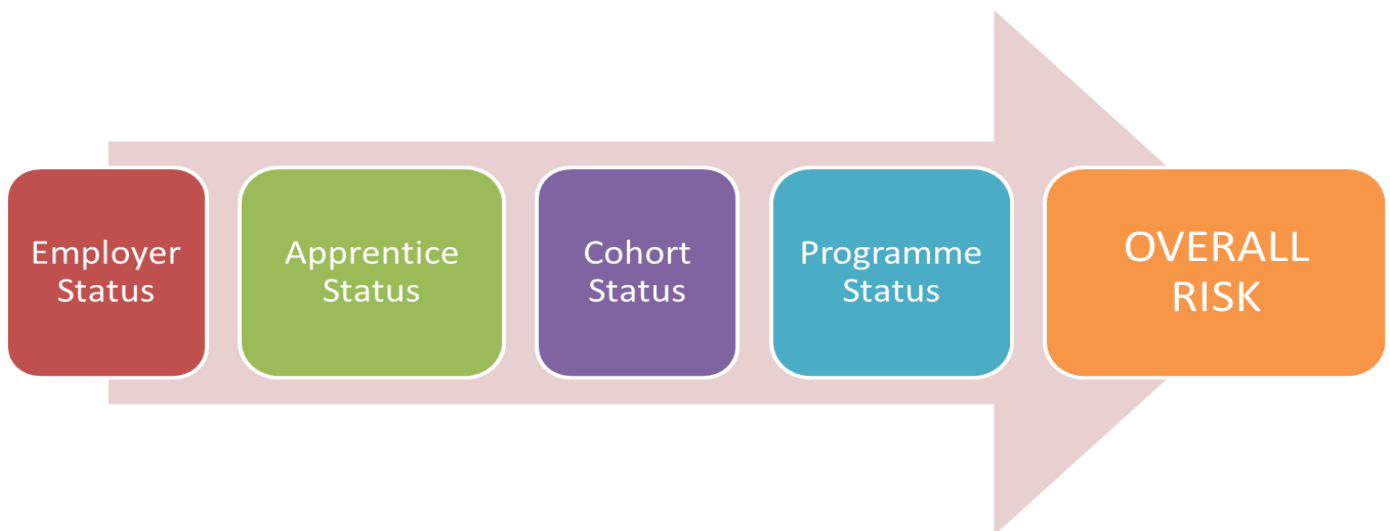


POST COVID -19 TRANSITION CHECKLIST

Identify, Monitor & Manage Programme Risks



This document aims to provide a checklist of activities and priorities to consider as part of development of a comprehensive transition action plan, following impact the coronavirus on apprenticeship delivery. Its purpose to set out the core tasks and principles to be considered as part of a transition plan, and ensure that the impact on audit, OFSTED and risk can be identified and managed.

It is, however, not an exhaustive list and is also subject to change as the and advice from government regarding apprenticeships and apprenticeship delivery change.

THE **1st** GOLDEN RULE of TRANSITION

HAVE A PLAN & IMPLEMENT THE PLAN

- Create and update your **CHECKLIST** of changes, flexibilities, and new rules required as part of this plan:
 - For return to work
 - For return to learning
 - For Standards
 - For delivery
 - For starts now and in the medium term
 - For EPA and gateway
 - For compliance & control
- Consider also your role as a 1. Provider 2. EPA Organisation. Subcontracting or Subcontractor in this plan
- Create a **Change Calendar** to confirm month by month when flexibilities end or change
- Create a **Transition Matrix** for each Standard that you deliver which documents which flexibilities apply, when they end, and how these should affect apprentice and employer and share this with those affected
- Document apprentice status (see later in this document), employer status and programme status
- Review the impact of all of these elements together - Identify and prioritise, programmes, cohorts, sectors, apprentices, employers most at risk - and assess resource implications
- Decide on mitigating actions and expedite those at most risk - keep the dialogue more frequent, refocus employer engagement activity

POST COVID -19 TRANSITION CHECKLIST

Identify, Monitor & Manage Programme Risks

8. Make sure that your **Transition Plan**, and your **Change Calendar** identifies key milestones and expected timeline to trigger the next review; for example when 50% of programmes, or 50% of apprentices are back into normal delivery, or when the last break in learning ends, when each programme should be delivering to its full cohort again.
9. Brief ALL staff affected by the apprenticeship programme and involve them in the planning of short term impacts, and then in the planning and management of the new programmes.
10. Assign responsibilities e.g. to Academic Mentors for contact schedules and others for quantifying the risks themselves reporting back, Business Development for employer/sector news, finance on impact on earnings and consider the impact on resource
11. Update or create your apprenticeship programme **RISK MATRIX** and escalate as needed. Your risk matrix should identify clearly where there are apprentices at risk of failure or withdrawal, or there are programmes at risk of becoming non-viable, or any measurable financial or reputational impact is identified.
12. Update Governance structures and ensure they monitor, review and act decisively during this period.
13. If you have provision in scope for Ofsted, think about the 3 'I's when you create your plan – use this as an opportunity to prepare a deep dive position statement for Ofsted, showing the Intent of your plan and how you were measuring success, how your Implementation responded to this desired intent, and when you measured the outcomes how you confirmed that the plan had the planned Impact. Involve apprentices and employers in this assessment of impact. See the uvac position statement template.

