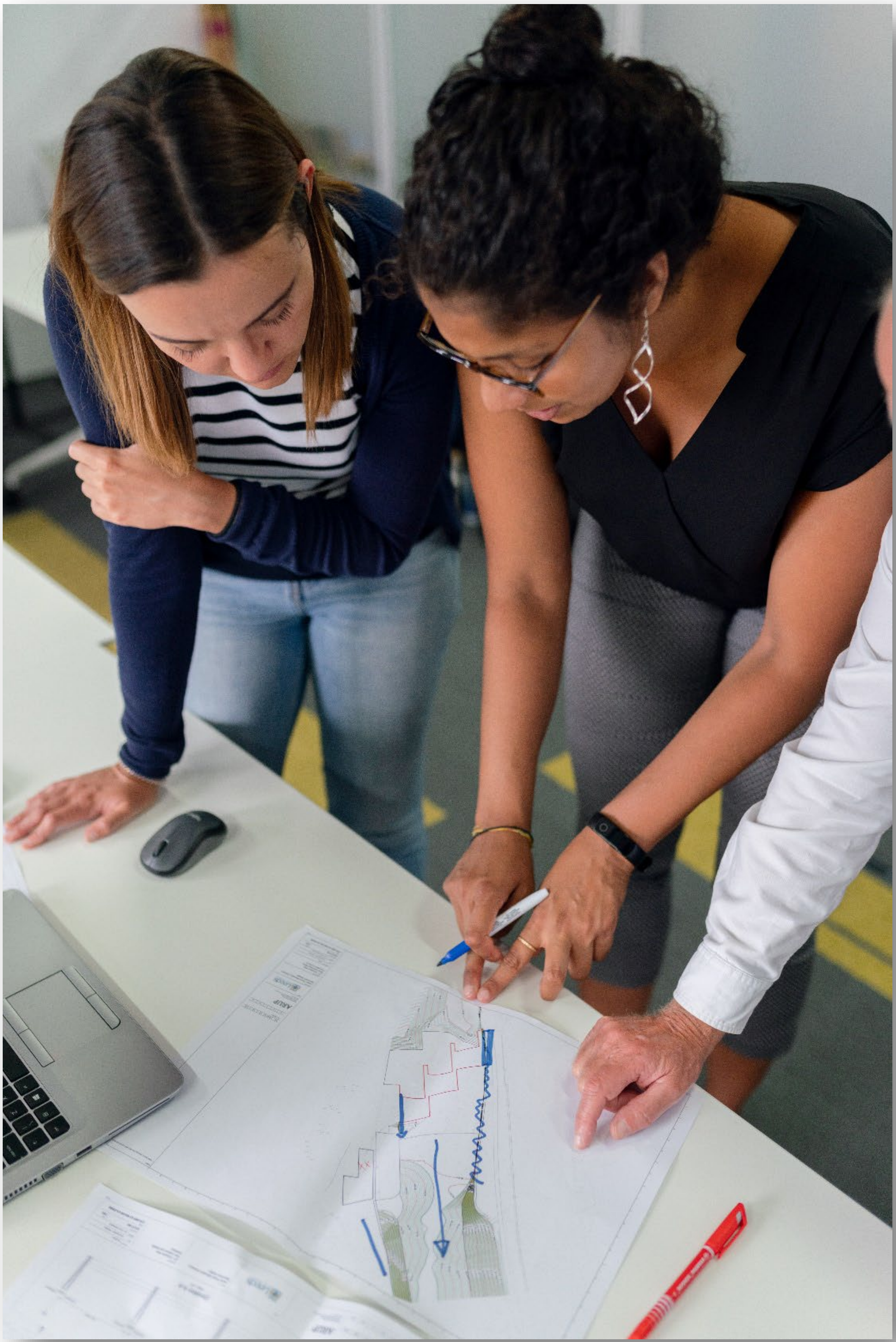
End-Point Assessment Guidance and Specification for Team Leader or Supervisor ST0384/AP03 Level 3



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Overview

The end-point assessment in this specification relates to the Team Leader or Supervisor ST0384 Apprenticeship version AP03. The apprenticeship is at Level 3 and is for apprentices working in the role of a supervisor, team leader, project officer, shift supervisor, foreperson or shift manager, or equivalent. It is applicable to professional team leaders, first line managers and supervisors from all sectors – the private, public or third sector – and all sizes of organisation.

The role of a team leader or supervisor is to take responsibility for managing a team or discrete project. They can support, manage and develop team members, manage projects, and plan and monitor workloads and resources. They can take responsibility for delivering operational plans, resolving problems, and building relationships. The standard and supporting assessment plan, requires the apprentice to have a team, the team can be a project team or virtual team and neither the standards nor the assessment plan dictate the size of the team.

The Team Leader or Supervisor Apprenticeship has been designed to provide access to development opportunities for as wide a range of individuals as possible. This includes individuals who are at the start of their career in leadership and management and who want to take their first steps into professional management and more senior management roles.

It is also appropriate for those already in management roles who may have developed practical experience but want to develop their theoretical understanding of management skills, to improve their knowledge, skills and behaviours in leadership and management functions.

The typical duration for this apprenticeship is 12-18 months but this will depend on apprentices' previous experience and their access to opportunities to gain the full range of competences. The minimum duration of training for any apprenticeship is 366 days, before entering end-point assessment.

To achieve the apprenticeship certificate, apprentices are required to successfully complete their on-programme period of learning and development and the end-point assessment. The purpose of the end-point assessment is to confirm that apprentices have met the required level of knowledge, skills and behavioural standards set by employers.

The overall apprenticeship is graded as pass/distinction.

To achieve the apprenticeship certificate, apprentices are required to successfully complete the:

- On-programme period of training and development, including achieving the required Level 2 mathematics and English qualifications.
- End-point assessment (EPA) - all components, within the assessment window.

The certificate for the apprenticeship is awarded by the Institute for Apprentices and Technical Education (IfATE), through a process administered by the Education and Skills Funding Agency (ESFA).

As the end-point assessment organisation, Professional Assessment Ltd will claim for the certificate on behalf of the apprentices. Certificates are sent to the nominated employer and it is the employer's responsibility to ensure the apprentice receives the certificate.

