**Checklist for Management and Delivery of University Apprenticeships: *Insert Title of HE Award and Apprenticeship***

*The intention of this checklist is* *to identify the arrangements within Schools/course teams and across the University (or with Partners) for key areas in the management and delivery of the apprenticeship programme. Some aspects will be evidenced in the core documentation presented for course approval and for the apprenticeship programme. Other aspects will be covered through School/Course team and/or cross-University or Partner arrangements. For apprenticeships delivered with Academic Partners, relative responsibilities of UW/Partner for each activity should be clearly identified.*

*This checklist should be completed alongside the preparation of course approval documentation requirements as set out in the Apprenticeship Approval Process. The Apprenticeship Programme lead should then review the completed checklist with the Head of Apprenticeships and AQU Officer prior to the approval meeting as part of the internal scrutiny process.*

*You are welcome to add any further areas that should be addressed as appropriate and to identify School/Course Team and/or Cross-University arrangements.*

**NB. UW ESFA and Ofsted templates are available. For support and guidance contact AQU and / or Apprenticeship Office.**

| **Area** | **Evidenced through the course approval/programme documentation**  | **School/Course Team/Cross-University/Partner arrangements****Please identify respective responsibilities (role/title and Department or Partner)?** |
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| 1. **Marketing/Employer Engagement:**
2. Optional module selection if available
3. Delivery model: agreement of any variances.
4. Variances to programme start date
5. Support employer in selection of apprentices
 | APPG ProposalDelivery plan in programme handbookAgreed selection processApprenticeship Specification  | Who is responsible for employer engagement? |
| 1. Arrangements for management of apprentice experience between University( Provider)/employer and completion of ESFA funding paperwork.
 | Recruitment and selection processInterviews and initial needs assessmentIndividual Learning PlanTraining Plan (formerly Commitment Statement) / Employer Apprentice AgreementQuarterly Employer Reviews Regular Tripartite reviews with Apprentice, Employer line manager and UW coach/WBL supervisor or equivalent in employer workplace | HEI (Main) Provider/Employer Contract Outline resources allocated to act as lead for employer engagement / management of contract |
| 1. Staffing arrangements to support apprenticeship delivery in the workplace (on-the-job learning)

(For partner programmes: details of any split delivery) | Course Approval Resource Statement (CAP Form 6/7)Individual Learning Plan Apprentice HandbookEmployer/Mentor Handbook Quarterly Employer Reviews Regular Tripartite reviews with Apprentice, Employer line manager and UW coach/WBL supervisor or equivalent in employer workplaceWorkplace mentor and support for mentor related to programme requirements  | Who will provide support for on-the-job learning and arrangements for storage of apprentice information?Outline resources allocated to carry out employer and tripartite reviews |
| 1. School Quality Assurance arrangements (see Quality Assurance Process for INA, ILP, ILR and associated responsibilities Template)
 | School Quality Assurance Template (APP Form 4)Draft Initial Needs Assessment Draft Training Plan (formerly Commitment Statement) / Individual Learning PlanDraft employer provider agreementCourse Handbook (Moderation) | Who is responsible for Quality Assurance (and consider whether they will need training)?eg role of CL (accountability), HoD (oversight), Quality Co-ordinator, Deputy Head & Quarterly reporting of KPIs and Apprentice Progress Report to SMT. For Programmes where the Partner is the Training Provider and therefore has responsibility for quality assurance of these activities template APP 4 will not need to be completed but should be discussed with the partner to ascertain equivalent arrangements at the partner and identify any implications for the delivery of the University award by UW staff (where applicable).  |
| 1. Apprentice admissions, including:
* arrangements with employers
* for RPL and protocol for non-standard entry.
 | Programme SpecificationApprenticeship SpecificationTraining Plan (formerly Commitment Statement) / Individual Learning PlanCommunication with Admissions / Registry to advise expected start datesCheck UW/Employer website | Outline resources allocated to act as lead for employer engagement and if applicable, due to RPL, fees negotiationOutline resources allocated to complete interviews, initial needs assessments, completion of ESFA funding paperwork |
| 1. Apprentice induction
 | Briefing Paper/Course Approval AgendaConsider how induction will include Prevent, Data Protection, Safeguarding, Health and Safety, Equality and Diversity | Who will be responsible to design and deliver apprentice induction programme |
| 1. Assessment Arrangements

