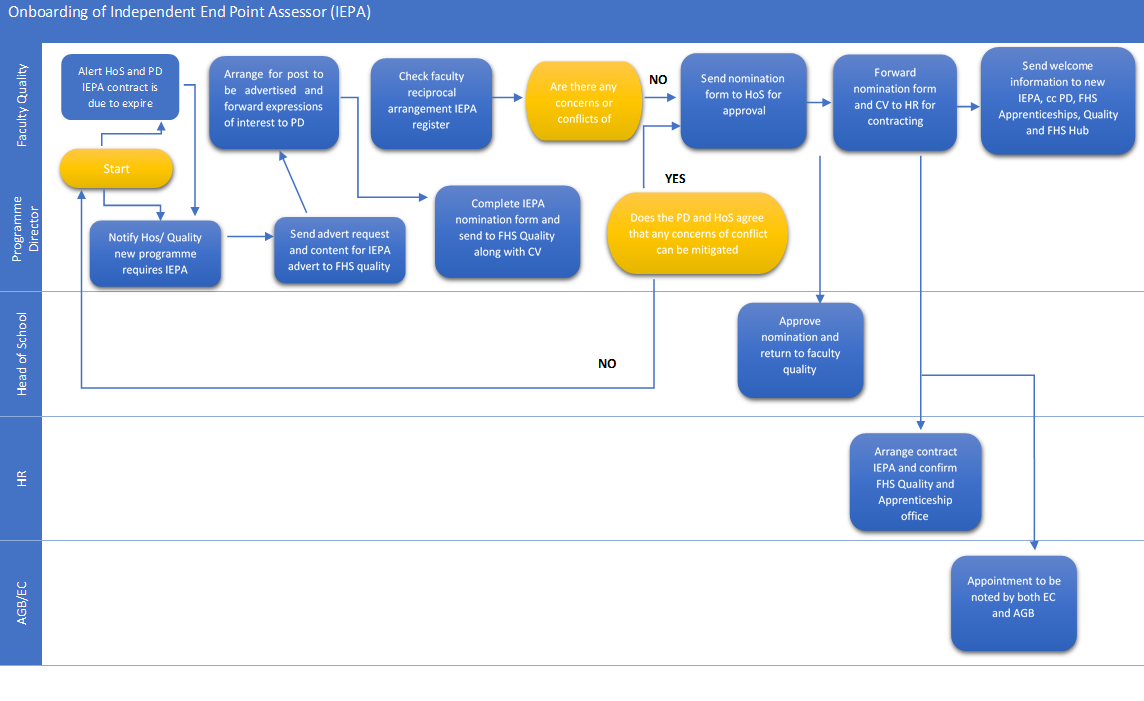
## Responsibilities of an IEPA for Integrated Apprenticeships

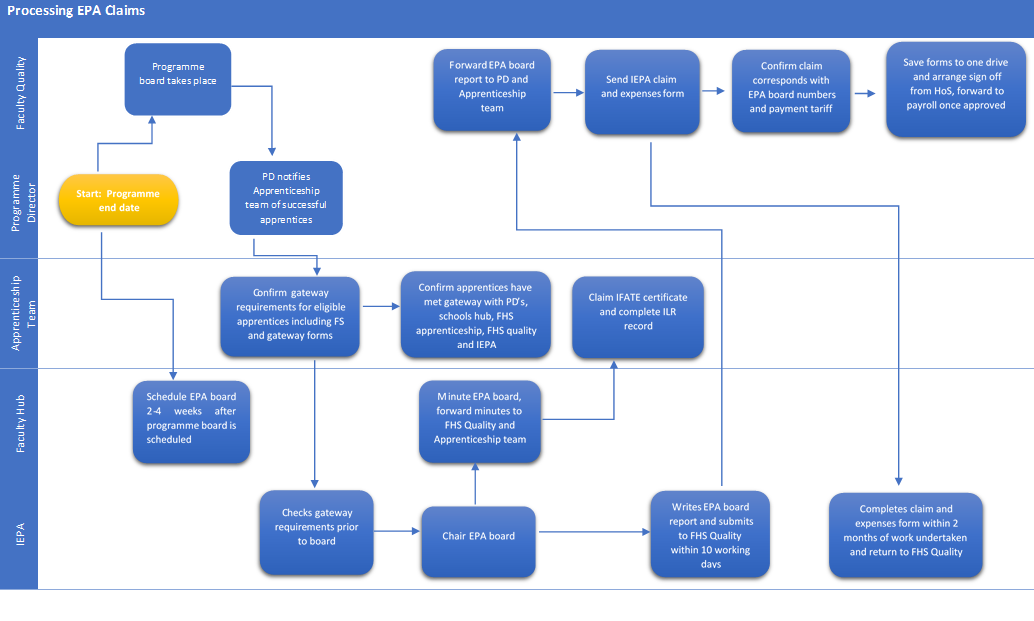
* 1. Responsibilities of an IEPA may include:

1. reviewing and confirming evidence regarding EPA criteria and guidance
2. providing detailed, appropriate feedback to support EPA processes
3. confirming independence and impartiality of the process
4. undertaking a prescribed assessment and grading the completed examination papers/assessments
5. chairing a presentation panel
6. determining the EPA assessment grade
7. determining the final apprenticeship grade
8. attending Programme Boards/EPA Assessment Boards associated with the listed programmes(s) and confirming successful apprentices with award classifications as described in the relevant EPA Assessment Plan
9. completing Grading Decision Reports and Cohort Reports
10. contributing to external quality assurance (where appropriate)
11. submitting conflict of interest declarations in line with the University’s EPA Conflicts of Interest Policy
    1. Recruitment criteria for Integrated Apprenticeships; the IEPA role requires:
12. knowledge and understanding of the standard and assessment plan
13. knowledge and understanding of UK sector agreed reference points to maintain academic standards and assurance of quality
14. active occupational competence and if appropriate professional registration with relevant professional statutory and regulatory body.
15. familiarity with EPA performance criteria
16. compliance with EPAO & PSRB (if appropriate) requirements
17. knowledge to undertake EPA activities with integrity and impartiality, offering fair, reliable and consistent assessment
18. IEPAs to be independent of the apprentice, EPAO or employing organisation who are involved in delivering the apprenticeship
19. all IEPA appointments are subject to meeting the individual criteria for the individual Apprenticeship standards as set out by IFATE.
    1. Re-sits and re-takes will be approved in accordance with the University’s programme regulations and procedures and specific requirements of the EPA assessment plan aligned to the apprenticeship Standard (IFATE).