The standards and accompanying assessment plan can be accessed via the Institute for Apprenticeships and Technical Education

Standard Title	Team Leader or Supervisor
Level	3
Standard Number	ST0384/AP03
LARS Number	105
Named EQA organisation	External quality assurance for the Team Leader or Supervisor apprenticeship will be undertaken by Ofqual.
Duration of Apprenticeship	Typically 12-18 months but the actual length of the apprenticeship will be decided by the employer. Within this are contained the development of the knowledge, skills and behaviours required to do the role, any on-programme assessment that the employer chooses to do, the gateway and the end-point assessment.
Duration of End-Point Assessment	4 months.
Date the Assessment Plan scheduled is for review	This standard should be reviewed within 3 years of its approval date.
Mandatory Qualifications within the Standard	To meet the apprenticeship standards, apprentices must achieve a minimum of Level 2 Maths and Level 2 English. There are no mandatory professional qualifications within this apprenticeship. Employers can include optional qualifications if they wish to do so.
End-Point Assessment Methods	The end-point assessment is designed to test the apprentice throughout the entire standard, the assessment methods used to achieve this are as follows: ➢ Presentation with questions and answers. ➢ Professional discussion underpinned by a portfolio of evidence.

Introduction

This handbook contains the relevant information and guidance required of apprentices to achieve the EPA for the Team Leader or Supervisor AP03 Apprenticeship and should be used in conjunction with the Team Leader or Supervisor ST0384/AP03 Padlet[1] – Assessment Information for Apprentices, Training Providers and Employers.

The overarching aim of the end-point assessment is to ensure that the apprentice meets the standard set out by employers of the relevant sector and that they are fully competent within their job roles. An apprentice must successfully complete all the EPA components to receive the apprenticeship certificate.

[1] A Padlet is an on-line wiki-based resource, made available to all PAL clients. Resources are updated centrally, so the latest information can be accessed via the Padlet

References to third-party material made in this specification are made in good faith. Professional Assessment Ltd does not endorse, approve or accept responsibility for the content of materials, which may be subject to change, or any opinions expressed therein. (Material may include textbooks, journals, magazines and other publications and websites.)

All information in this specification is correct at time of publication.

Professional Assessment Ltd (PAL) has worked in close collaboration with employers, other assessment organisations and experts from professional bodies and training providers in developing the assessment tools for this end-point assessment. We are grateful to all who have generously shared their time and expertise to help us in the development process.

The end-point assessment (EPA) is a synoptic assessment of the knowledge, skills and behaviours outlined in the apprenticeship standard, which have been learned throughout the apprenticeship programme. The purpose of the end-point assessment is to make sure that the apprentice meets the standard in its entirety

All apprentices must undertake the independent end-point assessment at the end of the on-programme phase of training when their employer, and in some cases their training provider, is satisfied that they have met the 'gateway' criteria to undertake the assessment. Apprentices will not be awarded the apprenticeship certificate until they have successfully completed the end-point assessment.

The end-point assessment can be delivered only by a registered assessment organisation, which must be independent of the employer or any party involved in the delivery of the on-programme phase of the apprenticeship. In this context, independence, means without influence or bias and the assessor assigned is not affiliated to the employer or any training partner involved, and notably the independent assessor has played no part in the training of the apprentice.

All assessment decisions for this standard's end-point assessment must be made by the independent assessment organisation.

PAL has been working closely with occupational experts, employers and training providers in the development of end-point assessment tools to ensure that they are:

- Valid and appropriate to assess occupational competence in the relevant industry and will deliver reliable outcomes.
- Fair to all apprentices and help them to make progress in their lives.
- Manageable for apprentices and the industry, and can be delivered effectively and efficiently in the vocational setting.

Apprenticeship Standard Objective

The overall goal of the end-point assessment is to ensure that the apprentice has met the required level of knowledge, skills and behavioural standards set by employers and approved by the Institute and that they are confident and competent in their role to take on responsibilities to deliver clearly defined business outcomes.

Progression

On completion of the apprenticeship, the apprentice could progress into a more senior role, with management responsibilities.

Following the successful completion of this apprenticeship standard, apprentices may wish to register as associate members with a relevant leadership and management professional bodies such as the ILM[2] or CMI[3] to support career and personal development and progression.

Who is Professional Assessment (PAL)?

Professional Assessment Ltd provides services for training providers to include colleges and employers involved in the delivery of apprenticeships and adult learning. Our offer includes:

- End-point assessment for a wide range of apprenticeship standards. Our dedicated team offers national coverage and has built up extensive experience in administering the latest end-point assessments.
- Compliance and audit services. Our funding compliance team tailor their support to meet your specific needs; from ad-hoc advice and support to full ESFA-style audits.

The link to our website can be located by clicking here.

What is needed prior to end-point assessment?

The employer and training provider must confirm that the apprentice has met the on-programme requirements and the apprentice is ready to undertake the end-point assessment.

The employer and training provider must hold a 'Gateway' review to agree that the apprentice has gained the required level of knowledge, skills and behaviours, along with Functional Skills English and maths at a level 2 (or accepted equivalent) as set by the apprenticeship standard.

To confirm this review has taken place, the employer, training provider and apprentice are required to complete a Gateway Declaration Form, an example of which is included in the Appendix of this handbook[4], alternatively, training providers and employers can use their documentation, with the caveat, that the document must record the information as stipulated on the Professional Assessment Gateway form.

Professional Assessment Ltd also needs evidence of functional skills attainment (or equivalent qualifications). Please check with the EPA team via info@professionalassessment.co.uk if you do not know which qualifications are accepted as suitable alternatives to functional skills. Evidence must be in the form of a certificate.

Professional Assessment will not confirm an EPA booking until the required evidence is submitted. For auditing purposes, the Gateway Declaration Form should either be signed or dated by all parties, or email/DVR confirmation provided that all parties have agreed on readiness.

Ideally, we also ask for the Professional Assessment apprenticeship certificate consent form, apprentice ID form and authentication of evidence form to be completed at the Gateway meeting and submitted. If the three documents are not made available at the gateway review, the independent end-point assessor will collect these documents, as part of the assessment planning process.

If the planning meeting is completed on-line, these documents will need to be shared as part of the assessment planning process and emailed to epasupportservices@professionalassessment.co.uk.

