

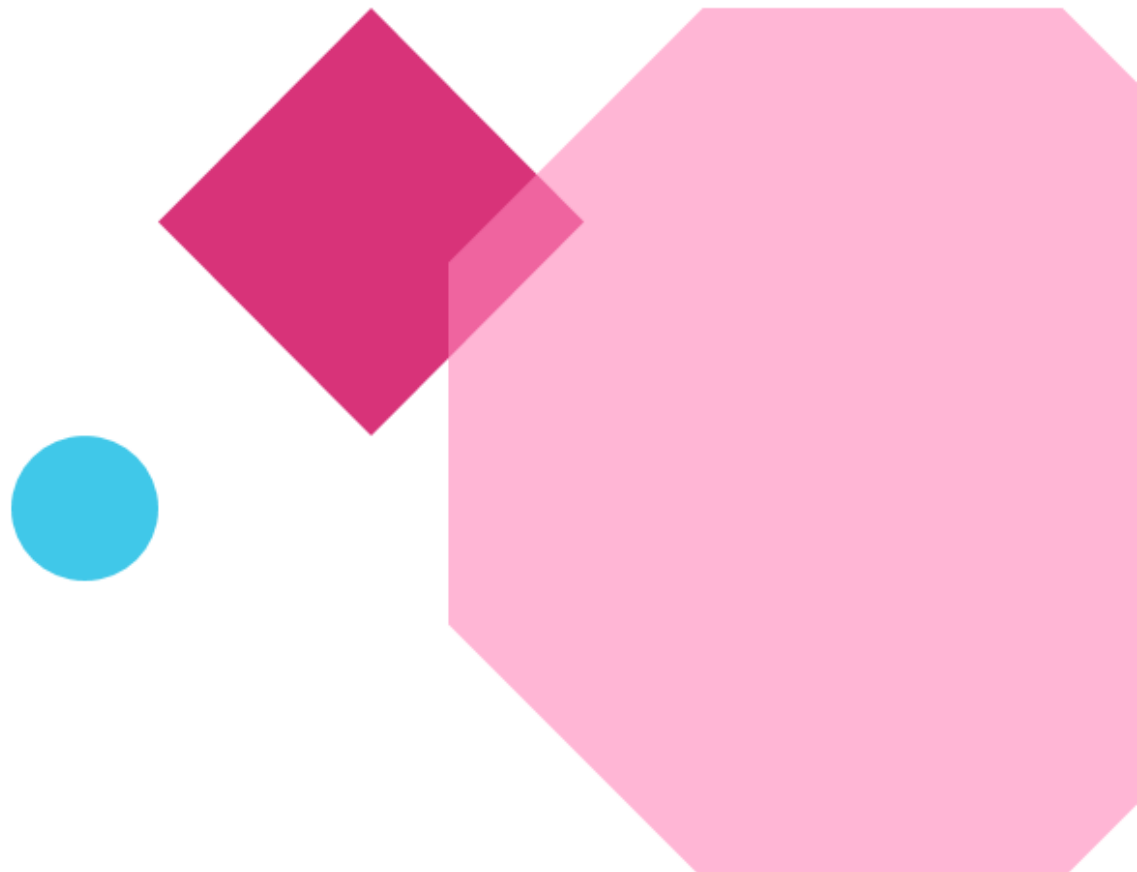
End-point Assessment

Independent

End-point

Assessor Manual

Version 1.4
July 2018



This is Version 1.5 of the *City & Guilds Independent End-point Assessor Manual*.

This document is subject to regular revision, and maintained electronically. Electronic copies are version controlled.

Change history (v1.4, July 2018)

Section	Change
3.10	Information added about IEPA assessment decisions
3.12	Reference to the 'Malpractice in End-point Assessments' document

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Section 1: Introduction

This section introduces the EPA Service, and details the resources, support and policies available to IEPAs.

1.1 Introduction

End-point assessment is the assessment process for the apprenticeship standards. City & Guilds offer an independent End-point assessment (EPA) service to administer a range of End-point assessments for customers that have apprentices ready for assessment.

As an Independent End-point Assessor (IEPA) you are responsible for administering secure End-point assessments and making valid, reliable assessment decisions. You may be required to travel to employer workplaces, providers and customer assessment sites in order to carry out end-point assessments in line with the requirements of the apprenticeship standard.

Each Apprenticeship Standard will be supported by an industry specific Lead Independent End-point Assessor (LIEPA) who will be responsible for the support, guidance, training and standardisation of the IEPAs for that Standard.

As representatives of City & Guilds, you are expected to operate with professionalism and integrity at all times. City & Guilds will provide dedicated support throughout the process.

1.2 The Independent End-point Assessment (IEPA) manual

This document is for use by Independent End-point Assessors (IEPAs) and Lead Independent End-point Assessors (LIEPAs) contracted by City & Guilds.

The IEPA manual details:

- The role and responsibilities of IEPAs and LIEPAs
- The EPA process
- EPA quality assurance
- Systems and administration
- Support and resources

1.3 City & Guilds support

City & Guilds offer support to contracted IEPAs throughout the EPA process. The following Teams will be your key contact points:

- **The Quality Assurance and Improvement (QAI) Team** provide direct support for IEPAs including training, standardisation and performance management.

Contact them at associate.epa@cityandguilds.com

- **The EPA Team** arrange end-point assessments for customers, allocate IEPAs to carry out EPAs and issue EPA results to the customer.

Contact them at epa@cityandguilds.com

Additionally, the Lead / Independent End-point Assessor Document library contains IEPA assessment packs, guidance documents, recording forms and contact details to help support you in your role: www.cityandguilds.com/lead-independent-end-point-assessor-document-library

1.4 Apprenticeship / EPA resources

City & Guilds have captured the details included in the standards, assessment plans and employer brief set by employer groups in the following City & Guilds documentation. These documents contain additional guidance to support apprentices, providers/employers and IEPAs are available on our website.