## Recruitment and onboarding process for Independent End Point Assessors/External Assessors/External Examiners

* 1. The Faculty Quality Office is responsible for notifying Programme Directors/Head of School that an Independent End Point Assessor and/or External Examiner and/or External Assessor needs to be recruited. All Apprenticeship programmes require an External Examiner, Independent End Point Assessor and an External Assessor to be appointed. **Note:** where fully-integrated apprenticeship standards permit one person to be appointed to the role of EE, IEPA and EA, this **must** be specified when commencing recruitment. Please refer to **6.5** for recruitment criteria for fully-integrated apprenticeships and **6.8** for integrated Apprenticeships. Please refer to the onboarding of EPA workflow below.



* 1. Please refer to the workflow below that outlines the workflow for processing EPA duty and expense claims:

## Appeals

* 1. Refer to the University’s [Codes of Practice: Academic Appeals UG & PGT](https://view.officeapps.live.com/op/view.aspx?src=https%3A%2F%2Fwww.hull.ac.uk%2Fchoose-hull%2Funiversity-and-region%2Fkey-documents%2Fdocs%2Fquality%2Fstudent-information%2Fucop-academic-appeals-ug-pgt-sept-2023.docx&wdOrigin=BROWSELINK) for any appeals related Apprenticeship programmes. An academic appeal is a request for a review of a decision of an academic body charged with decisions on student/apprentice progression, assessment and awards.

## Internal Quality Assurance (IQA)

* 1. The purpose of quality assurance is to monitor assessment activities and ensure that

the principles of assessment are met, in line with the relevant regulatory and external quality assurance requirements as set out by the Designated Quality Body. The University will recruit External Assessors to undertake the quality assurance activity.

* 1. The University of Hull is committed to ensuring there is a standardised approach to internal quality assurance practice. The quality assurance process will be open, fair and free from bias and there will be accurate and detailed recording of all external quality assurance decisions.
  2. The QA process monitors and maintains the quality (validity, reliability), transparency and integrity of end point

assessment, in line with the requirements of the Designated Quality Body (OfS) and the Institute for Apprenticeships & Technical Education.

* 1. The Quality Assurance process relating to EPA including roles and responsibilities can be found in **Annex B** of this Policy.

## External Quality Assurance

* 1. Each apprenticeship ‘Standard’ published has a Designated Quality Body (DQB) responsible for providing External Quality Assurance (EQA). From 1st April 2023, the Office for Students are the Designated Quality body. Their role is primarily to regulate and monitor the quality of all those EPAOs registered for that standard are consistently applying the relevant ‘Assessment Plan’ and are operating effectively. The DQB require the University to engage in the External Quality Assurance process and will expect evidence and reports from EPAOs to be provided in order to fulfil their role in accordance with the EQA Framework (IFATE, 2020). Ensuring the quality of EPA is crucial and, in order to secure this, three tiers of assurance exist:

1. the first tier is undertaken by the EPAOs who use Internal Quality Assurance processes to ensure that their assessments are valid and reliable.
2. the second tier assures that assessments comply with the requirements of the assessment plan and meet the needs of employers and apprentices, and that these assessments are fair, comparable and consistent. This will be undertaken by the OfS as the Designated Quality Body and supported by professional and employer-led bodies where suitable bodies are available.
3. the third tier is the work done by the University of Hull to oversee and assure the quality of the oversight of EPA, including a coherent risk management process and the outcomes of EQA provision.

## EQA principles

* 1. Delivery of EPA is:

1. **Relevant** - The EPA is current and genuinely measures occupational competence. Achievement of the apprenticeship is a dependable predictor of success in the occupation.
2. **Reliable** - The EPA produces consistent outcomes irrespective of context, cohort, timing or the organisations involved.
   1. Quality assurance of EPA is:
3. **Efficient** - The process is high-quality, easy to use, cost-effective and facilitates the entry of new employers and EPAOs. To ensure that the right aspects of quality are measured, the right activity is undertaken by the right people, at the right time, and enabled by a digital system that generates actionable Management Information and supports a risk-based approach that is specific to apprenticeship assessment.
4. **Positive** - EPA is trusted and respected by employers, apprentices and providers to deliver the right outcomes. The experience is open, transparent and accessible.
5. **Learning** - Continuous improvement is embedded in all areas of the EQA framework to ensure an enduringly proactive and progressive approach to quality.
   1. Prior to delivery EPAOs will be expected to declare readiness and at this point compliance with any conditions applied at the point of registration will be further checked by the Designated Quality Body (OfS) through technical evaluation of assessment materials and related activities including EPAO self-reporting; and review of support materials, EPA delivery plans, IPEA recruitment and training, and policies and procedures including internal quality assurance. In order to apply to the Apprenticeship Provider and Assessment Register (APAR) and prepare for EQA readiness, Programme Directors **must** complete the documentation in **Annex A**.

## Conflicts of Interest

* 1. All assessment decisions made by the University in respect of EPA tasks **must** be independent and delivered by an Independent End Point Assessor with no conflict of interest in the outcome of the decision. An EPA Conflict of Interest Policy is in place which requires Independent End Point Assessors to declare any interest they may have in making decisions for each employer/apprentice so that action can be taken to mitigate the risk of a compromised assessment.

## Complaints

* 1. Should an apprentice be dissatisfied with the process, or outcome of the process, they **should** refer to the University’s [Codes of Practice: Academic Appeals UG & PGT](https://view.officeapps.live.com/op/view.aspx?src=https%3A%2F%2Fwww.hull.ac.uk%2Fchoose-hull%2Funiversity-and-region%2Fkey-documents%2Fdocs%2Fquality%2Fstudent-information%2Fucop-academic-appeals-ug-pgt-sept-2023.docx&wdOrigin=BROWSELINK) for any appeals related Apprenticeship programmes or alternatively refer to the [University Regulations and Procedure for the investigation and determination of complaints by students](https://www.hull.ac.uk/choose-hull/university-and-region/key-documents/docs/quality/student-information/student-complaints-v3-00-sept-21.pdf).
  2. Where an employer is dissatisfied with the process, or outcome of the process, they **should** refer to the University of Hull Higher and Degree Apprenticeship Employer Complaints policy.