(NB may include ‘on-the-job’ assessment):* Setting assessments and moderation of assessments
* Arrangements for assessment submission
* Arrangements for marking of student assessments
 | Course HandbookEmployer/Mentor HandbookTripartite reviews with Apprentice, Employer line manager and UW coach/WBL supervisor or equivalent in employer workplace | Who will be responsible to liaise with the employer to ensure the workplace and the apprentices job role enables appropriate opportunities for work place learning to take place that reflect KSB’s of the apprenticeship standard?Does the sequencing of learning meet with employer requirements? |
| 1. Management and liaison regarding curriculum delivery: e.g if multi-site delivery need arrangements for management of standardisation/moderation to ensure assessment decisions are consistent and comparable
 | Course approval agenda Course Handbook  | Who is managing curriculum delivery and partner standardisation/moderation arrangements? |
| 1. Arrangements for Examination Boards:
* planning for non-standard and/or multiple entry points, multiple cohorts
* timing of award boards relating to EPA
 | Course Handbook Process for Managing EPA as annex to Apprenticeship Specification | School arrangements in liaison with Registry Officers Outline the Exam Board arrangements for where EPA is integrated with degree assessment? |
| 1. Appointment and liaison with External Examiner
 | Course Handbook  | School arrangements in liaison with AQU, including arrangements where EPA is integrated. |
| 1. Assuring the quality of feedback to apprentices on their assessment (on- and off-the-job learning).
 | Training Plan (formerly Commitment Statement) Course HandbookFormative FeedbackIndividual Learning Plan  | Tripartite Apprentice Review meetings with University (HEI/main provider), employer and apprenticeHow will this be assured across the course team and across Partners? |
| 1. Arrangements for personal academic tutoring (or equivalent)
 | Course Handbook Training Plan (formerly Commitment Statement) / Individual Learning Plan | Tripartite Apprentice Review meetings with University (HEI/main provider) and apprenticeHow will this be assured across the course team and across Partners? |
| 1. Access to Learning Resources (NB on- and off-the-job)
 | Resource StatementCourse Handbook  | Tripartite Apprentice Review meetings with HEI (main provider), employer and apprentice.Licensing arrangements with Partners to ensure access available.Training with Partners to ensure colleagues familiar with systems. |
| 1. Arrangements for student:staff liaison committees, course representatives.
 | Course Handbook | Agenda for CMC to include employer feedback Where applicable, outline arrangements across Partners |
| 1. Arrangements for Module Evaluation, NSS,CES and School Self Assessment Report,
 | Course Handbook | Who will be responsible for apprenticeship data analysis; contributing to Schools Self Assessment Report? |
| 1. Arrangements for Ofsted and ESFA management
 | Resource Statement | Outline who is responsible for Ofsted and ESFA management – include nominee to attend UW Apprenticeship Programme Sub Committee  |
| 1. Apprenticeship Contracts:
2. Employer/UW contract
3. Three-way Training Plan (formerly Commitment Statement) between employer, main provider/UW and apprentice.
4. Learner declaration including adherence to Terms and Conditions, UW Regulations (TCRF).
5. Check Apprentice-Employer Agreement in place
 | Training Plan (formerly Commitment Statement), Employer/UW Contract and Apprentice/Employer Agreement  | Who is managing, signing documents prior to commencement of apprenticeship? |
| 1. Management and liaison with PSRB and additional accreditation/certification (if applicable)
 | Course Approval Agenda | What are the School/College arrangements? |
| 1. Careers and employability: guidance and advice
 | Programme Specification  | What are the School arrangements? How will this be included throughout the lifetime of the apprenticeship programme |
| 1. **Employer relationship:**
2. Regular apprenticeship performance reviews with Apprentice’s mentor and/or Assessor, more formal quarterly reviews with stakeholders (tripartite) and formal annual review with the employer re: apprentice’s progress (including how UW will be involved)