- **Handbooks** - these detail the standard and any training specifications/employer brief documents. They may also include additional guidance such as additional range. Please note that these are only available for certain standards. Where there isn't one the information on standards and briefs will be included in the EPA Pack.
- **End-point Assessment packs** – these detail the apprenticeship standard, resource requirements for end-point assessment, timeline for end-point assessment, end assessment tasks and guidance on grading.

Please note, there are specific EPA packs for customers and for IEPAs.

- **Assessment pack recording forms** - these documents will contain a range of recording forms to support the end-point assessment process.

1.5 Relevant policies and procedures

All City & Guilds Group representatives are required to familiarise themselves with the following City & Guilds Group policies:

- **Conflict of Interest Policy for Contractors** - This contains information on what constitutes potential or actual conflicts of interest and is available on the website. IEPAs must familiarise themselves with the content of this policy. As specified in the terms and conditions, all LIEPAs and IEPAs must inform City & Guilds of any potential and actual conflicts of interest, by completing a Conflict of Interest Declaration form.
- **Safeguarding Children and Vulnerable Adults** - This sets out City & Guilds Group responsibilities for staff and representatives with regards to safeguarding children and vulnerable adults. It relates to all situations, both UK and International, where the City & Guilds Group comes into contact with children and vulnerable adults.
- **Code of Conduct** – This details how we expect our representatives to behave and act when undertaking assessment activities on our behalf.

All of these policies are available in the Lead / Independent End-point Assessor Document library.

1.6 Fees and expenses

The **Fees and Expenses - Lead/ Independent End-point Assessors** document contains vital information on the process and conditions for claiming expenses. Please ensure that you take time to read this document. It can be found in the Lead/ Independent End-point Assessor document library on the webpage <http://cgcom/lead-independent-end-point-assessor-document-library>

All claims, or queries regarding fees and expenses should be sent to:

EPAClaims@cityandguilds.com for end-point assessment activities

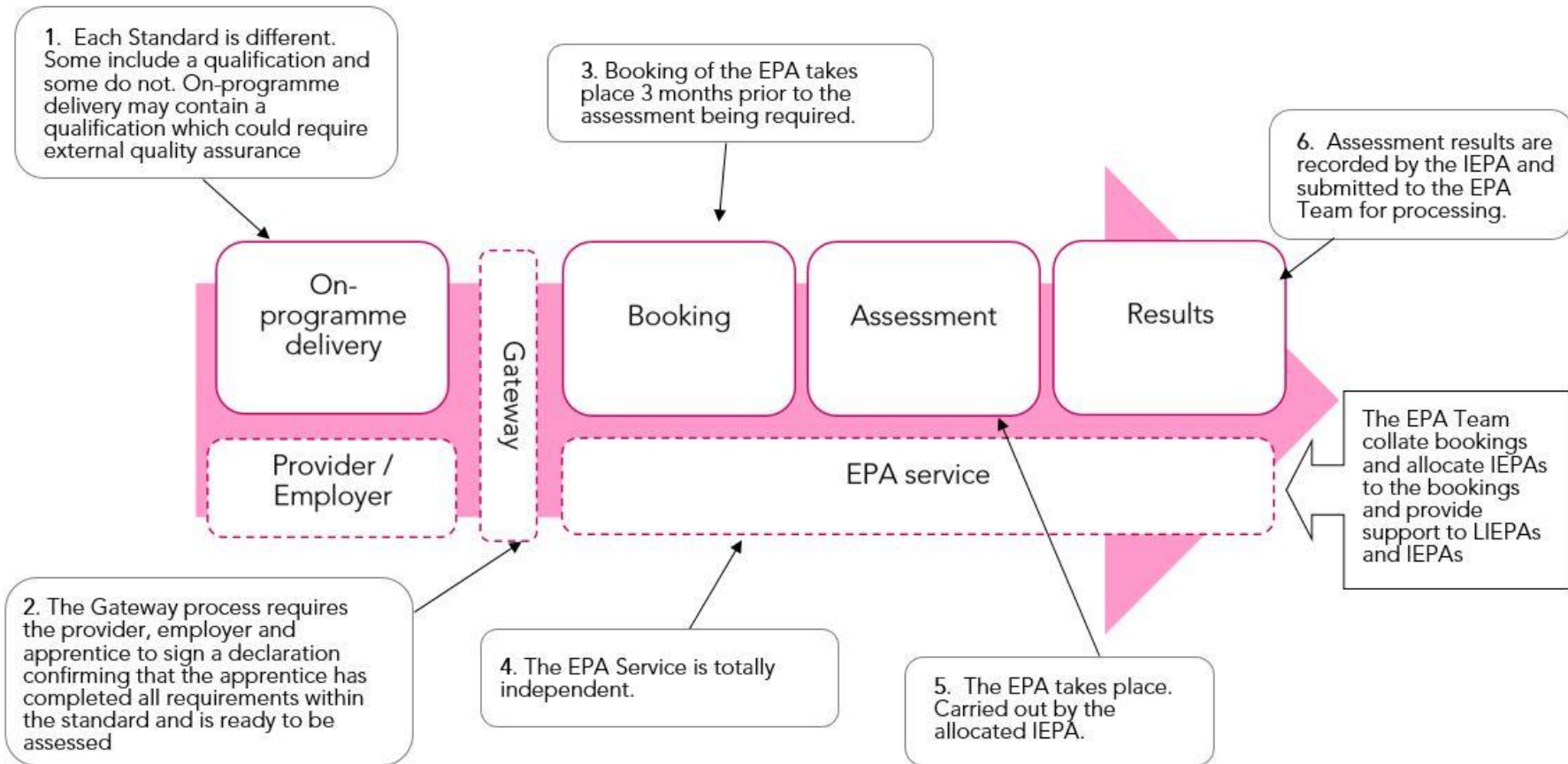
Associate.epa@cityandguilds.com for training/ standardisation activities

Please consult with the EPA Team or the Quality Assurance and Improvement (QAI) Team if you have any queries, before booking travel/ accommodation or making a claim.