# Roles and Responsibilities

|  |  |  |
| --- | --- | --- |
| Activity | Lead | Responsibility |
| 1. Procuring an EPA Organisation for EPA services and managing the contract | Faculty    Apprenticeship Funding and Compliance Service  Faculty  Finance  Faculty | Identifying suitable EPAO from the Apprenticeship Provider and Assessment Register  Agree with employers which EPAO will be most suitable before the cohort of apprentices begins (keeping evidence of this)  Performing due diligence on the EPAO identified ensuring conditions of EPAOs are met, conflicts of interest and appeals policies are in place  Initiating contact with the selected EPAO to understand their offer and requirements  Liaising with the procurement Office to contract with the identified EPAO  Arranging for fees to be paid in accordance with the contract  Maintaining the ongoing relationship with EPAO during the ‘practical learning period’  Ensuring that apprentices and employers fully understand the requirements of the EPA  Liaising with the EPAO to agree provisional dates expected for Gateway  Managing/co-ordinating the EPA events  Liaising with the EPAO re outcomes, resits and appeals |

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| --- | --- | --- |
| Activity | Lead | Responsibility |
| 1. Establishing a commercial EPA offering | Faculty/Apprenticeship Funding and Compliance Service  Faculty/Finance  Faculty  Programme Director | Identify and quantify the market for the EPA services  Determine what the offer is to training providers/employers, in line with the EPAO/EQA Conditions.  Determine the resource required and supporting sample assessment materials  Determine how the offer will be delivered to customers including how the level of service required will be delivered  Determine how the offer will be marketed  Develop a business case, to be considered by Faculty Leadership Team  Once approved by FLT, submit to Apprenticeship Governance Board to consider the business case.  Once approved, follow process for ‘3) Applying to the Apprenticeship Provider and Assessment Register, preparing for EQA readiness in accordance with EQA Framework (IFATE, 2020) and ensuring services are delivered’ (complete Annex A) |

|  |  |  |
| --- | --- | --- |
| Activity | Lead | Responsibility |
| 1. Applying to the Apprenticeship Provider and Assessment Register and ensuring EPA services are delivered 2. Prepare for readiness in accordance with External Quality Assurance Framework (IFATE, 2020). | Faculty (supported by Apprenticeships Funding and Compliance Service and Finance)  Apprenticeships Funding and Compliance Service  Faculty/Head of Apprenticeships (Quality of Education)  Apprenticeships Funding and Compliance Service/External Quality Assurance Assurer/Lead Quality Assurer  Faculty  (with support from the Apprenticeships Funding and Compliance Service and Faculty apprenticeship team)  Head of Apprenticeships (Quality and Compliance), Lead Quality Assurer, Programme Director  Apprenticeships Funding and Compliance Service  Faculty/End Point Assessor | Complete the EPA Proposal Form (Annex A) and Cost Model  Pricing agreed for each assessment task and resits/retakes – as well as rescheduling/withdrawal fees.  University Apprenticeship Quality and Compliance Committee consider the Proposal and Costing  Apprenticeship Governance Board consider the Proposal and Costing  Once approved, complete and submit an application to the Apprenticeship Provider and Assessment Register – informing Faculty of the outcome  Develop and agree with Head of Apprenticeships (Quality of Education) (See Annex A) the monitoring arrangements for an EPA Delivery Plan that sets out how and when the services will be delivered – including marketing and contracting (for commercial EPA services), recruitment and training of Independent End Point Assessors, production of sample assessment materials, customer service for EPA services, recruitment of an EA.  As part of the internal quality assurance processes (see annex B), EPA delivery plans are monitored and reviewed. If an associated issue or risk is identified (i.e. if EPA plans are not delivered efficiently or of sufficient quality, the issue will be referred to the University Apprenticeship Quality and Compliance Committee and escalated if necessary to the Apprenticeship Governance Board where the EPA provision may be discontinued)  Set up Maytas/SITS programmes with registry to record EPA learners  Co-ordination (with employers and providers where applicable) of:   * Gateway sign off arrangements * Venue booking * EPA Bookings requests * EPA Booking confirmations * EPA event delivery   Recruit, Train and support Independent End Point Assessors and EA’s to undertake their roles effectively (IEPA’s/EA’s will be recruited to a standard term of office of 4 years.  Record apprentice gateway and assessment tasks appropriately (Maytas/SITS)  IEPA delivers the EPA in accordance with the EPA/Assessment Plan  Moderation of activities takes places followed by finalising grading decisions.  Hold EPA Boards (Integrated/fully integrated). Fully Integrated EPA Boards are usually chaired by the EPA. See Annex C:**Guidelines for End Point Assessors for ‘Fully Integrated’ Apprenticeships: Summary of Responsibilities:**  Production of an EPA report for each cohort to be sent to Faculty Quality Office  Notify Apprenticeship Funding and Compliance Service, employers and apprentices of the outcome of assessments and process any appeals  Arrange and deliver any required retakes and inform Apprenticeship Funding and Compliance Service, employers and apprentice  Record and report the outcomes to the ESFA for certification  Liaison with External Quality Assurance (EQA) organisations as required. |

# Annex A - End Point Assessment (EPA) Proposal Form

## Introduction

* 1. End Point Assessments (EPAs) are a necessary and important feature of all Apprenticeships. EPAs are a summative and independent assessment of an apprentice’s occupational competence specified by the knowledge, skills, behaviours and qualifications detailed in an Apprenticeship Standard.
  2. There are different types of EPA including Non-Integrated EPAs that require a training provider to commissions the EPA from a third-party assessment organisation; and Integrated EPAs that apply only to a selection Degree Apprenticeships where a Higher Education Institution may assess an apprentice’s occupational competence, usually linked to the underpinning qualification.
  3. In order for the University to deliver End Point Assessments for its own Integrated Degree Apprenticeships, it **must** register to join the Apprenticeship Provider and Assessment Register (APAR) for each Apprenticeship that it wishes to offer.

## Applying to the Apprenticeship Provider and Assessment Register (APAR)

* 1. Organisations that wish to deliver any form of EPA **must** be able to demonstrate that they have suitable expertise, quality assurance processes and are able to deliver EPA services.
  2. In particular, all applicants to the APAR **must** understand the [conditions](https://www.gov.uk/guidance/conditions-for-being-on-the-register-of-end-point-assessment-organisations) for applying which **must** be met. The University **must** assess its capability and capacity in delivering EPA provision by demonstrating its expertise and its plan for delivering EPA provision.
  3. The University’s Apprenticeship Funding and Compliance Service will be able to facilitate applications to the APAR as well as providing consistency in the delivery of services through common policies and procedures.
  4. In order to progress an application, we **must** understand how we intend to secure relevant expertise and how EPAs will be delivered from each Faculty/Subject area proposing to deliver EPA provision and comply with quality assurance requirements. The attached EPA Proposal Form provides the basis for an assessment of the capacity of each area and **must** be completed to support each application.
  5. On receipt of the form, the application will be reviewed by the Apprenticeship Funding and Compliance Service. Any queries will be discussed with applicants and once ready, the application will progress to the University Apprenticeship Quality and Compliance Committee to determine if the application to deliver EPA is recommended for approval to be progressed to application to the APAR. The Apprenticeship Funding and Compliance Service will work closely with the applicant to prepare and submit an application.