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[2] Institute for Leadership and Management (ILM)
[3] Chartered Management Institute (CMI)
[4] The gateway form may change in design and content based, on revisions to standards- for the latest document please refer to the relevant Padlet, that PAL will have provided Training Providers or can provide directly to employers and apprentices

The recommended approach during the on-programme assessment (month 1-12) to ensure that the apprentice is on track is based on the employer's performance management process with the following key elements:

- Line manager uses the formal performance management process and regular 1:1s to discuss progress in the apprenticeship, provide feedback and guide development.
- Training provider can support this (if required) by ensuring that the requirements of the apprenticeship are reflected in the performance management process and filling any gaps through their work with the apprentice.
- Training provider can also support the apprentice on understanding the learning journey, providing advice and guidance on learning strategies and tools that will support the apprentice's preferred learning style and improve their learning agility.
- Regular check points between the line manager and training provider (aligned with the performance management process) to ensure that the apprentice is on track and agree how any issues will be addressed.
- Apprentices should be strongly encouraged to create a learning record that contains examples of their learning and areas for development/action points as they go through the apprenticeship - this can be used in reviews with the line manager and training provider as well as contributing to the professional discussion as part of the end-point assessment.

The Gateway decision regarding readiness will be taken by the line manager (or appropriate employer) representative and apprentice with input from the training provider.

Language of assessment

All components of the end-point assessment will be conducted in English.

Apprentices may be assessed in British Sign Language where it is permitted for the purpose of reasonable adjustment.

Further information on special considerations and reasonable adjustments can be found in our Special Considerations and Reasonable Adjustments policy.

How is end-point assessment delivered?

The apprentice will be assessed to the apprenticeship standard using two complementary assessment methods, all of which may be completed online. The assessment is synoptic, i.e. takes a view of the overall performance of the apprentice in their job. Each assessment method should directly assess the knowledge, skills and behaviours of the standard.

The assessment activities will be completed by the independent end-point assessor as follows:

- Presentation with questions and answers.
- Professional discussion underpinned by a portfolio of evidence.

There is no mandated assessment sequence, however, it is established practice that the final element of synoptic assessment is the professional discussion. Assessments can be combined, so it is permissible to undertake more than one assessment on one day.

The content and structure of the assessment methods is provided by PAL to ensure consistency across all apprentices. The employer, with the support of the training provider where appropriate, will work with the apprentice to agree how the apprentice goes about completing the components of the end-point assessment and will provide guidance along the way as required. The training provider will ensure that the evidence presented for end-point assessment meets the assessment plan requirements, but does not have a role in the formal end-point assessment or grade decision.

Each assessment method has equal weighting of 50% each. To achieve a pass overall, the apprentice must meet ALL of the pass criteria, and to achieve a distinction overall, the apprentice must achieve ALL of the distinction criteria.

If any assessment activity is failed it must be retaken. Apprentices cannot achieve the apprenticeship without gaining at least a pass in every assessment activity.

The following chart sets out the sequences of the Gateway meeting and end-point assessment.

Apprentice/Employer/Training Provider		**PAL Assessment**
Apprentice registered with PAL prior to the Gateway review.	⇨	▪ Milestone check-ins will be logged on MIS. ▪ ESFA advised of EPAO. ▪ EPAPro log-in credentials provided. ▪ Access to a range of assessment guidance materials available.
Gateway review held between training provider, employer and apprentice to confirm assessment readiness. Evidence provided that English and Maths requirements have been achieved. A completed portfolio of evidence is a requirement at Gateway.	⇙ ⇩	
PAL contacts employer and apprentice. PAL undertakes assessment planning meeting and agrees assessment schedule.	⇨ ⇙	▪ Declaration received that the apprentice is ready for assessment. ▪ ID and certificate request confirmation confirmed. ▪ Gateway report received. ▪ Assessment plan completed. Dates will be agreed for all methods of assessment to meet with the Team leader or supervisor standard assessment plan and to allow for reasonable resit or retake activities within the assessment window, wherever possible. ▪ Presentation title provided by the EPAO to the apprentice and presentation submission date agreed (the apprentice

has 2 weeks in which to prepare and submit).

Apprentice submits presentation (or provides access to the e-presentation) no later than 2 weeks after receiving the title from the EPAO.

- Presentation reviewed and relevant questions prepared by the EPA. Presentation date agreed (if not previously agreed at the planning meeting). The presentation must take place within 4 weeks of the presentation title being set.

Apprentice undertakes the presentation.

Presentation duration: typically 20 minutes.

Apprentice undertakes the Q&A session related to the presentation.

Q&A duration: typically 30 minutes.

- Presentation and Q&A session completed.
- *Note – the total assessment time for the presentation and Q&A combined is 50 minutes (+10% at the EPA's discretion). A short break of up to 10 minutes can be taken between the presentation and Q&A session.*
- No requirement for third party presence at the presentation.
- Presentation and response to questions assessed. Assessment graded.

- Portfolio reviewed by the EPA and relevant discussion points prepared. Assessment date agreed at the planning meeting.

Apprentice completes the professional discussion.

Professional discussion duration: 60 minutes (+10% at the EPA's discretion).

- No requirement for third party presence at the discussion.
- Discussion completed, responses to questions assessed. Assessment graded.

- Overall grading undertaken - EPA confirms to EPAO grades for all assessment elements and overall grade using grade descriptors and weighting as detailed in the assessment plan.
- IQA undertaken.
- Assessment outcome provided within the assessment window timeframe.

Employer informed of the outcome of end-point assessment via email from epasupportservices@professionalassessment.co.uk. Apprentice and training provider are copied in to the communication.

- Assessment reports will record decisions and grades. If a resit or retake is required, it is important the relevant parties refer to the summary record.
- Assessment decision data collated and used to inform standardisations processes and quality assurance.
- Confirmed assessment outcome provided to the training provider and Apprenticeship service.
- Certificate requested where a pass or higher grade for all aspects of end-point assessment are achieved.
- Data provided to the regulator as necessary.

Who can carry out end-point assessment?