Claims for training & selection and standardisation are submitted to the QAI Team. Accommodation claims for EPA activities must be submitted to the EPA team. The EPA team must approve overnight accommodation before it can be booked by the IEPA.

1.7 Apprenticeship overview

This diagram shows the components of apprenticeships standards and who is responsible for delivery of each stage. The EPA team will check that all gateway requirements have been complied with prior to the allocation of an IEPA to the EPA.



Section 2: Before EPA

This section covers the processes and activities you will undertake prior to the end-point assessments taking place. It also details the City & Guilds systems and documentation you will use in your role.

2.1 Training

IEPAs receive initial and ongoing training organised by the Quality Assurance and Improvement (QAI) Team.

- The training is composed of generic content delivered by QAI Team, with technical content delivered by the Lead Independent End-point Assessor (LIEPA) for the apprenticeship standard.
- LIEPAs introduce the technical content and set homework for the IEPAs. This will be based on using the standard to complete a grading scenario exercise.
- All IEPAs receive EPA Portal training from the EPA Team as part of the technical training.
- IEPAs who successfully complete the mandatory training and selection will receive a vendor form to complete and return to the Platform Management team. This will trigger Platform Management to send a letter containing details on engagement and terms & conditions. You must confirm you agree with these details before a contract can be issued.
- IEPAs will receive additional remote training sessions as required (for example if anything changes within the Standard, or if performance issues are identified).
- If there is a significant gap between IEPAs initial training and them undertaking their first EPA (i.e. if no bookings are received), then a refresher training session may also be required. IEPAs may also request refresher training/support with QAI Team as they feel they require it.

2.2 Standardisation

IEPA assessment decisions must be accurate, reliable and consistent. Therefore standardisation is a vital aspect of quality assuring our EPA Service. All standardisation events are mandatory for IEPAs, for the assessments within their Standard.

The standardisation process is as follows:

- Standardisation and reflection sessions will take place via webinar. These sessions will be led by LIEPAs, with support from City & Guilds.
- Standardisation materials, prepared by the LIEPA and produced using real evidence where possible (or exemplar evidence where not), will be shared with IEPAs prior to the meetings.
- LIEPAs will then lead a discussion of the materials which all IEPAs must contribute to, in order to establish the agreed standard for assessment decisions.
- If LIEPAs have any concerns about any of their IEPAs, they will give them an action and improvement plan addressing the issue(s) and a timescale for completion.
- An annual standardisation event will also be held for each apprenticeship standard, which the IEPA must attend in order to be allocated EPAs.

IEPAs must successfully complete standardisation in order to undertake EPA on behalf of City & Guilds.

2.3 EPA Systems

There are a number of online systems you will use in your role. This section details these, along with their core functionalities.

System	Functionality
EPA Portal	<p>This is an e-portfolio system which enables customers to submit evidence to the EPA Team, IEPAs and LIEPAs, for end-point assessment.</p> <p>It enables IEPAs to carry out the end-point assessment, upload any relevant documents and issue the grade for the end-point assessment into the EPA Portal. This is then available for quality assurance by the LIEPA, in accordance with their sampling strategy.</p> <p>The 'How to' guide for IEPAs and LIEPAs can be found under the section marked 'News & Events' on the EPA Portal.</p>
Kalo	<p>This is a web-based platform which enables IEPAs to inform the EPA Team of their availability to undertake end-point assessments in their Apprenticeship Standard.</p> <p>A newly contracted IEPA will be provided with a personalised link to setup their profile and flag the dates where they are not available.</p> <p>It is the responsibility of the IEPA to maintain their profile on Kalo at all times, noting any changes to future availability e.g. annual leave, work commitments.</p>
GoToWebinar	<p>This is used by the IEPA to carry out remote end-point assessment. It is also used by the Quality Assurance and Improvement Team to deliver remote training and standardisation sessions.</p> <p>Webinar sessions are set up by the EPA Team and links are emailed to IEPAs</p> <p>The IEPA hosts and records the session, with the apprentice at the allocated time, as agreed with their employer and the provider at the point of booking.</p> <p>LIEPAs are able to sit in to observe the session or review the recorded session on the EPA Portal in order to carry out their quality assurance, by accessing the link from the EPA Portal.</p>

2.4 IEPA forms

The following forms will be used by IEPAs in the administration of EPAs.

- **IEPA Assessment Confirmation**

This form must be completed by the IEPA on the day of the EPAs, but prior to any assessment taking place. It includes a photographic ID check and a basic health and safety check. It also has a section for IEPAs to capture any incidents that happen during the assessments that may affect the apprentice's performance, or the validity of the results.

- **EPA recording forms**

Standard-specific recording forms will be available via the LIEPA/IEPA document Library/ web page. These are the forms for IEPAs to record their assessment decisions for each of the end-point assessment methods in the standard.

- **CPD log for LIEPAs / IEPA**

This form captures the continuing professional development / occupational competence for LIEPAs and IEPAs over a 12 month period. LIEPAs & IEPAs are welcome to submit CPD record forms from another workplace if they have them completed. They do not need to transfer their CPD across to our City & Guilds CPD forms.

2.5 Allocations / availability

One of the key requirements of the EPA Service is that we have the flexibility to deliver end-points assessments to apprentices at our customers' convenience. In order to achieve this we need to ensure that we have appropriately trained IEPAs available when EPAs are booked.