## Part 1 Application to deliver End Point Assessments - Capability and Capacity Assessment

|  |  |  |  |
| --- | --- | --- | --- |
| Apprenticeship Standard |  | | |
| External Quality Assurance (EQA) Agency |  | | |
| Underpinning UoH Award |  | | |
| EPA Assessment Tasks (as per the Assessment Plan) |  | | |
| Assessing Organisation/Department |  | | |
| EPA services price proposed – inc breakdown by assessment task if appropriate |  | | |
| Expected number and maximum capacity for complete EPAs delivered in each year: | Year | Expected number | Maximum capacity |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
| Name of EPA Proposer |  | | |
| Telephone Number |  | | |
| Email |  | | |

|  |  |  |
| --- | --- | --- |
| **Table 1: Evidence table – Programme Directors to complete following the completion of Table 2** | | |
| **Evidence reference number**  *Please use sequential numbering (001, 002 etc)* | **Evidence piece**  ***EXAMPLE:*** *BA BW Prog Spec.docx* | **URL link to evidence**  ***EXAMPLE:*** *Programme specification* |
| 001 |  |  |
|  |  |  |
|  |  |  |
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|  |  |  |

*Add further rows to this table as necessary. The rows in the tables are designed to expand as you type.*

For each of the functional areas identified in the tables below, detail how you satisfy the requirements of the line of enquiry with reference to the evidence that supports the submission.

|  |  |  |
| --- | --- | --- |
| **Table 2: Assessment materials** | **Relevant evidence from the evidence table above\*** | **Explanation of how the evidence you have provided demonstrates you meet the requirements for assessment materials** |
| **Relevant**   * What evidence is there that the assessment materials are in place, pitched at the right level and covering the right content for the standard? * How do you ensure that materials are specific to the role and reflect recognised and current practice within the industry? |  |  |
| **Reliable**   * How will materials allow for consistent, valid and fair assessment of occupational competence? * How will they allow appropriate grading judgements to be made? * How is the security of materials managed? * How has any assessment software been thoroughly tested? |  |  |
| **Efficient**   * How are assessment materials being developed and used efficiently? |  |  |
| **Positive**   * How are materials accessible to all apprentices including those for whom reasonable adjustments will be made? |  |  |
| **Learning**   * Have there been pilots/trials with people already employed in these roles and what have these involved? * Has systematic and genuine industry feedback been gathered (and what impact has this made)? |  |  |

*\*Where applicable, include references to specific parts, sections or paragraphs of documents*

|  |  |  |
| --- | --- | --- |
| **Support materials** | **Relevant evidence from the evidence table above***\** | **Explanation of how the evidence you have provided shows you meet the requirements for the support materials** |
| **Relevant**   * What evidence is there that the support materials are clear and contain accessible material pitched at the right level? * How do the materials reflect current/standard industry practices? * How often are they updated? * Would employers recognise their relevance? * Do materials clearly differentiate for different audiences (e.g. employer, apprentice, training provider) |  |  |
| **Reliable**   * Do materials accurately describe and/or represent the assessment that an apprentice will undertake? * Is there a range of different material (e.g. templates or timeline setting out the apprentice journey) |  |  |
| **Efficient**   * How are materials made available (are materials available digitally and at no extra charge?) |  |  |
| **Positive**   * How are materials made clear and accessible to all apprentices including those for whom reasonable adjustments will be made? |  |  |
| **Learning**   * Who have materials been tested with and what has been the impact of this? * What feedback processes/loops are built in? |  |  |

*\*Where applicable, include references to specific parts, sections or paragraphs of documents*

|  |  |  |
| --- | --- | --- |
| **EPA delivery plans** | **Relevant evidence from the evidence table above***\** | **Explanation of how the evidence you have provided shows you meet the requirements for the EPA delivery plans** |
| **Relevant**   * How are these plans robust and appropriate to delivering the occupation-specific EPA? |  |  |
| **Reliable**   * How will they produce reliable results over venue/place and time and for all apprentices regardless of their specific characteristics? * What steps are taken to ensure they are suitable for all apprentices? * How effective and regular is communication with employers? |  |  |
| **Efficient**   * Are the plans realistic and appropriate for delivering the likely volume? |  |  |
| **Positive**   * What arrangements are in place to support the delivery of EPA (including making EPA accessible)? * What contingency plans are in place? |  |  |
| **Learning**   * Which groups and what criteria have the EPA delivery plans been tested with? * Are specific diversity checks built in as standard? * What is the feedback process/what are the feedback loops? |  |  |

*\*Where applicable, include references to specific parts, sections or paragraphs of documents*

|  |  |  |
| --- | --- | --- |
| **Independent End Point Assessor recruitment and training** | **Relevant evidence from the evidence table above***\** | **Explanation of how the evidence you have provided shows you meet the requirements for assessor recruitment and training** |
| **Relevant**   * How do you ensure that the IEPAs recruited have the appropriate and up-to-date occupational and assessment skills, and meet any specific requirements as set out in the EPA plan? |  |  |
| **Reliable**   * What conflict of interest policies, applied across all Standards, are in place to ensure that assessors will be independent from apprentices, employers and training providers? * Are these standing up to actual delivery on that specific Standard? |  |  |
| **Efficient**   * How do you ensure sufficient assessors are in place to meet immediate demands and geographic coverage? * How do you ensure that sufficient IEPAs are recruited for the likely volume of EPAs to be undertaken in the future? |  |  |
| **Positive**   * Are the IPEA credible across the industry as people fit to pass apprentices as occupationally competent (and how is this ensured)? * Will employers respect their judgement? * Is there a process in place to promote and monitor assessor continued professional development (CPD)? |  |  |
| **Learning**   * What is the schedule and quality of assessor training for industry experts? * How have you ensured effective training and standardisation for IEPA’s? |  |  |