End-point assessors/the end-point assessment organisation for this standard are required to:

- Have excellent knowledge and understanding of the apprenticeship standard.
- Hold a recognised current workplace assessment qualification and Functional Skills at Level 2.
- Have current, relevant occupational expertise and knowledge, at the relevant level of the occupational area(s) they are assessing, which has been gained through 'hands on' experience in the industry to include knowledge of leadership theories and models and project management.
- Practice standardised assessment principles set out by the assessment organisation.
- Have sufficient resources to carry out the role of independent end assessor i.e. time and budget.
- Undertake relevant and effective CPD activity to meet PALs requirements.

All assessors that meet the above criteria are trained and approved by PAL to ensure that they are capable carrying out end-point assessments in a fair and consistent manner to make reliable judgments.

Professional Assessment Ltd will be responsible for all aspects of the end-point assessment for this standard and will review the evidence against the standard to ensure that the full range of skills, knowledge and behaviours have been met; this includes the knowledge test, portfolio-based interview and project presentation.

Internal Quality Assurance Requirements

Professional Assessment Ltd requires all quality assurance staff to hold a recognised internal quality assurance qualification. IQA staffs are subject to the requirements of an end-point assessor as outlined above and must show competence in subject specialist areas to be approved in internal quality assurance. Quality assurers are monitored to undertake Continuous Professional Development, to ensure the currency of their industry specific knowledge and practice.

PAL implements validation and quality assurance policies and processes to ensure that all assessments are robust, fully align with the independent end-point assessment requirements, and are assessed consistently, reliably and fairly by all EPA. Policies can be shared upon request, please contact info@professionalassessment.co.uk. Essential policies are also available via the Padlet and our website.

In accordance with these policies Professional Assessment Ltd will:

- Develop and maintain a set of assessment tools, to be used by all assessors when carrying out assessments.
- Ensure assessors for this standard, meet with the assessment plan competency requirements.
- Train and develop all assessors to ensure reliable and consistent assessment of the team leader or supervisor standard.
- Apply robust quality assurance and verification processes to assessments, e.g. the use of standard formats, moderation and standardisation of marking and assessment decisions
- Apply and follow the appeals and disputes policy and procedure in response to any legitimate appeal or dispute.
- Produce exemplar materials, which can be used to add further clarity and establish guidelines for assessment against the stated criteria of the standard.
- Hold standardisation and moderation activities of assessment process.
- Communicate with third parties any concerns or issues that may impact on assessment activities or outcomes.

External Quality Assurance Requirements

External quality assurance for the Team Leader or Supervisor Apprenticeship is undertaken by Ofqual.

Standardisation and Moderation

All assessors are required to attend standardisation and moderation activities, to ensure the consistency of the assessment approach and to ensure assessment grading is aligned to the relevant assessment plan requirements. Standardisation activities are carried out on an on-going basis such meetings can be in the format of traditional meetings or via hangouts.

IQAs or our independent observation team may accompany assessors carrying out EPA to ensure that the EPA is being administered safely, securely and in line with Professional Assessment guidance.

For further information on quality assurance, standardisation and moderation please see our policies, or contact our quality team via info@professionalassessment.co.uk

Grading

This apprenticeship includes pass and distinction grades with the final grade based on the apprentice's combined performance in each assessment activity.

To achieve a pass overall, the apprentice must achieve a pass in all assessment methods by meeting all of the pass descriptors.

To achieve a distinction overall, the apprentice must achieve a distinction in all assessment methods by meeting all of the distinction descriptors.

Please see **Tables 1 and 2** for pass and distinction descriptors.

Grades from each method of assessment will be combined as follows.

Presentation with questions and answers	Professional discussion underpinned by a portfolio of evidence	Overall grading
Fail	Fail	Fail
Fail	Pass	Fail
Fail	Distinction	Fail
Pass	Fail	Fail
Pass	Pass	Pass
Pass	Distinction	Pass
Distinction	Fail	Fail
Distinction	Pass	Pass
Distinction	Distinction	Distinction

Preparing apprentices for end-point assessment

To ensure that apprentices develop the knowledge, skills and behaviours that underpin occupational competence, it is recommended that they follow a structured programme of training and development. The period of training and development must include a minimum of 20 per cent off-the-job training, away from the day-to-day job. Please refer to ESFA guidance and funding rules regarding the definition of what training interventions are permissible under the ruling and responsibilities for recording and evidencing off-job training activities.

To prepare apprentices effectively, employers and/or training providers should:

- Have a good understanding of the apprenticeship standard and the structure and format of the end-point assessment.
- Plan and implement a learning and development programme based on the apprenticeship standard, with regular reviews of progress and readiness, to ensure apprentices develop the required knowledge, skills and behaviours.
- Use formative assessments and mock assessments to help prepare apprentices for the end-point assessment.

It is recommended, but not required, that the on-programme assessment includes:

- Registration with a relevant professional body to provide access to management resources, wider networks, and CPD activities.
- Regular performance reviews between the apprentice and a senior manager.
- Opportunities given and evidence generated to cover all assessment criteria.
- Feedback from line manager, peers and direct reports (including 180/360-degree feedback or equivalent).

End-point assessment planning and scheduling

Employers and/or training providers[5] must have an agreement in place to conduct end-point assessments with PAL, we regularly check the ESFA portal to review pipeline business and ensure that training providers who wish to work with us, are attached to us, as EPAO for the relevant standard(s).

Apprentices must be registered and booked on to their end-point assessment in sufficient time to allow adequate planning and scheduling of the assessments. PAL encourages communication with all parties, in respect of apprenticeship progress and status and our accounts team will periodically communicate directly with other stakeholders, to seek clarification and updates regarding apprentices' assessment readiness. Once the employer or training provider has confirmed a gateway date, PAL will arrange a planning meeting on receipt and validation of the gateway evidence.

The purpose of the planning meeting is to share information with the end-point assessment organisation, in order to support the assessment process and to agree a plan for the upcoming assessment activities for the apprentices. The independent end-point assessor/PAL representative will agree a plan and schedule for each assessment activity to ensure that all assessment components can be completed within the end-point assessment time. The meeting can be conducted remotely using appropriate technology.

The end-point assessment will be conducted over a period of four months at the end of the apprenticeship. Assessments cannot take place if the apprentice has not served the minimum time in training and we require employers and training providers to check this requirement has been met, before submitting gateway evidence.