T H E 2nd G O L D E N R U L E o f T R A N S I T I O N

DOCUMENT & RECORD EVERY CHANGE THAT YOU MAKE TO AN APPRENTICESHIP

1. Typical changes likely to occur that will result in amendments to systems and documents are:
 - a. Dates for the end of training (planned end date) or the end of the apprenticeship
 - b. Dates for the gateway
 - c. EPA dates
 - d. Dates for on programme milestones that have changed
 - i. Non Levy/employer contribution payment dates
 - ii. Additional payments due dates to employers or Bursary due dates for apprentice
 - iii. Levy scheduled payments or drawn down schedules
 - e. Assignment or project deadlines or other set piece activities in the apprenticeship
 - f. Delivery schedules
 - g. Price for training
 - h. Price for the EPA – and this may change then change back dependant on the impact of flexibilities and the EPA timing
2. When considering where changes to the apprenticeship programme don't forget to look for the non-standard scenarios that will result in a change to the apprentice / apprenticeship record: e.g.
 - a. Employers and apprentices who, when unfurloughed need a BiL or, a better still, ask for a reduced 20% load for a few months because they are in full work mode for a limited period
 - b. Apprentices whose BiL is extended and may need to skip a year but will have done part of the learning and need to re-join in the middle of next year so their return to learning date may not be straightforward

POST COVID -19 TRANSITION CHECKLIST

Identify, Monitor & Manage Programme Risks

- c. Apprentices transferring part-time to full time and visa versa - and you need to keep and update their 20% off the job calculation when this happens and record why this has occurred
 - d. Apprentices transferring to new roles
 - e. Apprentices transferring to different departments or parts of the company
 - f. Fixed term contract apprentice who need to have different / expedited End-point Assessment before they leave or help to transfer and continue their apprenticeship
 - g. New line managers
 - h. Don't forget learners who are funded by Levy Transfers – its not just their employer's status, its also the status of the sending levy payer that you need information about
3. Any changes to an apprenticeship programme need to be reflected in some or all of the following:
- a. The ILR
 - b. Your schedule of actions, or in finance, quality or other team schedules or action plans or externally by the EPAO
 - c. In programme team delivery schedules and advice to apprentice and employers who have not yet started
 - d. In mandatory documentation
 - e. In comms to apprentices and employers
4. Work through updating documentation cohort by cohort. Look out for ANY changing dates, prices, names of employer contacts, rescheduled learning or EPA - then you must update any linked apprenticeship documentation, but this is more than just for the apprentice. You will need to review and plan for updates to and reissues of documents or explain revised schedules or produce briefing from changes to any of the following:
- a. Commitment statements
 - b. Apprenticeship agreements
 - c. Revised employer contracts – see below
 - d. EPAO contracts - make sure the end dates cover the revised EPA dates and the final list of apprentices
 - e. Subcontractor contracts (or your own subcontracting contracts)
 - f. For Integrated Degree apprenticeships – Independent Assessors, External Examiners, venue contracts
5. Then update ALL financial forecasts and review for risks and update resourcing plans and assumptions and review for risks
6. Whatever decisions or outcomes are made keep a record of any changes or decisions and the rationale or on the apprentice's file (or contractor's file etc) and email and exchange the rationale or confirmation with the employer or contractor, particularly when it relates to price or date changes, or other evidence required from the employer as part of the rationale - an email exchange is enough but all details need to be confirmed.

THE **3rd** GOLDEN RULE of TRANSITION

ESTABLISH & TRACK THE 'STATUS' & RETURN DATE OF EVERY APPRENTICE

1. To manage the transition you need understand where the apprentice, employers and programmes are now to enable you to identify higher risks. You can update your **Risk Register** and monitor these closely whilst you take action the risks.