The process for allocating IEPAs to EPAs is as follows:

- The IEPA will be contacted by the EPA Team with an allocation request email.
- The IEPA can then accept or reject the allocation (within 24 hours).
- Allocations are based on availability (via the Kalo system) and also geographical location.
- The IEPA will access the EPA Portal to carry out any pre-assessment of the evidence submitted by the customer.
- Any apprentice evidence to support the assessment will be made available on the EPA Portal **two weeks** prior to the agreed EPA date.

2.6 Pre-assessment planning

Once the date(s) for the EPAs have been confirmed by the EPA team, you will receive an *EPA Booking Confirmation Form*.

This form includes;

- confirmation of the start time and expected duration of the assessments
- Agreed access to the customer premises, including parking where required
- Agreed access to all relevant systems and resources
- A named contact at the organisation for the duration of the EPAs
- Accurate contact IEPA and customer details

Any queries regarding the booking must be raised directly with the EPA team and **not** with the customer, unless specifically advised by the EPA team.

Section 3: EPA

This section deals with the assessment process including the various EPA methods, recording information, cancellations, malpractice and results.

3.1 Assessment methods

Each EPA will include a minimum of **two** different assessment methods. Therefore IEPAs will be required to use a range of assessment methods to assess an apprentice. These will vary from occupation to occupation.

Use of terminology varies across the assessment plans for different occupations. To ensure a consistent approach across City & Guilds, the following definitions of different assessment methods will be used. Where terminology used in assessment plans varies from these definitions they will be aligned in City & Guilds documents with reference to the difference.

This will be specified, where relevant, to IEPA and EPA customers in the specific occupation Assessment Packs

Assessment method	Description
Externally marked exams	<p>Externally marked exams may be specified to assess part of an apprenticeship. These exams could be comprised of different question types:</p> <ul style="list-style-type: none">• Multiple choice questions• Fixed response• Written response <p>Assessment plans may specify the use of one or more of these question types within the exam. The content for these exams will be written by City & Guilds examiners. Both multiple choice and fixed response will be machine marked.</p> <p>These may be available to apprentices either via paper or online.</p>
Oral assessment	<p>There are different types of oral assessment that may be specified to assess part of an apprenticeship. Oral assessments provide an IEPA a good opportunity to explore or reaffirm information that may not have been readily evident from another assessment method. They are an opportunity to validate and probe for aspects of skill, knowledge and behaviour as well as offering an opportunity to explore authenticity. They may be conducted on a one-to-one basis or may be carried out by a panel or board.</p> <ul style="list-style-type: none">• Professional discussion A professional discussion is best classed as a structured conversation which explores pre-identified areas with an apprentice, typically based on reviewing evidence.• Viva Viva is a term used to describe a structured discussion that is used to explore the thinking behind a project or substantial piece of work which has previously been submitted for assessment. Typically a Viva is more apprentice led; ‘talk me through your work’

Assessment method	Description
	<ul style="list-style-type: none"> Interview Interviews involve the IEPA asking a series of unseen, structured questions to apprentices. Unlike a professional discussion where questions would be tailored by the IEPA to each apprentice, interviews use the same set or bank of questions across every apprentice. Where interview is specified City & Guilds will provide a set or bank of questions to the IEPA in the relevant end-point assessment pack. Panel Interview The panel is typically made up of not more than three occupationally competent members who are led by the IEPA. The panel's role is to interview the apprentice and review the evidence provided to inform the assessment outcome. Questions and Answers Generally asked alongside or immediately after another assessment method such as an observation of practical activities, rather than being prepared these questions would be determined by the IEPA at the time of the assessment <p>Some oral assessments may be supported by the development of a Showcase Portfolio</p> <p>A showcase portfolio should be a collection of evidence that has been constructed to show the best of what an apprentice can do against a set of specified criteria. It should be a focused collection of evidence which holistically demonstrates that the apprentice has met all the required criteria. It is expected that most, if not all, evidence collated for a showcase portfolio would be sourced from the final part of the apprenticeship, typically during the final 3 months and that only one piece of evidence would be submitted</p>
Presentations	<p>Some occupations require apprentices to carry out a formal presentation around a defined topic to either the independent End-point Assessor or a Panel. The topic may be determined by the apprentice around a set topic connected to their occupation or their workplace. In some cases the IEPA may be involved in defining the topic.</p> <p>City & Guilds will provide guidance in the EPA packs on any requirements for presentations and the criteria to be covered.</p>
Workplace Observations	<p>Some occupations include an observation of the apprentices either carrying out specific activities or being observed for a specified duration. Some occupations may allow this to take place in realistic work environments.</p> <p>The EPA packs provide guidance on the requirements for observation and the criteria to be covered.</p>

Assessment method	Description
Practical tasks	Practical tasks have been selected to enable apprentices to demonstrate their practical skills. Most practical tasks will be assessed through direct observation of the apprentice carrying out the tasks and/or an assessment of the final outcome/product, usually in realistic work environments.
Work based tasks / projects	<p>These require apprentices to undertake a project/assignment or gather evidence within the context of their own organisation or working environment. These may take place over a longer period of time and in some cases may initially be set by the EPA customer against set criteria defined by City & Guilds.</p> <p>These tasks should be supported by declarations of authenticity from apprentices and employers and may in some cases be linked to an oral assessment.</p>
Knowledge and understanding tasks	<p>May have been selected when the apprentice is expected research/investigate and write up their findings for example. Here it can be expected that each apprentice's evidence will be in their own words, and therefore identifiable as their own work, i.e. not straight recall of facts.</p> <p>For these tasks IEPAs will be able to accurately authenticate the apprentices' evidence as their own, and detect any plagiarism. These tasks may be supported by declarations of authenticity from apprentices and employers and/or linked to an oral assessment.</p>

3.2 Assessment Preparation

For some assessment methods the preparation expectations are generic for all occupations.