Reassessment

PAL's resit and retake policy will apply in the event of reassessments and we will discuss arrangements for such activities with all concerned parties.

Re-assessments do incur a charge. All fees are detailed in PAL's pricing policy and outlined in the contracting process.

Reassessments wherever possible will be carried out by the original assessor, but if this is not possible PAL reserves the right to assign a different assessor.

Resits and Retakes

Apprentices who fail one or more assessment methods will be offered the opportunity to take a resit or a retake. A resit does not require further learning, whereas a retake does. Apprentices should have a supportive action plan to prepare for a resit or a retake. The apprentice's employer will need to agree with the EPAO that either a resit or retake is an appropriate course of action.

An apprentice who fails an assessment method, and therefore the EPA in the first instance, will be required to resit or retake any failed assessment method only.

Any assessment method resit or retake must be taken within 3 months of the fail notification, otherwise the entire EPA must be taken again, unless in the opinion of the EPAO exceptional circumstances apply outside the control of the apprentice or their employer.

Resits and retakes are not offered to apprentices wishing to move from pass to distinction.

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[5] Note PAL endeavours to have agreements with both employers and training providers, to ensure all parties are aware of our service offer and role in the apprenticeship journey.

Re-assessment requirements for each component

For ***Component 1*** – presentation with questions and answers: if the apprentice's evidence does not meet the requirements to achieve the pass descriptors for the presentation and questions and answers in their first assessment attempt, they may submit additional evidence and commentary for the skills areas that initially failed and a further presentation and question and answer assessment will be carried out.

For ***Component 2*** – professional discussion: if the apprentice's evidence does not meet the requirements to achieve the pass descriptors for the professional discussion in their first assessment attempt, a further full discussion assessment of the apprentice will be carried out.

Capping

Where any assessment method has to be resat or retaken, the apprentice will be awarded a maximum EPA grade of pass, unless the EPAO determines there are exceptional circumstances requiring a resit or retake.

Booking Reassessments

The timescale for any reassessment will be agreed on a case-by-case basis, with PAL. As part of that agreement, any reassessments must not provide an apprentice with an unfair advantage over others.

Portfolio of Evidence

A completed portfolio of evidence is required to be submitted to the EPAO as part of the Gateway review.

The portfolio **is not directly assessed** as part of end-point assessment, it provides a structure for the professional discussion.

The end-point assessor will review the portfolio evidence and use it to identity areas for the professional discussion, and it is the discussion that will assess the apprentice's understanding and learning.

The portfolio should be produced over a period from the commencement of the apprenticeship, showcasing competence by the apprentice having first learned and applied the knowledge, skills and behaviours set out in the standard. It is of paramount importance that all the work submitted in the portfolio has been generated by the apprentice or relates directly to the named apprentice. The end-point assessor and the EPAO will undertake authenticity checks regarding portfolio evidence as part of the professional discussion assessment.

How can a team leader or supervisor prepare for and complete the portfolio of evidence?

The employer and training provider will assist the apprentice in producing their portfolio to ensure that it covers all standards outlined in the assessment plan for professional discussion method of assessment.

Please refer to Appendix 2 – assessment method 2, for the knowledge, skills and behaviours required to be evidenced in the portfolio.

The portfolio **must contain**:

- A mapping document which clearly shows how the evidence is mapped against the relevant knowledge, skills and behaviours that will be assessed by the professional discussion (PAL has provided a mapping document - please see the Team Leader or Supervisor AP03 Padlet).
- There must be at least one piece of mapped evidence relating to each knowledge, skill and behaviour (see appendix 2 – assessment method 2). Each piece of evidence can be referenced against more than one knowledge, skill or behavioural requirement.
- A statement to confirm that the evidence provided is valid and attributable to the apprentice from the employer.

Please note - PAL will not accept a portfolio of evidence submitted without a completed mapping document and an employer statement of validity.

The portfolio **cannot contain:**

- Reflective accounts by the apprentice.
- Any methods of self-assessment by the apprentice.

The portfolio **may contain** the following items as evidence:

- Written statements by the apprentice.
- Reports created by the apprentice or evidence of reports the apprentice uses to support their team leader or supervisor function such as project plans, reports, minutes of meetings.
- Presentations delivered by the apprentice in briefings, training sessions, client meetings or in-house meetings.
- Performance reviews between the apprentice and their line manager.
- Observations of performance, documented by the training provider or employer.
- Ongoing professional discussions between the apprentice and their training provider that relate to work, projects and assignments undertaken by the apprentice throughout their programme.
- Projects and reports, set by the apprentice's organisation, where the apprentice has been highly involved in the innovation of service/products or supported continuous improvement or the introduction of new processes, procedures and policies.
- Client or customer feedback and/or witness testimonies that endorse the work of the apprentice.
- Feedback from the line manager, direct reports and peers, appraisals, performance reviews.
- CPD log or personal development plan.

This is not a definitive list; other evidence sources are allowable.

A portfolio of evidence will typically comprise of 20 pieces of evidence.

It is not required that the apprentice has evidence in all the described formats. However, the apprentice and employer in conjunction with their training provider are advised to apply the following guidelines:

- Confirm that the portfolio evidence maps to the criteria as defined in Appendix 2 – assessment method 2.
- All evidence to be completed to the highest standard achievable by the apprentice to showcase the apprentice's skills, knowledge and behaviours and ensure sufficient examples provided.
- Evidence to contain annotation and description of the behaviours, skills and competence shown by the apprentice.
- Information to be correctly cited where research has been utilised.
- Portfolio to include feedback and testimonies from relevant stakeholders to confirm apprentice competence and show how they have acted on feedback and developed throughout their apprenticeship programme.
- Any employer contributions should focus only direct observation of evidence (for example witness statements) rather than opinions.

The format and structure of the portfolio must be agreed between the employer and apprentice, and ideally will be presented electronically.

Assessment Methods

All end-point assessments should take place within the apprentice's usual working hours and will be planned by the PAL representative with the apprentice and line manager at the planning meeting to comply with the assessment plan and business requirements.

