

# Making an Application to the Register of End-Point Assessment Organisations

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**Based on the January 2019 Pre-Application Guidance**

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# Agenda

Policy and Rules

The Application Form

Common Fail Points

# EPA in degree apprenticeships

For degree apprenticeships, there are two options for how the EPA is organised. Which option used is decided by the Trailblazer Employer Group and applies to every apprentice on this standard

- *Degree Apprenticeship EPA* have a unique EPA additional flexibility to either:
  - **Integrate** their EPA into the design of the degree, e.g. Digital Degree Apprenticeship, so that award of the degree is also the achievement of the apprenticeship

OR

- **Retain a separate EPA** and follow the same process as for apprenticeships at other levels, e.g. Management Degree Apprenticeship, another organisations **MUST** on the register **MUST** deliver the EPA

# Making an application

- Bravo Solution [portal](#)
- The Register opens every month for applications.
- Exemptions – P28 : For Integrated Degree Apprenticeships - Please contact us at **[apprentice.assessment@education.gov.uk](mailto:apprentice.assessment@education.gov.uk)** and tell us which standard you are applying for. We can then discuss your application before you start.
- Previously s:
  - Financial Health questions [general info & declaration]
  - Standardised responses
  - Exemptions to CC-04 and CC-09
- Any application needs to answer the questions asked and reflect the requirements of the assessment plan/s.
- Outcomes 6 weeks after the end of the month with feedback
- If you miss a monthly submission you cannot ‘roll over’ a partially completed application and submit it in a later month.
- There is no limit to the number of applications an organisation can make or the number of standards that can be included in an application.

# Guidance

- ESFA aim - Satisfied that an EPA organisation is suitable for employers to consider to select to undertake independent EPA and has sufficient capacity and capability to deliver this assessment for this specific occupation.
- You can make applications for **multiple standards in 1 application** – no limit
- Operational Readiness sections 1.8 require separate responses for **every Standard**
- You can be declined at overall application level – by failing the Financial Health assessment
- You can be declined at individual standard – by failing to meet min score
- May be approved for some but not all standards in a multi standard bid

Attachments

January 2019

Path		Description	Folder Size
Top Level (4)			1,611 KB
Filename	Downloadable	Last Modification Date	Description File Size
EPAO Conditions of Acceptance Version 2.2.pdf	Yes	03/01/2019	36 KB
ESFA-registerofend-pointassessmentorganisations-guidance-V1.16.pdf	Yes	03/01/2019	71 KB
Financial_Health_guidance_for_organisations_contracting_with_or_applying_to_ESFA.pdf	Yes	03/01/2019	43 KB
RoEPAO- list of standards for applications January 2019.xlsx	Yes	03/01/2019	99 KB

# THE APPLICATION

# The Focus of the Application

## Supplier Organisation Structure

This Bid is Submitted on Behalf of: My Organisation Only (No consortium)

### Technical Envelope

1.1 Application Information ( Questions: 4 )

1.2 Your Organisation – Introduction ( Questions: 3 )

1.3 Your Organisation ( Questions: 12 )

1.4 Corporate Due Diligence ( Questions: 22 )

1.5 Financial Health Assessment ( Questions: 22 )

1.6 Capability ( Questions: 2 )

1.7 Assessment Policy and Good Practice ( Questions: 7 )

1.8 Operational Readiness ( Questions: 7 )

1.9 Declarations ( Questions: 5 )



# Latest to Note :

- Assessments will either be delivered by an independent third party **or in such a way that no party who has been involved in delivery of the apprenticeship can make the sole decision** on competence and passing the end-point assessment.
- Delivery expected to begin within 9 months

## **You will need:**

- The 'standard code' [ST0xxx] for each apprenticeship <<ESFA published list >>
- Your UKPRN
- ICO registration (ICO) confirming pass for processing personal data for 'educational purposes' for 'students'.

# Latest to Note

## 1.1 Application Information [**specific** to each Standard ]

## 1.2 Your organisation [**generic**]

- 1.2 Introduction – legal status
- 1.3 Your Organisation – legal status, directors
- Complete everything accurately

## 1.4 Corporate Due Diligence [**generic**]

- 1.4.8 – repaying public funding
- If you have previously or currently underspent against a previous ESFA funding contract, this should have been clawed back through normal ESFA processes.
- This does not classify as you having ‘outstanding public funding repayments’ - tick “D” N/A

# Latest to Note

## 1.5 Financial Health [**generic**] you are exempt if :

- you are a university 'monitored and supported' by HEFCE
- If so; only complete:
  - 1.5.2 select 'f'
  - 1.5.3 select 'd'



