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<b>Applicability:</b>	This Operating Procedure is applicable across all Apprenticeship delivery.
<b>Summary:</b>	This Operating Procedure details the controls required for the management of documents and records that form part of Northern Apprenticeships compliance and quality procedure.

## DOCUMENT CONTROL

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## 1 INTRODUCTION

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Northern Apprenticeships is committed to delivering a 'fit for purpose' training and assessment programme that leads to a learning experience of exceptional quality and one that gives the skills required to prosper, as an individual and an employee of Northern Apprenticeships. In addition, a training programme that encourages continuous learning and career progression through accurate information, advice and guidance (IAG)

## 2 OBJECTIVE

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The objectives of the programme are:

- To achieve standards that will ensure our training has a positive and significant impact on the professional and personal development of our employee/learner;
- To ensure that our training and assessment is consistently delivered well and to internal and external guidelines/standards. Gives fair access;
- To give the employee/learner the occupational knowledge/skills and functional skills required to prosper;
- To embed practices that support our core values, strategic aims.

## 3 POLICY & STRATEGY

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### 3.1 Delivery Framework

The following delivery framework will allow us to achieve our objectives:

#### ***Professional, Qualified and Occupationally Competent Staff***

- Professional, qualified, and occupationally competent staff including; Lead Internal Quality Assurers / Moderators, Apprenticeship Mentors, Functional Skills Tutors and Professional Coaches.

#### ***Recruitment of Learners/employees***

- Via internal organisational online systems and Apprenticeship Vacancies Online. Giving information, advice and guidance (IAG) on vacancies and the Apprenticeship programme.

#### ***Assess Train Assess Model***

- Initial assessment (general / F/S); learning/training and then assessment of competence over a period of time (12 months +);
- Screening of Functional Skills level through Basic Key Skills Builder;
- Identify learning styles, prior attainment (inc F/S transfers as laid out by the Joint Council for Qualifications), special arrangements and other support requirements (IAG).

### **Induction**

- learner induction, by the Professional Coach, explaining expectations and content of programme, giving IAG with regards to equality and diversity
- safeguarding; privacy notice (compile by the Joint Council for Qualifications); special assessment arrangements; learner appeal against assessment decisions; complaints (inc complaining to the SFA) and compliments;
- Prevent; Overview of Prevent including reporting procedure
- Unit accreditation, where a qualification is being delivered;
- Planning learning and assessment with SMART targets;
- Visits (monthly), support and / or assessment visits from a Professional Coach and occasionally for QA purposes, IQAs;
- Use of specific learning materials contained in the Apprenticeship programme; taught and practiced in the workplace. Including training developed by own internal training professionals;
- 8 weekly progress reviews (on the 2<sup>nd</sup> month visit);
- Professional Coaches and FSTs using a range of methods including; observations in the workplace, learner e-portfolio, linking on and off the job, planning for gateway, independent and extended learning, unit tests, professional discussion, questioning and digital voice recordings, online learning for Functional Skills (FS), online F/S tests and planning for EPA;
- Learner registration for certificate accreditation and or certificate of competency.

### **Planning the Programme**

- Collating all the initial assessment information, both general and functional skills levels, and recording in the overarching individual learning plan (ILP online). Then using specific learning plans to plan individual assessment of knowledge, skills and behaviours and tests.

### **On and Off the Job Workplace/Functional Skills Learning**

- Apprenticeship mentors with Professional Coach support will deliver the learning required for occupational competency both on and off the job. Functional skills learning requirements will be delivered online with support from a Functional Skills Tutor including face to face and group sessions. Functional Skills learning will be delivered within the first 9 months of the Apprenticeship Programme.

### **Progress Reviews**

- Learners will be visited monthly by their Professional Coach who will plan targets, support progression and assess knowledge, skills and behaviours against the requirements within the standard and the expectations of the employer for competency. Every 8 weeks (2<sup>nd</sup> month) the Professional Coach will complete a progress review online, where possible including the

learners Supervisor or Manager. Their Professional Coach will give IAG each visit and where appropriate embed within learning.