Assessment decisions will not be communicated by the independent end-point assessor straight away, they will document and record their assessment decisions. These decisions are then shared for internal quality assurance checks prior to being communicated to the apprentice, employer and training provider. The assessments are, in part, inter-dependent, so a final assessment decision cannot be made until all elements of assessment have been completed. Employers can access a record of assessment by accessing EPAPro (POL). User guides are available for training providers and employers that detail how reports can be viewed.

Presentation with questions and answers

Key Facts about the presentation with questions and answers

The presentation will allow the apprentice to demonstrate their knowledge, skills and behaviours relating to the method of assessment (see Table 1) and will allow the end-point assessor to draw these through their questions.

The key knowledge, skills and behaviours assessed by this method are from the following groups:

- Team building and development.
- Communication.
- Organisational culture and strategy.
- Problem solving.
- Data analysis.

The presentation assessment duration is typically 20 minutes.

The question and answer assessment duration is typically 30 minutes.

The total assessment time for the presentation and Q&A combined is 50 minutes (+10% at the EPA's discretion). A short break of up to 10 minutes can be taken between the presentation and Q&A session.

The assessment carries a 50% weighting of the overall assessment.

The sequence of the presentation and question and answer assessment is as follows:

The apprentice will be given the title of their presentation post-Gateway, typically as part of the planning meeting, by the EPAO

→ The apprentice has a maximum of 2 weeks to prepare and submit their presentation to the EPAO.

→ Once received, the end-point assessor will use the evidence to identify and prepare appropriate questions relevant to the presentation.

→ The presentation will take place on the date agreed - typically at the planning meeting. This must be within 4 weeks of the presentation title being set by the EPAO.

What is the format of the presentation?

The presentation will be based on one of the following topics. The choice is decided by the EPAO, and the apprentice will be notified post Gateway, typically at the planning meeting:

- Reviewing ways to reduce cost and increase efficiency in a business environment.
- Implementing a performance management process within a team or business unit.
- Supporting their team through a period of change within their organisation.
- Managing a difficult situation within their team.

Please note, the EPAO can add further topic areas and will take steps to ensure that the apprentice is given a presentation title which allows them to draw on what they have learnt and experienced during their apprenticeship.

The presentation should be structured to cover the following areas:

1. Identification of the topic areas being covered within the presentation.
2. Overview of the activities undertaken relating to the topic area and how these related to their role.
3. Results of the chosen activity and lessons learned.
4. What was achieved as a result of the activities?

The presentation should provide a summary of the apprentice's role as a team leader, what their responsibilities are and how these are relevant to their role and the organisation.

How can the presentation be undertaken?

The presentation can be presented to the EPAO either via online video conferencing or face to face. The apprentice can present using whichever medium they wish to use, for example, slides, handouts, or a poster.

To deliver the presentation the apprentice will have access to:

- PowerPoint (or other slide presentation tools).
- Flip chart and writing and drawing materials.
- Video.
- Computer.
- Notes.
- Any other requirements as notified to the EPOA on submission of the presentation.

It is the responsibility of the apprentice, employer, training provider and EPAO to ensure accessibility where required.

The presentation must be undertaken in a controlled environment (a quiet area, free from distractions and influence) and the apprentice will present on a one-to-one basis to the end-point assessor. An employer representative is not required to be present.

Where the assessment is conducted using technology, fair assessment conditions must be maintained. Acceptable means of remote assessment include video conferencing/video calling and must include a two way visual and audio link. The video call will be recorded and submitted by the independent Assessor for internal quality assurance.

Where the assessment is completed face to face, the independent assessor should complete a digital recording[6] of the presentation.

How can a team leader or supervisor prepare for the presentation?

- Structure their project content into introduction/scope, main body headings, and conclusions/reflection.
- Practice in front of an audience.
- Complete a mock presentation assessment with feedback from their training provider.
- Check that the presentation is sufficient to meet the topic and criteria for assessment. Does it present useful work-based examples of evidence?
- Proof read written work to check for errors and mistakes, as well as for a 'sense check'. Is appropriate language used? Is correct terminology used?
- Ensure that, if technology is being used to present, that it is available and they are competent in its use.

PAL will use plagiarism software to check the authenticity of work.

What is the format of the Questions and Answers?

The presentation will be followed by a question and answer session with the end-point assessor to enable a discussion of the topic in more depth, and to further draw out the apprentice's ability to demonstrate how they have met the knowledge, skills and behaviours and grading criteria for the method of assessment.

There will be a minimum of 5 questions and follow up questions are allowed to seek clarification. There will be at least one question from each of the following knowledge, skills and behaviours groups:

- Team building and development
- Communication
- Organisational culture and strategy
- Problem solving
- Data analysis

The apprentice is allowed to refer to their presentation/notes when answering the questions.

[6] Note in exceptional cases, PAL may allow an apprentice to be exempt from a digitally professional discussion, a written record would still be required. Any exemption would need to be agreed at the assessment planning meeting and be subject to PAL's special considerations and reasonable adjustment policy

How will the presentation with questions and answers be graded?

To achieve a pass, the apprentice must achieve ALL of the pass descriptors for this method of assessment through their presentation evidence and responses to the questions asked.

To achieve a distinction, the apprentice must achieve ALL of the distinction descriptors for this method of assessment through their presentation evidence and responses to the questions asked.

Please see Table 1 for the pass and distinction descriptors for this method of assessment.

TABLE 1

	Pass – the apprentice must meet all of the pass descriptors below:	**Distinction – the apprentice must meet all of the distinction descriptors below:**
Team Building & Development	• Explain how they use knowledge of leadership styles and facilitation of cross team working, to develop their team and individuals and improve performance and how this helps them to drive their teams to meet their objectives. (K1.1, K3.2, B1.1) • Demonstrates how they support the development of the team and manage change to deliver organisational objectives, through coaching, role modelling and the use of resources and prioritising work allocation. (S1.2, S5.3) • Adapt their approach where required, to accommodate specific needs of individual team members. (S1.2)	• Analyse the effectiveness of appropriate academic theories and models and incorporates them appropriately in their approach to leadership and team building. (K1.1, S1.2)
Communication	• Select appropriate communication manner and medium to build and manage an effective relationship with customers and adapt their approach to suit their audience. (K4.1, S3.3) • Describes, with examples, how they have chaired meetings, when they have presented to team/management, and how they facilitated the contributions of others. (S4.1) • Explains how to approach challenging conversations, how to raise concerns and how to provide constructive feedback. (K4.2)	• Evaluates how they build rapport with their audience, including customers and how this can be negatively and positively impacted on by the different communication approaches and styles (e.g. verbal, non-verbal, written, visual and digital/electronic). (K4.1, S3.3) • Regulate the flow of conversations in the meetings they lead and compensate for both dominant and quiet voices to be heard equally. (K4.2, S4.1)
Organisational Culture & Strategy	• Explains the importance of an organisational culture, what it is influenced and informed by, and its responsibility to equality, diversity and inclusion. (K1.2) • Describe how an organisational strategy is arrived at, and how both the strategy	• Analyses how culture can affect individuals in different ways and how different cultures can impact on team working and strategy. (K1.2, S5.1) • Explains the impact their communication of operational plans has had on the deliverable actions for their team, and