## 1.9 Declarations

- The signatory must be the person with overall executive responsibilities listed at OD 12

# Documents

## **Procedures for good practice in end-point assessment.**

As a minimum these should cover:

- Assessor recruitment and training
- How you monitor assessor practice and decisions
- The standardisation and moderation activities you undertake (including how you sample assessment decisions)
- Complaints and appeals procedure
- A strategy for ensuring comparability and consistency of assessment decisions
- How you improve the quality of assessment practice

## **Policies**

- Safeguarding Policy
- Conflict of Interest Policy
- Fair Access Policy
- Registration certification from the Information Commissioner's Office

# NARRATIVE SECTIONS

# Basics – Working with Narrative Sections

- 2000 characters per response
- ESFA are seeking confirmation that you are 'competent on paper' and ready to deliver within **9 MONTHS**
- A reader that does not know you should be able to see from your responses that you:
  - have systems, processes, policies that provide regular feedback/review
  - That embedded and led from the top
  - Demonstrate how you deliver the specific element and the criteria used to describe it, or if you don't have a system in place, explain clearly what you are intending to do by the time you are delivering
- Answer / respond with evidence to EVERY bullet point in the question: beware 'you may wish to include' vs 'please describe' vs 'this should include as a minimum'
- Every question stands on its own, every response is assessed on its own so expect to repeat yourself.
- Only include information that the ESFA have asked for - and do include all information asked for
- Don't go over the character limit - and be very disciplined in drafting.

# Capability - 1.6

*These questions seek to assess your capability to undertake end-point assessment of the specific occupations. They look at both the occupational experience of **your organisation**, and the assessment and occupational experience of **your end-point assessors**.*

- You will need a separate response for each assessment plan you are referring to. Please indicate clearly which assessment plan you are referring to.
- Your evidence must be **no more than three years old**. In your response please be clear about the context of your evidence and explain **WHY** it demonstrates your organisations competence.

# Capability 1.6.2 – CC01

Your organisation needs to have credibility with employers, and experience that is relevant to the occupation/s you are seeking to deliver end-point assessment for.

- Please provide evidence which demonstrates your **organisations occupational competence** for each of the standards you wish to deliver end-point assessment for. This evidence must demonstrate your **organisation's recent and relevant experience of working in the specific occupational area or working directly with or for employers in the specific occupational area.**
- Your evidence may include:
  - Any membership of and/or registration with professional organisations that represent the development of best practice and skills for the occupational area
  - Bespoke activity you have developed in cooperation with employers.
  - Activity and engagement work you have done with employers, other than for the development and/or delivery of qualifications.
  - Work you have done or may currently be doing with the trailblazer employers or trailblazer groups.
  - Any other evidence about your organisation's occupational profile which would support your response.

# Capability 1.6.3 – CC02

Your assessors need to have **current and relevant occupational and assessment** experience.

- Please provide evidence which demonstrates that **your staff** have the necessary **occupational and assessment experience** and expertise for **each** of the occupational areas you wish to deliver end-point assessment for.
- All staff delivering end-point assessment must **be qualified to undertake assessments**, in line with the requirements laid out in the assessment plan and also have expertise and experience in designing and developing assessment products and tools (such as question banks) where this is a requirement of the assessment plan. **They must also have recent and relevant occupational experience.**
- Please provide evidence and the context for it, which details the staff you have now or will have in place by the time you start delivery. **This should include as a minimum:**
  - the number of staff you have who will be delivering end-point assessment
  - why this number is sufficient to carry out the volume of end-point assessments you expect to deliver
  - the relevant experience, skills and qualifications they hold to undertake the assessment (This should include invigilators where end-point assessment will be in the form of an examination)
  - the relevant occupational experience, skills and qualifications (including recent industry experience) they have or hold within the specific occupational area (as well as the broader sector)
  - evidence of how you ensure staff assessor and occupational expertise is maintained and kept current, including relevant examples of continuing professional development activity for assessment and occupational knowledge.