*\*Where applicable, include references to specific parts, sections or paragraphs of documents*

|  |  |  |
| --- | --- | --- |
| **Policies and procedures (including IQA)** | **Relevant evidence from the evidence table above***\** | **Explanation of how the evidence you have provided shows you meet the requirements for policies and procedures (including IQA)** |
| **Relevant**   * What is the internal quality assurance (IQA) process and the associated procedures and how are they fit-for-purpose? * Are workable policies in place which clearly meet the specific needs of the Standard? * Is there clear ownership of policies at the right level within the organisation, including management? |  |  |
| **Reliable**   * What internal quality assurance arrangements do you have in place? |  |  |
| **Efficient**   * How do your data management processes meet the needs of the Standard? * Are reasonable review dates in place? |  |  |
| **Positive**   * How are you engaging appropriately with employers and providers to ensure that apprentices are prepared for their EPA? |  |  |
| **Learning**   * Is there an internal learning loop and how do you manage feedback and respond to any actions/recommendations? |  |  |

*\*Where applicable, include references to specific parts, sections or paragraphs of documents*

## Part 2 – Independent End Point Assessor arrangements

Please add further rows as required, where the arrangements/processes for external examining you outline below are common across the associated higher education qualifications.

|  |  |  |
| --- | --- | --- |
| EPAO: | | |
| Apprenticeship Standard\* | Level\* | Associated higher education qualification |
|  |  |  |
|  |  |  |

\* In line with [IfATE's apprenticeship standards](https://www.instituteforapprenticeships.org/apprenticeship-standards/)

|  |  |
| --- | --- |
| **EPAOs have appropriate and effective conflict of interest policies in place, applied across all standards, to ensure that the Independent End Point Assessor will be independent from apprentices, employers, assessors and training providers (and have complete independence from the delivery or assessment of the EPA)** | |
| **References to evidence submitted:** | **Demonstrate how you ensure that the Independent End Point Assessors you have recruited, or plan to recruit, meet the statement above:** |
|  |  |

|  |  |
| --- | --- |
| **The Independent End Point Assessor has the appropriate and up-to-date occupational and assessment skills and is credible across the industry.** | |
| **References to evidence submitted:** | **Demonstrate how you ensure that the Independent End Point Assessor has the appropriate and up-to-date occupational and assessment skills** |
|  |  |

|  |  |  |
| --- | --- | --- |
| **External Assessor (EA) role**  Please indicate the areas to be covered by the EA (by clicking in the relevant yes/no boxes below to add an ‘x’) and by providing a copy of the proposed report template or evidence that would be reviewed or completed by EA.  The EA assess/observe: | | |
| The EPA plan and how this is delivered in practice | Yes ☐ | No |
| The management of gateway and mandatory qualification requirements and involvement of the employer in deciding the apprentice is ready for the EPA | Yes ☐ | No |
| The assessment instruments/methods (to verify that these cover the requirements of the EPA plan and occupational competence) | Yes ☐ | No |
| The Independent End Point assessor’s knowledge/experience | Yes ☐ | No |
| The accessibility of EPA and the management of reasonable adjustments | Yes | No |
| A sample of assessments, including live assessments (to verify that the content and context of the assessments are occupationally relevant) | Yes ☐ | No |
| Physical or digital versions of documents, including marked assessment materials from apprentices (to assess how effective EPA is and the grading/outcomes) | Yes ☐ | No |
| Independent End Point Assessor standardisation or moderation meetings | Yes ☐ | No |
| Interviews with Independent End Point Assessor (if applicable) | Yes | No |
| Feedback from apprentices and employers (to check how well the EPA is meeting their needs, including how well it relates to current business practice) | Yes | No |
| The reliability and comparability of EPA across different assessors (if applicable) | Yes | No |
| If you have any additional information to provide/any further elements that the appointed EA is expected to look at when working as the EA, please add this information below. This section **should** also be used to provide the arrangements for any situation where more than one Independent End Point Assessor will be involved and the standardisation process in place. | | |
| **Additional information (if required):** | | |

# Annex B – Internal Quality Assurance for EPA (integrated & fully integrated Apprenticeships)

## Purpose:

* 1. The purpose of internal quality assurance (IQA) is to monitor end point assessment (EPA) activities associated with integrated and fully integrated Apprenticeships and ensure that the principles of assessment are met by independent end point assessors in line with the Designated Quality Body external quality assurance and regulatory requirements.
  2. The University of Hull is committed to ensuring there is a standardised approach to internal quality assurance practice relating to end point assessment. Internal Quality Assurance aims to ensure all EPA activity is open, fair, and free from bias and there will be accurate and detailed recording of all internal quality assurance decisions. It monitors and maintains the quality, transparency, and integrity of end point assessment, in accordance with the requirements of the Office for Students (OfS) as the designated quality body and the External Quality Assurance Framework (Institute for Apprenticeships & Technical Education, 2020).

## Internal Quality Assurance Responsibilities

* 1. Internal quality assurance refers to the requirements that End Point Assessment Organisations (EPAO) **must** have quality assurance processes in place to ensure consistent (reliable) and accurate (valid) assessment decisions.
  2. In order to facilitate robust internal quality assurance for end point assessments, the University will appoint an appropriately trained individual to the role of External Assessor (EA) for each integrated/fully integrated Apprenticeship standard offered. This is of paramount importance to assure the overall quality and compliance with external quality assurance requirements. Fully- integrated apprenticeships are also in scope for internal quality assurance however, this activity will largely focus on the moderation of the process which is followed that takes the apprentices post gateway through to completion of the End Point Assessment board. Internal quality assurance for apprenticeships **must** align to the specific internal quality assurance requirements outlined in the End Point Assessment plan associated with the relevant apprenticeship standard as published by IFATE.

## Recruitment of External Assessors (EA)

* 1. External Assessors (EA) **must** be recruited to deliver internal quality assurance in accordance with the Apprenticeship Standard and End Point Assessment plan published by IFATE and requirements of the DQB. For fully-integrated apprenticeships the same individual may take on the role of EA, External Examiner and Independent End Point Assessor. For integrated Apprenticeships the EA role can be adopted by the External Examiner however, **must** be a separate appointment to the IEPA. The EA **must** be fully qualified Higher or Further Education Teachers/Lecturers, with significant experience of teaching and assessing within the relevant subject/apprenticeship standard. The EA must undertake induction training for this role and annual updates that is provided by the University.
  2. The internal quality assurance for end point assessment is covered by seven main areas:

1. Support the preparation of assessment activities, ensuring there are sufficient resources in place to carry out the assessment.
2. Advise, support, and develop independent end point assessors
3. Verify and confirm assessment decisions made by the IEPA.
4. Provide action points and developmental feedback to the IEPA.
5. Carry out regular monitoring and standardisation activities.
6. Maintain accurate and timely records of assessment and internal quality assurance activities.
7. Preparing for external quality monitoring visits.
   1. All of the above **must** be implemented for integrated apprenticeship provision. This activity will also be applied (where applicable) to fully integrated apprenticeship provision.