	Pass – the apprentice must meet all of the pass descriptors below:	Distinction – the apprentice must meet all of the distinction descriptors below:
	and culture are cascaded through an organisation, how they remain flexible in delivering it and how targets are achieved, and outcomes monitored. (B3.1, K5.1, S1.1, S5.1)	the steps they then took to mitigate any adverse effects arising from this communication. (K5.1, B3.1)
Problem Solving	• Applies problem solving and decision making techniques. Explains how they take a positive and adaptive approach to change within their organisation, describing when they have shown accountability for personal and team objectives and resilience in challenging situations and an ability to adapt both their approach and that of their team, to operational change and challenges within their organisation, escalating issues when required. (K10.1, S5.2, S10.1, B1.2) • Presents strategies to implement operational and/or team plans and manage resources. Identifies challenges and responds to feedback from their team and others to positively and proactively make business and delivery decisions, adapting plans and managing change to identify solutions. (K5.2, B3.3) • Explains approaches taken to manage stakeholder and customer relationships which makes reference to emotional intelligence and conflict management techniques. (K3.1, B1.3) • Describes how they work creatively, innovatively and are enterprising when seeking solutions to business needs. (B3.2)	• Analyses the successes and learning points from a period of change their organisation has experienced, and describes how the team leader's role enables their team to clearly understand success criteria. (K3.1, S5.2, B3.2, B3.3)
Data Analysis	• Use data, including collection, management and analysis, to create reports which support their decision making. (K5.3, K10.2, S5.4)	• Evaluates how their analysis and management of either qualitative or quantitative data or different technologies has led, or will lead, to improved quality, efficiency or productivity within their organisation. (K5.3, K10.2, S5.4)

Please refer to Appendix 2 for the specific knowledge (K), skills (S) and behaviours (B) criteria.

Professional Discussion underpinned by a portfolio of evidence

Key facts about the professional discussion

The professional discussion is a meaningful, in-depth, and two-way dialogue designed to draw out the best of the apprentice's competence for the knowledge, skills and behaviours assigned to this method of assessment. The agenda points will act as a base for the apprentice to explore their own practice and experiences to demonstrate occupational competence. The discussion is underpinned by a portfolio of evidence which is reviewed by the EPA to identify areas for the discussion.

The professional discussion is designed to assess the following areas of the Team Leader or Supervisor standard:

- Building a high performance team.
- Project management.
- Organisational governance.
- Managing self.

The professional discussion assessment duration is 60 minutes (+10% at the EPA's discretion).

The assessment carries a 50% weighting of the overall assessment.

The EPA will ask a minimum of 6 open ended, competency-based questions to draw out the best of the apprentice's competence and excellence. Further questions may be asked for clarification purposes and to allow the apprentice the opportunity to cover the knowledge, skills and behaviours mapped to this method of assessment.

The sequence of the presentation and question and answer assessment is as follows:

The apprentice will submit a completed portfolio of evidence to the EPAO as part of the Gateway review

Once received, the end-point assessor will review the evidence to identify and prepare the agenda for the discussion.

The professional discussion will take place - typically the date of assesment is agreed at the planning meeting.

Note - the agenda is not shared in advance of the assessment.

The apprentice and EPA will both have access to their own copies of the apprentice's portfolio of evidence throughout the discussion and both can refer to it as needed.

How can the professional discussion be undertaken?

As with the presentation, the professional discussion can be conducted using a range of media, as appropriate for the apprentice, either via online video conferencing or face to face.

It is the responsibility of the apprentice, employer, training provider and EPAO to ensure accessibility where required.

The professional discussion must be undertaken in a controlled environment (a quiet area, free from distractions and influence) and the apprentice will be assessed on a one-to-one basis to the EPA. An employer representative is not required to be present.

Where the assessment is conducted using technology, fair assessment conditions must be maintained. Acceptable means of remote assessment include video conferencing/video calling and must include a two way visual and audio link. The video call will be recorded and submitted by the independent Assessor for internal quality assurance.

How will the professional discussion be graded?

To achieve a pass, the apprentice must achieve ALL of the pass descriptors for this method of assessment through their professional discussion responses.

To achieve a distinction, the apprentice must achieve ALL of the distinction descriptors for this method of assessment through their professional discussion responses.

Please see Table 2 for the pass and distinction descriptors for this method of assessment.

TABLE 2

	Pass – the apprentice must meet all of the pass descriptors below:	**Distinction – the apprentice must meet all of the distinction descriptors below:**
Building a High Performance Team	• Describes how they developed a high performing and motivated team by setting a fair, consistent and impartial example; setting, monitoring and supporting operational and personal objectives; building trust and using their understanding of team dynamics, management models, emotional intelligence, active listening and learning styles; and leading by example. (K2.1, K8.2, S2.1, S2.2, B4.1) • Describes, with examples, when they have shared good practice with, and provided direction and constructive feedback to, their team (and more widely), including how they actively listened and were fair, consistent and impartial in their approach. (S3.2, S4.2, B2.1) • Explains how they have built trust within and across the team, managed conflict and demonstrated effective influencing and negotiation skills. (S3.1)	• Evaluates motivational practices and their benefits and drawbacks (e.g. recognition, reward, enrichment, consultation) and deploys them in their approach to team building. (K2.1, S2.1) • Evaluates the principles of active listening and their benefits and deploys them appropriately in their approach to team management. (S4.2)
Project Management	• Explains the project lifecycle and how they have employed relevant project management tools to deliver a project	• Evaluates how they have adapted known project management tools and