# Assessment Policy & Good Practice 1.7

Question	Description	Response
1.7.1	Note	Through these questions we are seeking evidence of the policies and procedures you will need to have in place in order to delivery quality end-point assessments.
Question	Description	Response
1.7.2	RoEPAO(17/18)-AP-01	<p>* Please provide copies of your procedures for good practice in end-point assessment. As a minimum these should cover:</p> <ul style="list-style-type: none"> <li>• Assessor recruitment and training</li> <li>• How you monitor assessor practice and decisions</li> <li>• The standardisation and moderation activities you undertake (including how you sample assessment decisions)</li> <li>• Complaints and appeals procedure</li> <li>• A strategy for ensuring comparability and consistency of assessment decisions</li> <li>• How you improve the quality of assessment practice</li> </ul>
1.7.3	RoEPAO(17/18)-AP-02	<p>* It is a requirement that your organisation is registered with the Information Commissioner's Office (<a href="http://www.ico.gov.uk">www.ico.gov.uk</a>) for processing personal data "for educational purposes" about "students". Please provide a copy of your registration certification from the Information Commissioner's Office (ICO). We cannot "pass" your application if you do not have the correct type of registration within ICO.</p>
1.7.4	RoEPAO(17/18)-AP-03	<p>* It is a requirement your organisation has the appropriate insurance. Please confirm you have this in place.</p>
1.7.5	RoEPAO(17/18)-AP-04	<p>* It is a requirement that your organisation has in place a safeguarding policy to ensure the welfare of apprentices that you are end point assessing. Please provide a copy of this policy.</p>
1.7.6	RoEPAO(17/18)-AP-05	<p>* The Prevent Agenda is a statutory duty, as an organisation are you aware of the policies and practices that you need to have in place to comply with the duty?</p>
1.7.7	RoEPAO(17/18)-AP-06	<p>* Please provide a copy of your end-point assessment conflict of interest policy.</p>
1.7.8	RoEPAO(17/18)-AP-07	<p>* Please provide a copy of your end-point assessment fair access policy.</p>

# READINESS

# Being an End Point Assessment Organisation

Meeting the EPA requirement means in practice:

- Meeting university degree awarding requirements including revalidating the underpinning degree where changes are material
- Designing in the full range of apprenticeship KSE required by the EPA and ensuring that competence can be evidenced by the apprentice
- Enhancing or developing new content and assessments to include the full range of apprenticeship experience required in addition to the existing degree
- Ensuring that experience gained and demonstration of competence in the workplace can be captured and verified
- Creating/using work based projects, scoping and collating formal employer or other feedback, tests, practical assessments in university, employer or professional body assessments on the job within the apprenticeship

# The end-point assessment organisation

An end-point assessment organisation must:

- have current and relevant occupational experience of the standard
- have relevant assessment experience and expertise
- have expertise and capacity to design, develop and deliver the EPA methods as set out in the assessment plan
- promote itself to employers to support informed employer choice
- robustly manage conflicts of interest
- undertake eligibility checks prior to apprentice undertaking EPA
- directly deliver EPA
- notify employer of the outcome of EPA
- apply for the apprentice certificate on behalf of the apprentice
- provide Quality Assurance of their activity
- adhere to EQA requirements.