**Role of the External Assessor (Integrated Apprenticeships and Fully-integrated (where applicable).** For the purposes of EQA monitoring, EAs are required to comment on assessment practice and procedures for the EPA against the requirements of the specific apprenticeship Standard, through the review of documentation and visits to the EPAO.

The following QA activities should therefore be undertaken by the EA:

* review documentation relating to the EPA, including the EPA assessment instruments/materials and internal quality assurance documentation
* review a sample of EPA assessed work, including observing live assessments
* observe IPEA standardisation or moderation meetings
* meet with IEPA and other EPAO staff (integrated only)
* meet with apprentices and, where possible, employers

observe the meeting at which the final decision on the EPA is confirmed (such as the Board of Examiners/Examination Committee).

* conduct at least one visit to the EPAO for each cohort[[2]](#footnote-2) of apprentices completing an EPA (for Fully-integrated apprenticeships this visit can be combined with the EPA board). The purpose of the visit will usually be to assess the performance of the EPAO in delivering the EPA, but visits can also be used to monitor progress against actions previously identified to improve delivery. Visits do not always require the EA to attend on site and can be conducted online, where it is appropriate and practical to do so without compromising the ability of the EA to undertake their role.
* The scheduling of activities for the EA or and details shared with the DQB in advance of the activity taking place. This will be monitored by a named DQB Officer as part of the ongoing monitoring activity within the EQA approach.
* ensure that IEPAs have consistently applied the criteria for entering Gateway using and completing the gateway Checklist
* raise concerns about external audit decisions in a clear and constructive way
* refer any questions or concerns, which could not be dealt with internally, to the awarding organisation
* give EPA’s feedback on EA decisions (integrated only)

The activities above **should** enable the EA to provide feedback and commentary to the DQB and EPAO on EPA delivery and, specifically, whether:

* the EPA is delivered in line with the published EPA assessment plan for the Standard
* any requirements of the Standard (in terms of achievement of gateways and mandatory qualifications and requirements) have been achieved prior to sign-off, with the employer making the final decision on the readiness of the apprentice for EPA
* apprentices and employers consider that they are ready for EPA and that the EPA meets their occupational needs
* the EPAO is using up-to-date resources and documents relating to the EPA of the apprenticeship Standard offered
* individual assessment materials/instruments are fit for purpose, up to date and cover the requirements of the EPA assessment plan and occupational competence when applied in practice
* assessment materials are a valid measure in practice of the knowledge, skills and behaviours required of the Standard
* clear mark schemes are in place for apprentices and are used by IEPA.
* resources are adequate to support EPA delivery and internal quality assurance
* the EPA is carried out independently in practice
* the EPA is operating effectively, in that apprentices understand the assessment, it is conducted on time or in line with clearly set expectations and there are sufficient assessors involved
* access to EPA is fair and decisions on reasonable adjustments, are consistent and take into account learner needs
* grading is applied accurately, consistently and fairly
* assessed evidence is:
  + valid - evidence is relevant to the assessment criteria and appropriate assessment methods were used to obtain the evidence
  + authentic - evidence has been produced by the apprentice
  + current - evidence is relevant at the time of assessment and is up to date
  + sufficient - evidence covers all the assessment criteria
  + reliable - evidence is consistent across all apprentices, is at the required level for the qualification and delivering the right outcomes for apprentices
* IEPA demonstrate relevant knowledge, occupational competence and understanding of the occupation and assessment criteria
* standardisation processes work effectively and facilitate assessor engagement
* records of assessment decisions are comparable between independent end point assessors (where there is more than one assessor) and provide a consistent level of feedback to apprentices
* assessment is comparable with previous cohorts (where available) and across different EPAOs that the External Assessor is familiar with
* information and data that forms the basis for assessment decisions and for confirming the final outcome is accurate and reliable
* matters concerning the validity and reliability of assessment, such as assessment offences and adverse circumstances affecting a cohort of apprentices, are dealt with appropriately
* the procedures and arrangements for confirming the final outcome (such as the Board of Examiners) are in accordance with the Standard and the EPAO procedures and requirements.

Where any of the above activities are not covered, or where the evidence outlined above is not generated by the EA appointed by the EPAO, the DQB will appoint its own External Assessor to visit and conduct these activities. This is to ensure that, collectively, evidence on all the above is obtained and reported to the DQB for EQA monitoring purposes.

The External Assessor **should** produce a written report on their activities and findings for submission to both the EPAO and the DQB. This document should:

* detail the work conducted by the External Assessor including observations, meetings and the sampling undertaken
* provide commentary and feedback on EPA delivery that covers the areas listed above
* identify areas of good practice and provide developmental advice
* identify any issues or activities within the context of the delivery of EPA that do not meet with the requirements of the Standard or pose a risk to effective EPA delivery and/or the achievement of occupational competence
* comment on progress with any items for improvement previously raised with the EPAO by the External Assessor.
* The format and structure for this report will be determined by the EPAO. Where the EPAO is not able to appoint an External Assessor to cover the full range of activities the DQB will instruct its own appointed assessor on the reporting requirements.

An External Assessor report should be produced for each year that EPA delivery occurs at the EPAO. This should be submitted by the External Assessor to the EPAO who will provide a copy to the DQB as part of its ongoing monitoring engagements and as part of the evidence for a scheduled Monitoring Check.

**F Sampling criteria:**

Each EA will be responsible for determining their sample. This will be based on the following criteria:

1. The number of apprentices.
2. Evidence requirements based on the standard.
3. The number, experience, and location of IEPA:
   1. As a guide new IEPAs 80-100% sample
   2. As a guide new IEPAs with less than 2 years experience 50%
   3. As a guide experienced IEPAs 20%.
   4. The sample size will present a sufficiently accurate picture of the quality of assessment in the university to be confident that those decisions not sampled also meet the requirements of the EQA.
   5. The EA will look at assessment decisions in accordance with the sampling criteria in any given period of time by apprentice cohort. All IPEAs will be included in the sample but considerations such as the experience of the IEPA will be reviewed (integrated only).
   6. Experienced IPEAs who are consistently maintaining the standards will need less sampling than newly qualified and/or inexperienced IEPAs. The EA will need to sample the ‘new’ IEPA’s decisions for each of the criteria until they are confident that the assessor is consistent in maintaining the relevant standard (as stated above).
   7. All assessment methods will be sampled to ensure that evidence requirements are being met. The EA will need to thoroughly understand the requirements of the apprenticeship standard in order to achieve this.
   8. The EA **must** ensure that the sampling (integrated only):
4. meets EPA assessment requirements
5. covers all EPA’s, learners, units, assessment methods
6. is an on-going process
7. includes an increased ratio of assessment decisions made by new or inexperienced IEPA’s
8. checks that evidence is valid, sufficient, authentic, current, reliable and consistent
9. guarantees that EAs do not have any conflict of interest.