### **Tests/invigilation**

- Any examinations will be completed under invigilated conditions by a trained Professional Coach and a workplace Supervisor;
- The Functional Skills Test will be completed online when the FS Tutor feels the learner is ready, or within 9 months of the programme, whichever is sooner. The Speaking and Listening parts will be administrated and IQA'd as agreed with the Awarding organisation.

### **Assessment of Learner Competence and Recording Evidence**

- When employee / learners have completed tasks relating to the requirements of the standards and the expectations of the employer, the Professional Coach will assess their knowledge, skills and behaviours using various methods i.e. e-portfolio, outcome of bite sized practice under EPA conditions, unit tests, observations, questions, professional discussions, witness statements, and employer feedback. These records will form part of the collection of evidence an employee / learner will compile during the duration of their Apprenticeship / CDP. Where appropriate or required it could form part of the evidence to support EPA.

### **Exit Review**

- On achievement of the Apprenticeship the Professional Coach will deliver an IAG session, complete an exit review to ascertain what progress or career pathway the learner wishes to take next; and to close down the ILP and management information system.

### **Certification**

Where required achievement of the framework is registered with ACE / certificate of competency will be claimed and compiled in a portfolio of certificates to be presented to the employee / learner by their Manager. Northern Apprenticeships will record details according to the Education Skills Funding Agency Rules.

### **Tracking/data systems/data protection**

- PICs and internal systems / dashboards will be used to record learner details and track progress. Reports from the data, will inform SMT meetings held monthly, of contract / team performance and any improvements required. The reports will also be used to manage individual's performance.

See data protection policy for information of data security.

## **3.2 Staff Recruitment**

### **Advertisement**

- Northern Apprenticeships will advertise staff vacancies with application details and an application closing date, on receipt of authority from the Training Director, through various relevant media including but not exhaustive to; and depending on target markets and demographic data; through sector job boards e.g. FE Careers, Indeed job search engine.

The advert will also contain that we are an equal opportunities employer and the job description summary.

### ***Job Description (JD)***

- The relevant operational team will liaise with the relevant senior manager and HR department to devise an accurate job description and to ascertain the formats available should we get a request for a different format.

### ***Planning Recruitment Activity***

- The relevant team will plan dates for shortlisting applicants (no less than 2 competent people shortlisting), informing successful candidates for interview; number of days required for interview dates and time slots. Also, dates for informing successful applicants and giving job offers, plus informing unsuccessful applicants along with constructive feedback.
- Choose the relevant panel for interview, at least two competent people within the field recruiting to so as the process is fair.
- Interview questions / structure must be considered carefully and be mapped to the JD, a template containing the relevant structure and questions is to be used in all cases to ensure a fair process. It is important that the interviewers take time to map the applicant's CV to the JD too before interview, so plan this time. Plan induction days and content.

### ***Applicant Invitation to Interview***

- The relevant team member will invite applicants by telephone where possible and confirm arrangements in writing or by email. The invite must contain the question 'do you require any special arrangements for the interview'.

### ***Interview***

- Ensure seating arrangements promote as a relaxed atmosphere as possible, be clear which interviewer is saying and asking what questions from the template so as to give clear structure. Have refreshments for the interviewee e.g. bottled water. Introduce the panel of interviewers explain domestics e.g. emergency evacuation and location of WCs, then the actual structure of the interview. Keep on time. Record possible start dates / notice periods, booked holidays.

### ***Job Offer/Induction***

- Liaise with HR to send out job offer letter and contracts. Plan induction days and programme when aware of start dates suitable for the new employee

### ***Staff Continuous Professional Development (CPD) - (recorded/demonstrated)***

- To ensure the occupational competence, currency of the required sector skills and understanding is maintained, Professional Coaches and Lead Internal Quality Assurers/ Moderators will complete regular CPD, which will be demonstrated through a record of evidence.