Once the customer has submitted all of the evidence on behalf of the apprentice into the EPA Portal, it is the responsibility of the IEPA to carry out an initial review prior to the end-point assessment.

The purpose of this review is to make certain that there are no issues with the submitted evidence. If there are, then the EPA Team should be notified immediately. In addition, the review provides the EPA Team with the confidence that the IEPA is fully prepared in advance of the end-point assessment.

The review should be carried out no later than three working days of an IEPA being allocated to an apprentice. However, it is strongly encouraged that an IEPA carries out the review as soon as possible. The appropriate Assessment Pack documentation must be completed and uploaded to the EPA portal within 5 working days of the allocation.

Other assessment methods may also require preparation that is specific to the requirements of the occupation. The relevant Assessment Packs will contain information around any required pre-assessment activities.

LIEPAs may request to see evidence of pre-assessment activities as part of the sampling activities. It is the responsibility of the IEPA to maintain suitable version control of documentation and to upload to the EPA portal.

Type of assessment	Planning
Site Visit (observation, presentation, panel interview, practical assessment)	IEPAs must plan for this. If they have remotely assessed a Showcase Portfolio then they may be looking to expand on any gaps within the grading criteria and therefore must plan for this prior to carrying out the visit and upload documentation to the EPA portal. The LIEPA may accompany for monitoring purposes.
Remote Interview/Professional Discussion	IEPAs must plan questions they will ask the apprentice prior to the assessment taking place for the Interview/Professional Discussion and submit the to the EPA Portal. The assessment packs contain a planning form and the LIEPA and EPA Team will check that the remote assessment has been carried out and that the IEPA is fully prepared for the next element of the EPA. Note: All remote sessions are carried out via GoToWebinar. The EPA Team set up this link and email it to the IEPA and to the customer. The LIEPA may also join in an observational capacity.

3.3 IEPA Assessment confirmation

Before undertaking any EPAs, you must be satisfied that quality requirements have been met and the apprentices can be assessed safely and securely. This includes

- Checking photographic ID for all apprentices
- Completing a basic health and safety check
- Checking whether apprentices can access the assessments (i.e. that any requested Access Arrangements are in place)

To do this you will complete an **IEPA Assessment Confirmation** form. This form also has space for IEPAs to record any incidents that occurred that may have affected the performance of apprentices.

Please note that these confirmation checks must be undertaken whether on-site or undertaking remote activity.

3.4 Refusal to undertake EPAs

IEPAs must ensure that they are satisfied that they are able to carry out the EPAs securely and safely on the day. In some circumstances, therefore, you may have concerns that an assessment should not be carried out. Potential reasons include:

- No access to required systems
- Required resources/materials not present at the venue
- Health and safety concerns for undertaking assessments
- Concerns over validity / identity of Apprentice
- Apprentice does not turn up for assessment
- Apprentice is unprepared or unaware of what is required of them for the assessment
- Apprentice has another issue that they feel prevents them from continuing with the assessment
- Sufficient competent panel members are not available for panel reviews (where required)
- Potential malpractice identified

In all instances where you feel that the security and/or safety of assessments is in question, you must contact the EPA Team as a matter of urgency. They will advise on what, if any, actions need to take place.

It may be that some issues are able to be resolved on the day in order for the assessment to take place, however there must be agreement from the EPA Team before this happens.

3.5 Cancelling EPAs

Under some circumstances it may be necessary to cancel EPAs. This could be at the request of either City & Guilds or the customer.

If customers cancel prior to the EPA date they must contact the EPA Team to inform them.

If the EPA Team decides to cancel they will inform you prior to the EPA date. The EPA Team will contact you to discuss the cancellation and discuss future availability.

If you are unable to carry out an EPA for any reason, you must contact the EPA Team to inform them as soon as possible, in order for them to make alternative arrangements with the customer.

3.6 Working with an assessment panel

For Apprenticeship Standards that feature an assessment panel as part of the EPA, the relevant Assessment Packs include details of the requirements and restrictions for additional panel members. Additional information for panel members will be available in the **End Point Assessment Panel Member Briefing** for the relevant standard.

For EPAs that require an assessment panel, unless otherwise specified in the apprenticeship specific documentation, the IEPA is responsible for

- ensuring the panel members meet the requirements specified in the EPA pack
- ensuring administration instructions are followed
- assisting panel members in following our processes
- ensuring assessment decisions are made by themselves and the judgements of the panel are taken into account to support the decision.

When working as part of a panel, the IEPA is responsible for the assessment process and the final assessment/grading decision.

Customers must provide the EPA Team with the names of prospective panel members, along with their role. Names of confirmed panel members will be provided to IEPAs prior to the date(s) of the EPA. On the date(s) of the EPA, if panel members are different from those previously identified, IEPAs should record the changes on the IEPA Assessment Confirmation form.

3.7 Recording assessment decisions

As you are responsible for assessing apprentices, the production of high quality, fit-for-purpose assessment records is vital.

IEPAs must consider the following:

- It is important that all IEPAs take detailed notes whilst carrying out EPAs
- IEPAs must use City & Guilds recording forms to capture assessment outcomes and corresponding justifications for decisions.
- All documentation must be uploaded to the EPA Portal following the assessment(s), for reference when compiling the feedback for each assessment, potential enquiries about results and/or suspected malpractice investigations.
- Physical or digital evidence relating to assessments must be stored securely by the assessor prior to submission.
- All evidence whether it is was produced in preparation for, during, or after the assessment must be made available to City & Guilds within the EPA Portal.

3.8 Collection of digital evidence

IEPAs should focus on using the primary source of evidence collection, (e.g. observations) during the live performance to make their assessment decisions.