# Operational Readiness - 1.8

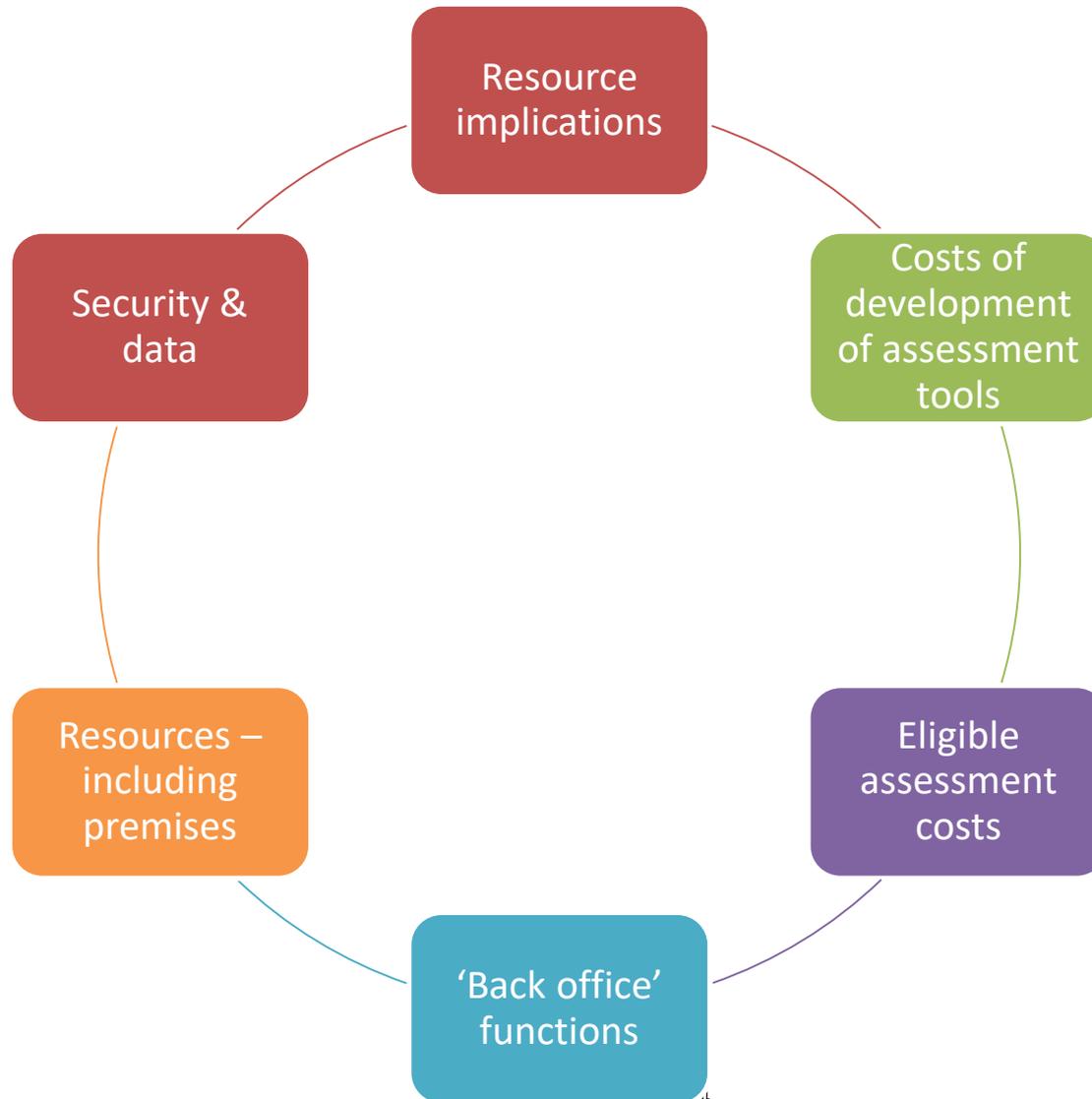
*We need to see that you know how you will develop and implement the resources needed to undertake the end-point assessment/s you are seeking to deliver. This section of questions asks you to provide us with an **overview of your end-point assessment delivery model**. Your delivery model should be **relevant to the requirements of the assessment plan/s** you wish to deliver end-point assessment for. When composing your response to these questions you will also need to reference Paragraph 10 of the Conditions of Acceptance:*

# Conditions of Acceptance

10. As a result, readiness in the context of these conditions means that:

- i. **Within nine months** of your registration you must have in place the necessary administrative and systems infrastructure and associated internal quality assurance policies and procedures to support your end-to-end end-point assessment service. You should also have a **starting base of assessor resource**. This means you should be able to support meaningful engagement with employers to offer end-point assessment services and that you are able to support them, and their apprentices, to understand and prepare for the end-point activity.
- ii. Where you registered against a standard which is between **12 and 24 month's duration** (or where, as a result of prior learning the duration for individual apprentices has been shortened to between 12 and 24 months), you must also have **all end-point assessment support materials in place within nine months of your registration** and final assessment instruments and tools ready three months in advance of the first end-point assessment taking place, unless there is a requirement from your EQA body that these should be available earlier
- iii. Where you have registered for a standard which is above **24 month's duration you must also have all end-point assessment support materials in place within twelve months** of your registration and final assessment instruments and tools ready three months in advance of the first end-point assessment taking place, unless there is a requirement from your EQA body that these should be available earlier

# What you need to consider:



# MULTIPLE STANDARD APPLICATIONS

# Operational Readiness - 1.8.2 OR01

- How will you ensure that you are ready to deliver the end-point assessments?
- **As a minimum** your description should cover:
  - If you intend to outsource any of your end-point assessment. Including confirming that you have procedures in place to obtain assurance on the quality of the occupational and assessment capacity and capability of the outsourced services.
  - how you will engage with employers and training organisations
  - how you will develop and trial the required resources and assessment instruments
  - how you will maintain/update the required resources and assessment instruments over time
  - how you will recruit your end-point assessors

# Operational Readiness - 1.8.2 OR02

- How will you deliver the end-point assessments?
- **As a minimum** your description should cover:
  - the number and structure of staff you will have administering end-point assessment
  - any preparatory materials you will make available to apprentices, training providers and/or employers
  - where and how you will conduct the end-point assessment
  - what IT systems you might be using to manage information about apprentices
  - how long you expect the process to take, from starting to conduct the EPA to confirming the outcome to the apprentice
  - your processes for informing the apprentice the outcome and claiming their apprenticeship certificate from the ESFA
  - Who will be the Responsible Officer for end-point assessment within your organisation?