## Formative and summative sampling (integrated only)

* 1. Sampling assessments **should** involve reviewing the quality of IEPA judgements at both formative and summative stages.
  2. **Formative sampling**: it is important the QA includes samples assessment activity at different stages of the assessment process.
  3. **Summative sampling**: the EA **should** review the quality of the final assessment decision by evaluating how the IEPA has reached that decision.
  4. **Sampling across EPA’s**: for apprenticeship standards the Lead QA **should** sample at least one complete portfolio for each EPA as well as comparing evidence across units, elements, performance criteria or KSBs across EPA’s to ensure consistency between IEPA’s over time and with different learners. This process also assists in identifying the most appropriate forms of evidence that can cover the requirements for EQA.
  5. The volume of internal quality assurance activity is dependent upon the duration and intensity of the course, as well as the number of learners being assessed.

## Observation of assessments of practice **(integrated only**)

* 1. By observing the IEPA at work, a greater understanding of the assessment process is gained, particularly in the area of decision making; the EA also achieves a greater understanding of how the diverse needs of learners are met. It is good practice to sample at least 20% of EPA assessments once experienced IEPAs are established.

## Standardising assessment judgements

* 1. The EA **must** ensure that:

1. consistency and reliability of assessment is maintained
2. records of standardisation meetings/exercises are kept
3. feedback is provided to IEPA’s (The Lead QA will provide this to EA’s for fully-integrated apprenticeships)
4. problems encountered with individual learners are discussed and appropriate action taken prior to Board of Examiners/EPA Board.

For Apprenticeship standards, it is good practice to sample assessment decisions in accordance with the sampling criteria above. The EA **should** sample at least one complete portfolio, as well as comparing evidence for across units, elements, or performance criteria across EPA’s to ensure consistency between EPA’s over time and with different learners.

## Lead Quality Assurer (LQA)

The University will appoint a Lead Quality Assurer (LQA) who will ensure consistency and will take responsibility for coordinating the activities of the EAs across the programmes. The Lead Quality Assurer will;.

1. coordinate and monitor the EA activity; liaise with the delivery teams, IEPA and EA on all aspects of quality; and report to the University Apprenticeship Quality and Compliance Committee and Apprenticeship Governance Board
2. facilitate induction and subsequent annual training for IEPAs/EAs. Each IEPA/EA new to the standard **must** have an induction that explains assessment and EPA requirements in accordance with the EPA assessment plan as defined by IFATE. The Programme Director and/or Head of Apprenticeships will co-facilitate the induction session to the IEPA/EA in advance of their first assessment activity. This enables both IEPA/EA to clarify any matters and prepare for the assessment activities.
3. be at hand to answer queries, signpost to resolve technical issues and provide support.
4. give advice about ongoing professional development and external training opportunities.
5. ensure IEPA/EA have access to secure online platforms such as canvas or PebblePad and have the relevant software installed, in order to carry out the assessment/EA activities.
6. maintain their own professional development and keep up to date with trends and developments in the sector
7. provide the IEPA/EAs with appropriate and sufficient feedback to support their development
8. where there are discrepancies, work in collaboration with the Independent End Point Assessors to agree how a grade decision is reached.
9. be supportive of IEPA/EAs and provide positive developmental feedback.
10. sample at least one complete portfolio for each IEPA (as well as comparing evidence across units, elements, performance criteria or KSBs across EPA’s to ensure consistency between IEPA’s over time and with different learners). This process also assists in identifying the most appropriate forms of evidence that can cover the requirements of the external quality assurance.
11. ensure that the outcomes of the EA process, as well as feedback from the Lead QA; to the external assessor; and awarding organization is disseminated and discussed at regular meetings with the EPA team, in order to continually improve the assessment process.

## New qualifications, standards, and newly appointed EPAs

* 1. When undertaking a new qualification, standard, or where IEPAs are newly appointed, EAs **should** quality assure between 80 - 100% of assessment decisions, in order to have confidence that judgements are consistent, and assessments are appropriate. Where an EA is newly appointed, they will be mentored by the Lead QA and 80 -100% of their work will be countersigned for an agreed minimum period of not less than 3 months.

## Meeting external quality assurance requirements

* 1. **Recording quality assurance activity**: recording mechanisms/documentation **should** provide evidence that internal quality assurance has been carried out regularly and systematically and **should** show that it has occurred across learners, units, and IEPAs.
  2. **Evaluation and recording of procedures:** it is good practice to evaluate the reporting procedures regularly to ensure that the recording mechanisms are fit for their purpose and that the information recorded is appropriate and useful.
  3. Records of all assessment and verification activity **must** be kept secure with the Faculty Quality Team and be made available only to appropriate personnel and for external verification purposes.
  4. The Head of Apprenticeships (Quality of Education) is responsible for the overall implementation and monitoring of this policy. The policy will be communicated to all staff and contractors involved in the operation of end point assessment, all of whom have a responsibility to follow the IQA process.

# Annex C: Guidelines for Independent End Point Assessors (IPEAs) for ‘Fully Integrated’ Apprenticeships: Summary of Responsibilities:

**Note** – these guidelines are specifically for ‘Fully Integrated’ apprenticeship standards only where there are no assessment tasks to be undertaken as the underpinning award meets all the Knowledge, Skills and Behaviours required in the Standard.