However in some instances it may be appropriate for IEPAs to gather additional digital evidence to supplement their written observations / account of candidate performance. This could involve:

- Digital photographs of an 'output' from a practical assessment, (e.g. a haircut or food dish).
- Audio / skype recording of a professional discussion / interview taking place

The collection of supplemental digital evidence must not distract you from the core activity of delivering the assessment and capturing observations of candidate performance. With that in mind the recording of video evidence is discouraged.

Please note that permission must be obtained from the subjects of any digitally captured evidence.

IEPA assessment decisions will still principally be based on the live performance of the apprentice. Digital evidence will provide to support the quality assurance process.

3.9 Remote assessment delivery

City & Guilds supports and promotes the use of web conferencing to conduct assessment (remote assessment delivery) where appropriate. This means that the IEPA and the apprentice do not have to be in the same physical location when assessment takes place.

Conditions for remote assessment delivery:

- City & Guilds will specify the remote technology to be used (as agreed at the point of booking with the EPA Team). The employer / provider must check that this is compatible with its in-house systems and any firewalls before planning any remote assessment delivery.
- Assessment must be conducted using desktop / laptop computers, or tablets with video capability. Mobile phones are not acceptable.
- The apprentice must be in the workplace or the premises of the provider when the assessment takes place.
- Assessment must take place in a room where the apprentice is free from distraction and does not have access to any outside help. The employer / provider should decide on a member of staff who will be responsible for ensuring that this is in place for each apprentice before the assessment takes place.
- The employer / provider is responsible for ensuring that:
 - Apprentices bring photographic proof of their identity. This must be verified by the IEPA before the assessment starts.
 - All specified facilities / resources for the assessment are available to apprentices.
 - Work produced by apprentices is independent and unaided.
- During the assessment itself, apprentices are not required to be under direct, on-site supervision. IEPAs will act as supervisors during the assessment itself.
- The employer / provider must ensure that the member of staff carrying out on site checks is suitably briefed and impartial.
- When confirming the EPA booking, the EPA Team will agree with the member of staff responsible for setting up and checking on site arrangements:
 - the name of the apprentice(s)
 - how the assessment conditions will be met
- The remote technology must be tested in advance of the date/time of assessment so that any technical issues do not impact on the assessment itself.
- All assessment conducted remotely must be electronically recorded and stored by City & Guilds for quality assurance purposes.

3.10 Quality assurance/sampling

It's vital that the assessment decisions of our IEPAs are quality assured. To ensure this, LIEPAs will undertake sampling of assessment decisions across all IEPAs within their relevant Apprenticeship Standard, to ensure a standardised approach to making assessment decisions, in line with the assessment criteria. As a result of internal quality assurance your assessment and or grading decisions may be changed.

Sampling will be risk-based, determined by the experience and performance of the IEPA. All newly appointed IEPAs will be rated as 'high risk'. As part of the quality assurance process LIEPAs will accompany new IEPAs on their first EPA visit, where possible, to carry out an observation of the assessment activity. Where this is not possible, or end-point assessments are all remote, LIEPAs will plan sampling of another assessment method.

The **LIEPA Sampling Strategy** contains detailed information on the process and is available on the Lead / Independent End-point Assessor Document library.

3.11 Incidents

In addition to maladministration and malpractice, IEPAs are required to report any incidents that may impact on the validity and security of the assessments. This includes any event during the assessment outside an apprentice's control that may have a material effect on their ability to take an assessment, or demonstrate their normal level of attainment.

When reporting such incidents, you must use the relevant section of the **IEPA Assessment Confirmation** form. The EPA Team will then assess what, if any, further action is appropriate.

3.12 Malpractice and Maladministration

In our commitment to provide high-quality EPAs which are assessed and awarded consistently, accurately and fairly, we require everyone who is involved in the implementation, assessment and quality assurance of our end point assessments to demonstrate honesty and integrity.

- **Malpractice** is defined by City & Guilds as an act or an instance of improper practice and includes maladministration. Malpractice is any activity, practice or omission which is either wilfully negligent or deliberately contravenes regulations and requirements and compromises the:
 - assessment process
 - integrity of an assessment
 - validity of a result or certificate
 - reputation and credibility of City & Guilds.
- **Maladministration** is defined as any activity, practice or omission which results in noncompliance with administrative regulations and requirements. For example, persistent mistakes or poor administration which result in the failure to keep appropriate apprentice assessment records.

IEPAs play a vital part in identifying and reporting potential and actual malpractice and/or maladministration. Incidents of suspected malpractice and/or maladministration must be reported to the EPA Team in the first instance for further investigation. Detailed information can be found in the *Malpractice in End-point Assessments* document on the website.

3.13 Recording grading outcomes

IEPAs must complete the following tasks within 3 working days following the completion of the final assessments:

- Complete all marking grids and grading forms, where applicable to the standard
- Complete the relevant *EPA Recording Form(s)*
- Complete an *Apprentice Feedback* form, where Apprentice has failed.
- Upload aggregated grades (including details of how the aggregation was done) to the EPA Portal

IEPAs should not share any individual results or provide any feedback with apprentices, end-point assessment customer, employers or training providers during any assessment, immediately following or between the different assessments that make up the EPA.

Once successful upload to the EPA Portal has taken place IEPAs must shred/delete all documents relating to the EPA.

3.14 Results and feedback to apprentices

Results for all components will be made available to customers via the walled garden within 20 working days of the last date of the end-point assessment method concluding.

3.15 Enquiries about results

Where apprentices are dissatisfied with the result of an Independent End-point Assessment they can make an enquiry about results (EAR).

Apprentices can request an EAR for each assessment component with their provider / employer, if they receive a grade for that component.