3. Liaison with employers eg. mentor support and apprentice development plans
 | ESFA Funding Paperwork Employer/Mentor Handbook | What are the School arrangements to ensure documents / reviews are up to date to reflect any changes in circumstances / progress made?What are the School arrangements to ensure Ofsted requirements are being met e.g. stretch and challenge?Who will be responsible to keep employer informed of their apprentice’s progress?  |
| 1. Monitoring student attendance and engagement (for both on- and off-the-job learning)
 | Course HandbookTraining Plan (formerly Commitment Statement) Registration / attendance evidence | What are the School arrangements to inform the employer of non attendance |
| 1. Oversight of work-based activities and experiences including how work-based mentors are supported.
 | Employer/Mentor HandbookEmployer Reviews in employer workplaceTripartite reviews with Apprentice, Employer line manager and UW coach/WBL supervisor or equivalent in employer workplace | How will the School ensure the workplace and the apprentice job role enables appropriate opportunities for work place learning in order for the apprentice to complete the programme and achieve competence in KSB’sHow will the School monitor and approve ‘off the job training’ requirement? |
| 1. **EPA Gateway process/requirements**: including supporting apprentice in development towards their EPA Assessment activities/criteria in the Apprenticeship Standard Assessment Plan
 | Apprenticeship Specification, including Annex outlining Process for Managing EPAAssessment Strategy and Mapping to the Assessment PlanArrangements for Employer approval / confirmation to progress to EPA | Who will be responsible to manage the Gateway process?Who will be responsible for the administration of the Gateway process? |
| 1. **Gateway to EPA:** Ensure that apprentices have met additional requirements, e.g. Maths, English & ICT requirements.
 | Individual Learner Review tracker of progressGateway approval process (in Course Handbook)Identify EPAO who will deliver EPA before commencement/at start of apprenticeship programme ESFA Compliance Tracker  | Who is sub-contracted to deliver English and Maths? Who is responsible to collate evidence to meet ESFA requirements and complete/monitor the ESFA Compliance Tracker for each apprentice recruitment cycle? |
| 1. **Gateway to EPA:** Awarding of HE Award (e.g. FD, Degree)
 | Liaison with Registry Services in management of UW Examination Boards | Who will inform/manage relationship with EPAO?For integrated EPA, who will manage Exam Board requirements?  |
| 1. **Management of End-point assessment (EPA) Process (NB this may differ depending on whether integrated or non-integrated EPA):**
2. assessment plan
3. liaison with EPAO and employer,
4. planning for/booking EPA
5. supporting apprentice in preparing for assessment plan requirements
6. recording of completion and success (and grading) of EPA and achievement of Apprenticeship
7. UW Procurement Requirements (if applicable)
 | Resource StatementEPAO contract | Who will manage relationship with Employer to agree EPAO provider?Who will manage relationship with EPAO provider?Who is responsible to collate evidence to meet ESFA requirements and complete/monitor the ESFA Compliance Tracker for each apprentice EPA cycle? |
| 1. **ILR (Individualised Learning Record)** Confirm awareness and requirement for the management of data required to (ESFA and HESA process):
2. complete ILR for each apprentice
3. monthly returns
4. annual return
 | ESFA Compliance Tracker | Who will manage, monitor and administer ESFA Compliance Tracker?Who will update DMU/Registry of changes in circumstances e.g. break in learning, withdraw? |
| 1. **School Lead for the Management of ESFA Performance Management and Funding Rules and Ofsted requirements** and retaining evidence, includes maintaining consistency between employer and main provider records in the digital account apprenticeship service
 | ESFA Compliance Tracker  | Who is responsible for working with the Apprenticeship Office and AQU in meeting and evidencing ESFA and Ofsted requirements?  |