* 1. **Programme Director**:

1. Identify the date, time and place of the EPA Panel conjunction with the IEPA. Inform the Apprenticeship Funding and Compliance Service of the date and time of the EPA event(s). EPA boards will be scheduled by the Student Hub. For Integrated Apprenticeships the EPA will be considered as part of the standard Board of Examiners. For Fully Integrated apprenticeships, the EPA board will be scheduled for 2 weeks after the main board of examiners to ensure the gateway procedures have been completed (refer to the Apprenticeship Funding and Compliance Service).
2. Provide a list of apprentice and employer names to the IEPA of those undertaking EPA at least two months prior to the first event.
3. Ensure that the IEPA understands their role and remit in undertaking the chair role of the EPA Panel and completing all associated paperwork in accordance with induction training. Ensure the IEPA understand the format of the EPA panel and how it relates to the Programme Board awarding the underpinning qualification.
4. Ensure that the IEPA understand the paperwork requirements:
   1. EPA Declaration of Conflicts of Interest Form – per employer, per cohort and at least one month in advance of the first EPA event.
   2. IEPA’s Apprentice Grading Decision Report – per apprentice by the end of the EPA panel
   3. IEPA’s Cohort Report – per cohort within 10 working days of the last EPA event, and updated following the outcomes of re-sits.
   4. IEPA’s are required to undertake the role of the EA, by exception, to contribute to External Quality Assurance (EQA) organisation reports.
5. Share completed Declarations of Conflicts of Interest Form with Apprenticeship Funding and Compliance Service ([apprenticeships@hull.ac.uk](mailto:apprenticeships@hull.ac.uk)) and, if required detail how conflicts are intended to be mitigated.
6. Ensure that IEPAs understand when it is possible to notify the outcome of the EPA panel.
7. Ensure that IEPAs understand the University’s End Point Assessment Policy and are able to explain appeals and re-sits.
8. Inform the candidate of the outcome of the EPA event as early as is practicable (if linked to the award of credit value, following programme board) and provide feedback based on the IEPA’s Grading Decision Report.
9. To convene panels and arrange re-sits as required for EPA Panels.
10. To action any feedback from the internal or external quality assurance activity as required.
    1. **Independent End Point Assessor (IEPA)**
11. Complete an **EPA Conflicts of Interest Declaration** for each employer and each cohort of apprentices to be assessed and return to Programme Director at least a month before the first EPA event.
12. Chair the EPA panel (usually consisting of at least the IEPA/EA and Programme Director and employer if it is specified in the relevant Apprenticeship Standard) for EPA event(s):
    1. Chair the preliminary meeting of the EPA panel, including agreeing a structure and format for the EPA event.
    2. Introduce all those present at the EPA event, including attempting to put all parties at their ease.
    3. Ensure that all those present understand the procedures to be followed.
    4. Outline the structure and format of the EPA event to all those present.
    5. Intervene in the EPA event process if there appears to be bias, misconduct, unfairness or if the panel are diverting from the agreed format of the EPA event in such a manner as to disadvantage the apprentice, or if the chair believes the EPA event is progressing in a manner which could compromise the University’s academic standards. Actions which might be taken include calling a temporary halt to the meeting, holding a private discussion with the panel or the candidate, or, most exceptionally, ending the EPA event.
    6. Chair the post-EPA event discussion of the panel and advise them of the possible recommendations.
13. Based on the evidence provided and the specification within the relevant published apprenticeship Assessment Plan, make a grading decision on each apprentice at the EPA Panel to populate an **IEPA’s Apprentice Grading Decision Report** for each apprentice which will be used as the basis for feedback and appeals. These **should** be signed and handed to the Programme Director by the end of each day of EPA events.
14. Within 10 working days of the EPA events concluding, produce an **IEPA’s Cohort Report** of 300-500 words on the performance of the cohort of apprentices undertaking EPA assessment in that period and return to the Programme Director.
15. For re-sits of EPA events, review the quality of the evidence provided and update the final report to provide a holistic view of the performance of the cohort.
16. If acting as EA as well as IEPA, produce a written report in accordance with requirements of the DQB and submit to the Faculty Quality Office within 10 working days of the EPA Board.

## Summary of requirements

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| What | When | Send to |
| **Programme Directors** | | |
| Arrange time/date/place of EPA Panel. This will usually be scheduled by the Student Hub | At least 3 months before EPA events required | EPA Panel  Apprenticeships Funding and Compliance Service |
| Send list of cohort of apprentices and employers | At least 2 months before EPA events required | IEPA |
| Share Conflicts of Interest Declarations | Once received from EPA Assessor | Apprenticeships Funding and Compliance Service |
| Following the panel, share IEPA’s Apprentice Grading Decision Report for each apprentice and notify apprentices of the outcome of EPA events | As early as is practicable | Apprenticeships Funding and Compliance Service |
| Share the IEPA’s Cohort Report | Once available | Apprenticeships Funding and Compliance Service |
| Arrange time/date/place for re-sits if required | As early as is practicable | EPA Panel  Apprenticeships Funding and Compliance Service |
| Lead on the production of EQA reports and liaise with IEPA in the production | As required | Faculty Quality Office  Lead Quality Assurer |
| **IEPA** | | |
| Complete Conflicts of Interest Declarations for each employer and for each cohort | At least one month before EPA events required | Programme Director |
| Following the EPA panel, produce a IEPA’s Apprentice Grading Decision Report for each apprentice | By the end of each day of assessments | Programme Director |
| Produce an IEPA’s Cohort Report | Within 10 working days of the last EPA event for the cohort | Programme Director |
| Update the IEPA’s Cohort report in the event of any re-sits of EPA activities | Within a week of the re-sit(s) | Programme Director |
| Undertake the role of the External Assessor and contribute to the production of External Quality Assurance (EQA) reports as required | Within 10 working days of the EPA board. | Programme Director  Lead Quality Assurer  Faculty Quality Office |

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| Declarations | I confirm that I have a comprehensive understanding of the requirements of the End Point Assessment and internal and external quality assurance required and that I take responsibility for these being met. |
|  | I confirm that I understand the requirements of the EQA provider and confirm that these will be met through recruitment of EA. |
|  | I confirm that I have read and understood the EPA Conflict of Interest Policy and Procedure and understand how to identify and escalate a Conflict of Interest. |
|  | I confirm that I understand that a commercial agreement for EPA services will be required, that this will be produced by the Apprenticeship Funding and Compliance Service and that I will need to keep the team updated with plans for EPA delivery so that this can be represented contractually with employers. |
| Signed |  |
| Dated |  |
| Signed Head of Academic Unit |  |
| Dated |  |

Please return this form to [apprenticeships@hull.ac.uk](mailto:apprenticeships@hull.ac.uk)

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| For office use: Date form received by Apprenticeship Funding and Compliance Service |  |

**Version Control**

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| **Version** | **Author** | **Date approved** | **Relevant sections** |
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1. Unless specified otherwise in the Assessment Plan for the Apprenticeship Standard. [↑](#footnote-ref-1)
2. By cohort, we mean a group of apprentices undertaking an EPA within an academic year, where those apprentices are all assessed using the same assessment plan. [↑](#footnote-ref-2)