EAR requests must be arranged and submitted by the provider / employer that booked the EPA. City & Guilds will manage the EAR requests, however they may contact with IEPAs if they require any additional information about the conduct of a specific EPA.

Appendix 1 – Glossary

Term	Description
Apprenticeship reforms	The apprenticeship reforms in England include the new apprenticeship programme structure, the introduction of end-point assessment, a new governance and the new funding rules. The reforms were introduced following the Review of Apprenticeships in England in June 2012. The purpose of the reforms is to ensure that apprenticeships deliver the training, qualifications and skills that employers and learners need.
Apprenticeship Standards	<p>Apprenticeship Standards are developed by Trailblazer groups. The term 'Standard' relates to a specific occupation. These are short documents, often made up of 3 pages of A4 that sets the key requirements for the relevant occupations apprenticeship. They outline the skills, knowledge and behaviours required by the standard. The standard also captures the minimum duration of the apprenticeship; any qualifications that are a mandatory requirement and any Maths and English requirements.</p> <p>Any approved standards are published at www.gov.uk/government/collections/apprenticeship-standards</p>
Assessment Organisation	Organisations that appear of the Register of Assessment Organisations that are able to offer a service connected to assessing end-point assessment. Any organisation that can prove they are financially viable and have the appropriate infrastructure to support the assessing of end-point is eligible to apply to become an Assessment Organisation. An organisation does not need to be an Awarding Organisation to apply. Training providers and colleges can apply however they must be able to prove that any assessors are independent of the apprentices they are assessing.
Assessment Plan	<p>The Assessment Plan is written by the Trailblazer group once the Standard is approved. Primarily these documents focus on what is required for end-point assessment. It includes what will be assessed, how it will be assessed, how the overall apprenticeship will be graded and who will carry out the final end-point assessment. It may also include details of any qualifications that are required to be completed prior to the end-point assessment, either prior to starting or during the apprenticeship.</p> <p>Once an assessment plan is approved it will be published on the below website and the apprenticeship will be marked as 'approved for delivery' www.gov.uk/government/collections/apprenticeship-standards</p>
City & Guilds Apprenticeships	A series of products and services that a customer can purchase for apprenticeship delivery.

Term	Description
Employer groups	Employer groups work together to design new Apprenticeship Standards for occupations within their relevant sectors. The group must consist of at least ten employer, which must include at least one Small or Medium–Sized Enterprise (SME) representative. Employer groups can work with whoever they choose to develop their Assessment Plans. So far, they have worked with awarding bodies, professional bodies and individual assessment experts.
End-point assessment customers	This term defines any customers that only purchase end-point assessment products and services with us. This is to distinguish these customers from our other centres who offer qualifications, particularly in connection to quality assurance processes. A customer that offers both end-point assessment and qualifications with us will still be called a centre.
End-point Assessment Pack	A City & Guilds document that contains all the information around the end-point assessment for a specific occupation. Depending on the individual occupations needs the following options may be available. <ul style="list-style-type: none"> • EPA Pack – for IEPAs • EPA – for Centres/Employers
End-point assessments	End-point assessment is the assessments that are undertaken at the end of an apprenticeship to test full occupational competence. There is often a combination of assessment methods that have been set by employers to holistically assess the knowledge, skills and behaviours that have been learnt throughout the apprenticeship. It is this stage that will determine the overall grade for the apprenticeship.
External Quality Assurance for Apprenticeships	External quality assurance for apprenticeships sets out how standards are going to be maintained across Assessment Organisations. When developing their assessment plans Trailblazers must select one of four options for external quality assurance: <ul style="list-style-type: none"> • Ofqual • Professional body • Institute of apprenticeships • Employer led Employer groups can define how they want IEPAs to be quality assured and who is involved in this process.

Term	Description
Gateway	<p>This is a defined stage set out in all apprenticeships where the employer and training provider (if appropriate) are required to sign and declare that the apprentice is ready to start the end-point assessment stage of their apprenticeship. Only on receipt of this signed form can the EPA booking process begin.</p> <p>These forms can be found in the Assessment Pack Recording forms documents. Each form has been tailored to the requirements set out by their industry.</p>
Grading of End-point Assessment	<p>Details around how the overall grade for apprenticeship end-point assessment is determined are defined by employer groups within the assessment plan.</p> <p>Different models have been selected by different employer groups</p> <ul style="list-style-type: none"> • Aggregated – each assessment method is graded individually by the Independent End-Point Assessor and the grades are combined together to get the overall grade – either via weighting or via conditional rules. • Holistic judgement – all assessments methods are reviewed by the Independent End-Point Assessor and an overall judgement is made about the apprentices overall grade (usually against some grade descriptors). <p>Further information around the specific grading for each occupation can be found in the relevant End-Point Assessment Pack.</p>
Institute for Apprenticeships (IfA)	<p>The Institute for Apprenticeships is an independent body to support employer-led reforms and regulate the quality of apprenticeships.</p>
On-programme	<p>Describes the learning and development stage of the apprenticeship. The on-programme stage commences at the point the apprentice is registered until they are ready to start the end point assessment. As a minimum this phase must be 12 months, but some standards may specify a longer duration. On-programme stage might include qualifications, badging, accreditation, behaviours etc.</p>

Appendix 2 – Task profiles

Task profile

Associate type:	Independent End- point Assessor
Monitored by:	Lead Independent End- point Assessor
Managed by:	Associate Manager, Quality Assurance & Improvement Team
Contracted Days:	As per supply of services

Task purpose

- Assess and document apprentice competence against Apprenticeship Standards either at designated venues or remotely, using the stated assessment methods
- Provide advice and support to the End-point Assessment team
- Participate in standardisation activities to ensure a consistent approach to End-point Assessment
- Maintain a thorough knowledge of City & Guilds End-point Assessment policies and procedures

Key contracted responsibilities

1. Assessment Activities

To assess and document apprentice competence against Apprenticeship Standards when requested by the End- point Assessment team.