# Operational Readiness - 1.8.2 OR02

This will be the responsible officer for end-point assessment within your organisation.		
1.8.4	RoEPAO(17/18)-OR-03	<p>* Please indicate the capacity/volume of EPA you can deliver, for each standard that you are applying against.</p>
1.8.5	RoEPAO(17/18)-OR-04	<p>* Please confirm the date from which you will be able to fully offer the required end-point assessment: This cannot be more than 9 months from now.</p> <p>A - Immediately B - Within 3 months from now C - Within 6 months from now D - Within 9 months from now</p>
1.8.6	RoEPAO(17/18)-OR-05	<p>* Please indicate the geographic areas in which you are able to deliver end-point assessment. Select all that apply:</p> <p>North East North West Yorkshire and The Humber East Midlands West Midlands East of England London South East South West All England</p>
1.8.7	RoEPAO(17/18)-OR-06	<p>* Please provide details that employers can use to contact you if you are successful. Please note these details will be published on the Register of End-Point Assessment Organisations.</p> <p>You should include: *Name of person to contact *Address *Email address *Telephone number</p>
1.8.8	RoEPAO(17/18)-OR-07	<p>* Please provide us with a hyperlink to your online information about and resources for end-point assessment. We will make this available to employers through the published Register.</p>

# ASSESSMENT

# Automatic Fail

<b>Standard</b>	<b>We will not evaluate your application if you do not identify a standard.</b>
<b>Organisation</b>	We will refuse your application on the basis of your response to any of these questions if we have evidence that any of your responses has been given in a deliberate attempt to deceive us.
<b>Compliance and financial management</b>	We will refuse your application if any of your responses fail the compliance and financial management requirements.
<b>Financial health</b>	We will refuse your application if your financial health assessment outcome is 'inadequate'. You will need to achieve a minimum of the 'satisfactory' grade. The basis for the calculation is set out in documentation referred to in this guidance.
<b>Capacity and capability</b>	We will refuse your application if your responses do not assure us that your organisation has the required occupational and assessment capacity and capability to deliver EPA in line with the requirements of the assessment plan and the information set out in this document. For example, you have not provided evidence of your policies.

# Common Fail Points

- Not setting out evidence for EACH standard when a multi standard application is made
- Not demonstrating organisation AND individual assessor expertise, capability and capacity
- Not explaining how/why process and activities detailed provide assurance of EPA delivery quality
- The response is too brief - it does not provide assurance that the applicant understood what the EPA involves
- No indication of how assessor occupational practice is maintained - too much focus on academic experience of staff at the expense of occupational
- No reference to work with *employers*

# Common Fail Points

- Lack of recognition of particular requirements of the assessment plan
- Overly brief descriptions in responses, especially of the delivery model
- capacity and capability issues
- Lack of occupational experience of assessors
- Weak scoping of the end to end process
- Clarity of policy and procedures
- Queries on conflict of interest
- Financial health

# Checklist

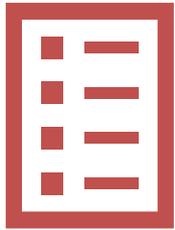
- respond to **ALL** the guidance bullet points
- staff** and **organisation** need to demonstrate **occupational and assessment** experience, expertise and competence to deliver in this **occupation/standard**
- Include experience, capacity, capability in the last 3 years..
- ...Working in the occupation or working with or for employers in **the specific occupation**
- Demonstrate relevant experience with the occupation, competencies and job roles - delivery of qualifications is not enough
- Make your evidence relevant and specific to the individual standard and assessment plan
- Detail and explain how your evidence supports your case
- It is ok not to have *current* capacity for everything .... But ..
- .....you must clearly set out what actions you will take to meet this requirement and how / when this is planned
- Clearly identify where evidence is general to all apprenticeship delivery **OR** is supporting a specific standard

# FURTHER INFORMATION AND RESOURCES

# Further Information Next Steps



[Queries to r.rhodes@bolton.ac.uk](mailto:r.rhodes@bolton.ac.uk)



**Resources:** you will need to be registered with UVAC for access to the materials – email [M.CrawfordLee@bolton.ac.uk](mailto:M.CrawfordLee@bolton.ac.uk)

- Template RoEPAO Narrative Sections
- Template – EPA Fair Access Policy
- Template – EPA Conflict of Interest Policy
- Webinar slides
- Webcast: [Click HERE](#)