POST COVID -19 TRANSITION CHECKLIST

Identify, Monitor & Manage Programme Risks

2. You can survey people for this information, make sure this is part of any imminent Tri-partite reviews or set up a specific post covid-19 Tri-partite review or discussion for those on your high risk categories. In conversations with employers and apprentices, and in Tri-partite reviews, etc, check progress ensure that you have gathered evidence for:
 - a. Apprentice's last date in learning at this point-this will save you trying to collect this if anything changes in their status
 - b. Progress against their learning plan on **and** off the job- i.e. they may be very well progressed in their 20 % but not have had the time or opportunity to embed this at work so an action plan is still needed
 - c. Their physical evidence for progress and off the job employer that can be collated (scanned, emailed) into their Evidence Pack and used as the basis of any action plan e the apprentice up to date
 - d. Any additional information required as formal evidence is specific scenarios - for redundancy, for changes in working hours, for BiL or Furlough, if they change employer
3. Based on discussions with employers and apprentices, prepare lines responses and guidance and packs of information for the typical, and non-standard scenarios: e.g.
 - a. For apprentices whose roles are made redundant
 - b. Employers and apprentices who, when unfurloughed need a BiL or, a better still, a reduced 20% load for a few months because they are in full work mode for a limited period
 - c. Apprentices whose BiL is extended and may need to skip a year but will have done part of the learning and need to re-join in the middle of next year so their return to learning date may not be straightforward
 - d. Apprentices transferring part-time to full time and visa versa
 - e. Apprentices transferring to new roles
 - f. Apprentices transferring to different departments or parts of the company
 - g. fixed term contract apprentice who need to have different / expedited End-point Assessment before they leave or what info needs to be in place to ensure that they can complete their EPA at their new employer how can this decision be made easier for a new employer.
 - h. New line managers
 - i. Don't forget learners who are funded by Levy Transfers – its not just their employers' status, its also the status of the sending levy payer that you need information about
4. Put some time aside to track down anybody has gone AWOL. For the end of July you need to have confirmed the status of every single apprentice or at least those in your high-risk categories even if you don't have all the documentation.
5. Work with the Programme leads on how missed learning or EPA will be rescheduled and what this means for the planned end date, or EPA timing - and prepare to revise documentation, finances etc
6. For each apprentice and *in particular BiL and Furloughed apprentices* you need to establish when they are returning, how far they are in their 20 % and their learning journey, and whether there are any constraints likely to affect their return:
 - a. Set a date in the **Change Calendar** to ensure that all BiL and Furloughed staff are in regular dialogue and staff are taking time with the employer and apprentice to make the return as smooth as possible
 - b. set a review date 6 weeks before the due date for a 'planning to return Tri-partite review':
 - c. DO NOT enter October without absolute clarity with the employer that an apprentice on a break in learning **is** returning to learning. You do not want to find that an 8 month Furlough turns in a withdrawal in November.

POST COVID -19 TRANSITION CHECKLIST

Identify, Monitor & Manage Programme Risks

7. Where possible Business teams, Academic Mentors or Tri-partite review leads can use their regular meetings to gather latest information a review with every Employer – and in particular with the second Furlough ending in October.
8. Where you have employers with more than 1 apprentice, or at least with bigger volumes, schedule conversation with the lead - as you will obviously get different information to inform your review of risk
9. Schedule a session with any employers in sectors or companies that you perceive are high-risk
10. Ensure that programme teams flag any apprentices that are high-risk, and be clear whether this is a broader risk of their apprenticeship continuation, practical risk about the needing to catch up learning to make the 20% and check that appropriate action plans are in place – and add them to the Risk Register until they are back up to date.

THE **4th** GOLDEN RULE of TRANSITION

GET AHEAD WITH DATA & RECORDS FOR THE R14 (OCTOBER) ILR HARD CLOSE

1. Plan to complete your compliance checks for documentation and matching to ILR records during July so that by the R 12 return at the beginning of August you are already aware of any discrepancies in records and evidence, if you haven't fixed these already as part of the assessment.
2. Remind employers when changes are needed on the Apprenticeship Service, what these are and when they need to be approved by.
3. Don't forget to check the ILR codes that you are using and, where relevant to use the correct LDM codes for example for those returning from a BiL
4. Run DSAT and the Funding Monitoring Report suite on the R11 (June data, July return) return to focus on the queries in July or if you can't, plan to run it in August so that you can address any discrepancies and correct them for R13
5. Conduct a compliance check on records that are typically at risk of discrepancy first - just to give yourself more time to address what will be the bigger issues before the holiday period kicks in:
 - a. Break in Learning, withdrawals, furloughs
 - b. Those apprentices who you already suspect or know have not maintained their off the job learning hours and/or are not making the expected progress against their Individual Learning Plan
 - c. High risk programmes or employers where you know there is risk to the viability programme
 - d. Any high-risk sectors where you know or expect there to have been very little learning having taken place
 - e. Any payments that may have been missed, not collected or not paid (additional payments to employers) during the last few months - again make the payments out on time as part of compliance, but consider whether to collect due contributions or just flag that you are aware they are due but are being flexible with employers
6. Update records, ILR and Apprenticeship Service at the same time with any revised dates, prices, details, changing ILR codes as you go, then raise and reissue documentation.
7. A UVAC revised Commitment Statement template will be available for new starts which you can also use for all re-issued documents from 1 August. Though the funding rules do not stipulate you need to change the documentation, so you can just reissue it on its current template and ensure that it is signed and dated and everybody holds a copy.
8. Document what, to whom and when, you distribute. Chase once nicely with a request for information about any mitigating circumstances. Do what you can to chase, but at the 3rd time of asking and escalating,

POST COVID -19 TRANSITION CHECKLIST

Identify, Monitor & Manage Programme Risks

this needs consequences and a deadline. Don't leave this for 6 months because following up rigorously is your defence to the ESFA.