Measures:

- Carry out and document End- point Assessments in line with City & Guilds and regulatory arrangements;
 - arrive at the site at least 45 minutes prior to the End-point Assessment
 - stay at the site for the duration of the End-point Assessment
 - Mark all components of the End-point Assessments, in line with grading criteria
- Record and submit concise End-point Assessor feedback to the End-point Assessment team, explaining assessment decisions in line with the grading criteria
- Effectively communicate details of local knowledge to the End-point Assessment team and the Lead Independent End- point Assessor
- Complete and upload all End-point Assessment recording documentation to the EPA portal within 3 working days of the activity

2. Advice and support

Provide advice and support to the End- point Assessment team.

Measures:

- Provide advice on potential improvements to processes and systems to the End-point Assessment team

- Provide advice to the End-point Assessment team on specific End-point Assessment queries, when requested
- Report any suspected End-point Assessment malpractice issues to City & Guilds immediately, in line with the malpractice policy
- Respond to 'phone calls and emails within 2 working days

3. Standardisation

Participate in standardisation activities

Measures:

- Attend and participate in standardisation and training activities to ensure a consistent approach to End- point Assessment
- Maintain and document CPD records; to be submitted on request
- Ensure any personal action/ improvement plans are achieved, within agreed timescales and to required standards

4. Business awareness

Maintain a thorough knowledge of City & Guilds End-point Assessment policies and procedures

Measures:

- Keep up to date with any changes to the End-point Assessment policies and procedures by reading and digesting updates and attending and participating in any refresher training
- Keep up to date via websites and email correspondence
- Forward any market intelligence on End-point Assessment customer trends to the Lead Independent End-point Assessor and the End-point Assessment Team

Task profile

Associate type: **Lead Independent End-point Assessor**

Managed by: **Associate Manager, Quality Assurance & Improvement Team**

Contracted days: **As per supply of services**

Task purpose

- Monitor and support an allocated team of Independent End-point Assessors to ensure a standardised and consistent approach to quality assurance and End-point Assessment decisions
- Support the development and delivery of Independent End-point Assessor training, standardisation, updates and online resources
- Support the Quality Assurance & Improvement team with the recruitment, selection and training of new Independent End-point Assessors
- Produce a Lead Independent End-point Assessor report, reporting on trends and issues identified by Independent End- point Assessors, End-point Assessment customers and sampling. Produce a report to provide support and recommendations for customers to help them to improve their preparation for End-point assessment and highlight good practice.
- Provide advice and guidance to the Quality Assurance & Improvement team, Product team, Qualification Assessment & Development team and the End- point Assessment team

Key Contracted Responsibilities

1. Standardisation and consistency of the Independent End- point Assessors

Monitor and support an allocated team of Independent End-point Assessors, to ensure a standardised and consistent approach to quality assurance and End-point Assessment decisions

Measures:

- Monitor and support a team of Independent End- point Assessors in line with their task profiles. Implement sampling plans, in line with the sampling strategy, recording sampling on sampling records
- Complete and submit all sampling records within 3 working days of the IEPA submitting their reports
- Standardise Independent End-point Assessor practice, to ensure that End-point assessment practices, policies and procedures are adhered to in line with City & Guilds and regulatory arrangements
- Accompany/ observe Independent End-point Assessors on End-point Assessment visits/ remote assessments in line with the City & Guilds sampling strategy
- Provide support to the End-point Assessment team on Independent End-point Assessor queries, as requested
- Contribute to the annual Independent End-point Assessor review process
- Monitor and document Independent End-point Assessors' risk, in line with City & Guilds policies and procedures
- Implement and monitor SMART action planning

2. Development and delivery of briefings, updates and training

Support the development and delivery of Independent End-point Assessor training, standardisation updates, and online resources

Measures:

- Develop content for Independent End-point Assessor training, standardisation and updates, liaising with the relevant Industry/ QAD Manager and Associate Manager
- Present/ facilitate at Independent End-point Assessor training and standardisation sessions
- Develop online training materials, as requested

3. Recruitment, selection and training

Support the Quality Assurance & Improvement team with the recruitment, selection and training of new Independent End-point Assessors

Measures:

- Support the Quality Assurance & Improvement team with the recruitment, selection and training of new Independent End-point Assessors
- Vett application forms and confirm outcomes with the Quality Assurance & Improvement team as requested
- Mentor and support Independent End-point Assessors during End-point Assessments
- Support the Quality Assurance and Improvement team with the Independent End- point Assessor annual review process
- Confirm occupational competencies and CPD of Independent End- point Assessors

4. Trends and issues

Produce a Lead Independent End-point Assessor report for the Quality Assurance & Improvement team, reporting on trends and issues identified by Independent End- point Assessors, End-point Assessment customers and sampling. Produce a report to provide support and recommendations for customers

Measures:

Coordinate intelligence from Independent End-point Assessors, End-point Assessment customers and IEPA sampling to report on:

- Independent End- point Assessor performance, including best practice and Apprenticeship Standard information
- End- point assessment trends, training and issues
- Marketing data, business opportunities and/ or threats, competitor activity
- Risk notification
- Areas of good performance and areas for development
- Recommendations and advice for customers

5. Technical advice and guidance

Provide advice and guidance to the Quality Assurance & Improvement team, Product team, Qualification Assessment & Development team and the End- point Assessment tea

Measures:

- Provide technical, Apprenticeship Standard specific advice
- Respond to phone calls and emails within 2 working days

Please note:

Lead Independent End- point Assessors must not give End-point Assessment customers their contact details to offer advice directly. They must be directed to the End-point Assessment Team

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