Activities will include:

- internal or external work experience annually;
- internal or external work shadowing opportunities as required;
- qualifications achieved or training courses attended;
- maintaining an awareness of changes in sector related legislation via LIQAs;
- other relevant CPD activities, for example keeping abreast of overall sector changes and developments.

### **Staff Performance Reviews/Appraisal**

- Delivery Staff, IQAs and Professional Coaches will attend a bi monthly one to one with their respective reporting line to monitor and set targets / KPIs, identify support requirements and to highlight any learners with concerns on timely progression. There are several KPIs involved in terms of the contracts / agreement held and individual performance e.g. Achievement and progression rates and retention rates. Annual appraisals will be conducted according to Northern Apprenticeships processes.

### **3.3 Special Arrangements - Assessment of Learner Competence in a Simulated, Realistic Working Environment (RWE)**

Few competencies cannot be observed through the workplaces naturally and so will require a realistic working environment e.g. dealing with an emergency. In these circumstances the activity / task will be simulated as agreed with the External Quality Assurer (EQA) and or Employer.

### **Access Arrangements (Joint Council for Qualifications - JCQ)**

- Access arrangements (pre-examination adjustments) for employees / learners are based on evidence of need and normal way of working. Access arrangements fall into two distinct categories: some arrangements are delegated to centres, others require prior JCQCIC awarding body approval. Access arrangements allow candidates / learners with special educational needs, disabilities or temporary injuries to access the assessment without changing the demands of the assessment. For example, readers, scribes and Braille question papers. In this way Northern Apprenticeships will comply with the duty of the Equality Act 2010 to make 'reasonable adjustments'. Reasonable Adjustments - The Equality Act 2010 requires a centre to make reasonable adjustments where a disabled person would be at a substantial disadvantage in undertaking an assessment. A reasonable adjustment for a particular person may be unique to that individual and may not be included in the list of available access arrangements. How reasonable the adjustment is will depend on a number of factors including the needs of the disabled candidate / learner. An adjustment may not be considered reasonable if it involves unreasonable costs, timeframes or affects the security or integrity of the assessment. There is no duty on the Awarding Bodies (passed onto centres) to make any adjustment to the assessment objectives being tested in an assessment.

### Special Consideration

- Special Consideration is a post examination adjustment to a candidate's mark or grade to reflect temporary injury, illness or other indisposition at the time of the examination / assessment.
- For either of the above arrangements and where we see it applicable we will seek advice and support through the EQA.

### 3.4 Malpractice/maladministration

- When a malpractice issue and / or maladministration involving a learner and / or staff member the Apprenticeship Delivery Manager and the Lead IQA (LIQA) must be notified **immediately**.
- The Apprenticeship Delivery Manager must then inform the Awarding Body within 10 days of receiving the notification for them to ascertain if the Awarding Body wish Northern Apprenticeships to carry out an investigation or they wish to operate the investigation themselves (before any type of investigation takes place). The Apprenticeship Delivery Manager will use JCQ's proposed notification templates depending on whether the allegation is against a centre staff member or a learner. **The Apprenticeship Delivery Manager may consider applying to suspend the alleged member(s) of staff whilst the investigation takes place.**
- If the Awarding Body request that Northern Apprenticeships carries out the investigation then the relevant recording document (see policy) will be completed to notify and report the investigation:

## 4 DEFINITIONS

Document Definitions	
Term	Definition
CPD	Continuous Professional Development
EQA	External Quality Assurers
F/S	Functional Skills
IAG	Information, Advice & Guidance
ILP	Individual Learning Plan
IQA	Internal Quality Assurers
JCQ	Joint Council for Qualifications
JD	Job Description
LIQA	Lead Internal Quality Assurers
ESFA	Education Skills Funding Agency
SMT	Senior Management Teams



## 5 ASSOCIATED DOCUMENTS

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Document title	Reference
Equality & Diversity Policy	PL00001
Safeguarding Policy	PL00003
IQA Policy and Strategy	PL00004