9. Take note of when electronic flexibilities end and return to your existing methodologies on time, but if employers respond to the alternative methods get this and add it to a 'pending a wet signature' chasing list – anything is better than nothing.
10. You should always work towards a full and reconciled ILR submission (i.e. that you have the evidence to support the records) ahead of the R12 close in early August, but we do have 2 further months to collect the evidence packs and update the ILR so plan in the activity and pace the work where needed. YOU MUST have an up to date status for each apprentice and an accurate and complete set of matching ILR and evidence packs before R14.

T H E **5 t h** G O L D E N R U L E o f T R A N S I T I O N

BRIEF EVERYONE EFFICIENTLY - COMMS IS EVERYTHING

1. People will be following pretty much the same cycle of steps back to work but at different times so prepare packs and information for the different categories/status of apprentices: for them, their line manager, the organisation lead where there are multiple apprenticeships.
2. Prepare and update FAQs for each scenario or stage. As people rollout at different times, you will be ready with what people need based on feedback from the earlier groups
3. Update the website with FAQs - both generic and info relevant to specific standards. Replicate this on apprentice portals etc.
4. More comms not less, but targeted – keep people engaged but target the comms to make the load manageable for you and relevant for them
5. Start, if not doing this already, with regular apprentice and employer line manager and central lead comms for apprentices. When you know the status of apprentices and employers and you have formed a view about programmes and risk, segment apprentices and employers into comms groups so you can continue to target your comms efficiently.
6. Set up alerts in the **Change Calendar** indicating when, what and to whom comms need to be distributed
7. Involve Curriculum Teams in maintaining the scheduled apprentice and employer status checks, collecting updated progress and 20 % off the job evidence, passing on comms and updating risk registers
8. Update Finance, Sales and Business Relationship Managers and any others speaking to apprentices or employers about current, or future programmes e.g.
 - a. Identify those programmes where these changes have occurred and brief people that need to know,
 - b. About any change e.g. payment schedules, invoicing schedules for non-levy/ employer contribution and earnings projections for schools, finance and governance groups
 - c. Create a summary briefing document that can be used by all staff with employers: e.g. to confirm change of starts dates for future cohorts, changes in teaching-learning style schedules
 - d. Ensure all staff are aware about price changes, dates of cohort changes, changes to duration, and particularly WHEN these take effect e.g. as EPA flex and agreed price reductions end - be clear in the forward plan which cohorts are affected and those that are not in scope, based on the dates when flexibilities end.
9. Create an **Implementation Group** and involve apprentices and employers in the review and assessment of effectiveness.

POST COVID -19 TRANSITION CHECKLIST

Identify, Monitor & Manage Programme Risks

10. Manage to the **Plan** and ensure that as you reach significant milestones and KPIs set out in your plan that you take time to review implementation plan:
- Discuss and agree what you have learnt
 - Particularly important to demonstrate for Ofsted that you involve apprentices and employers in this assessment of success and learning points
 - Demonstrate that you have gone full circle and embedded the changes into future contingency plans and into day-to-day practices
 - Produce a summary for Ofsted using the 3 'Is' as set out on page 2.
11. Manage to your **Risk Matrix**
- Prioritise time to track apprentices most at risk of withdrawal
 - Prioritise programmes at most risk of financial, viability, reputational risk
 - Focus on what you have done well and achieved-quantify this.
12. **Plan for Opportunities** and actively look for them:
- Compile case studies for apprentices, about how the apprentices have addressed their challenges covering tips for coping and progressing or other help and efficiencies as people return to their work and learning and get back into their programme
 - Case studies that illustrates how your flexibility and speed of response to the coronavirus was successful for both apprentices and employers, particularly where maintaining apprentices learning has a positive impact on their organisations as they return to work or where new modes of learning have been effective and efficient for people who were furloughed
 - Formally review the impact of changes on teaching and learning, and of flexibilities in delivery and EPA and in managing the programme and comms with employers, EPAOs, apprentices etc, and agree what this will mean for programme delivery /design going forward – show that good practice is quickly absorbed and that you are continuing the speed and flexibility of response. Involve your employer groups and apprentices in these discussions, even if not , now; later in the year.
13. In amongst all the chaos will be lots of helpful lessons and successes i.e. every cloud has a silver lining - make sure that you know what yours is.