	Pass – the apprentice must meet all of the pass descriptors below:	Distinction – the apprentice must meet all of the distinction descriptors below:
	against targets, taking effective actions to monitor and manage resources, risks and budget. (K6.1, K6.2, S6.1) • Monitors performance and takes appropriate and timely corrective action as required to support a successful project outcome. (S6.2)	approaches to suit the needs of their organisation. (S6.2)
Organisation Governance	• Explains their application of organisational governance, compliance and performance management techniques to deliver value for money, and monitor budgets to ensure costs do not overrun. (K2.2, K7.1, K7.2, S7.1) • Describes how they operate within their organisation's values. (B4.3)	• Evaluates the importance of organisational governance and compliance from a corporate, legal and budgetary standpoint, and describes how appropriate governance and HR practices can positively impact their team and the wider organisation. (K2.2, S7.1, B4.3)
Managing Self	• Explains what the implications of unconscious bias are, and the approaches they take to promote inclusivity within their workplace. (K8.1) • Describes how they are open and honest in their approach to planning, time management and managing themselves and others, and how they reflect upon, seek and apply feedback on their own performance when creating their personal development plan, and managing their work and performance. (K9.1, S8.1, S9.1, B2.2, B4.2)	• Describes how they have used known management tools and theories to improve to their performance based upon feedback received. (S8.1)

Fails/resits and retakes

PAL's resit and retake policy and pricing policy are available on request. The request can be made by contacting the account management team via email on info@professionalassessment.co.uk.

The apprentice, employer and training provider, will be advised of the outcomes, and our policy works on the specific standard assessment plan's requirements regarding resits and retakes.

Plagiarism

Plagiarism is a specific form of cheating which applies to assignments or other types of written or recorded work completed by apprentices, where the work is meant to have been produced independently and be of their design. Plagiarism is the substantial, unacknowledged incorporation into an apprentice's work of materials derived from published or unpublished work by another person.

PAL takes all incidents of plagiarism seriously, especially those incidents which are a determined and deliberate attempt by the apprentice to gain marks for an assignment/project/report without having done a substantial portion of the work themselves. Copying of work can include work from external published sources, as well as that of other Apprentices and work colleagues.

PAL's plagiarism and cheating policy can be accessed on the Business Administrator Padlet, the PAL website or by request to info@professionalassessment.co.uk

Appeals, complaints, maladministration and malpractice polices - centre/candidate

Where apprentices are unhappy with the results of their end-point assessment, the customer (either the employer or training provider) can enquire about the results. An enquiry means that PAL will invoke its appeals and disputes policy and procedure. Please refer to our latest emails.

To make an appeal, please contact: epaappeals@rofessionalassessment.co.uk

To declare a conflict of interest, please contact: declaration@professionalassessment.co.uk

To report a case of malpractice or maladministration please use one of the following addresses:

- If it relates to the EPAO, please contact: epamalpractice@professionalassessment.co.uk
- If it relates to the apprentice, please contact: apprenticemalpractice@professionalassessment.co.uk
- If it relates to the employer or provider, please contact: eitpmalpractice@professionalassessment.co.uk

Note - access to these emails received under these addresses is restricted to personnel involved in compliance checks.

In the event of an appeal against the grade awarded PAL will carry out a further review of the evidence to confirm or modify the grade in line with their standard procedures.

Maladministration generally refers to a system or administrative mistake or failure, which has the potential or does not affect the assessment process and as such is reportable.

Malpractice is a grave offence and where proven will result in immediate sanctions, disciplinary action and possible dismissal and notification to the regulator, notifying them of the malpractice and action taken. Malpractice is the term applied to any intentional and planned act to alter an assessment or quality assurance decision by changing/removing/not recording accurately or augmenting information.

PAL's maladministration and malpractice policy can be accessed on the Business Administrator Padlet, the PAL website or by request to info@professionalassessment.co.uk

Reasonable adjustments/considerations/adaptations

Where reasonable adjustments have been requested, the end-point assessor at the assessment planning meeting will finalise any such arrangements. Discussions regarding a special consideration request should be made at registration and discussed with the EPA team.

It is the responsibility of the training provider or employer, acting on behalf of the apprentice, to make such requests.

Special considerations in respect of the assessment process will be applied, where it does not provide any fair or unfair advantage to the individual apprentice and subsequent assessment outcome and in line with PAL's policy.

PAL's Special Considerations and Reasonable Adjustment policy is in place to ensure fair access to assessment and can be accessed on the Business Administrator Padlet, the PAL website or by request to info@professionalassessment.co.uk

Certification

PAL will request the apprenticeship certificate for successful end-point assessments using the Apprenticeship service portal. PAL does not certificate the apprenticeship standard, its role is to request the certificate.

PAL will issue the apprentice with a record of achievement. This is not a certificate – it details the results and grades of each individual assessment component.

PAL will provide information and reports to the relevant regulator and funding body, in line with their conditions, and as and when requested. Notification to these bodies includes successful achievements and completion but a fail. Incomplete assessments are recorded.

Certification requests are made by the EPAO and the current process is the certificate is sent to the named employer. Employers must advise the EPAO of any specific location or person the certificate should be sent to, if this information differs from the apprentice's workplace location and employer contact details provider on the EPAO's booking system.

Cancelling or rescinding results - PAL reserves the right to cancel results if malpractice is identified.

Validity, Authenticity, Relevancy, Currency and Sufficiency

The evidence presented must be meet VARCS requirements.

- **Valid** - is the evidence appropriate to demonstrate the particular knowledge, skills and/or behaviours that it is intended to cover?
- **Authentic** - is the evidence proven to be the apprentice's own work; have any work products or witness testimonies been appropriately authenticated?

- **Relevant** - Is the evidence relevant to the particular knowledge, skills and/or behaviours that it is intended to cover and has a clear judgement?
- **Current** - does the evidence relate to the on programme element of the apprenticeship and does it demonstrate current competency?
- **Sufficient** - does the evidence match the level of the apprenticeship standard and is the relevant standard covered in full?

PAL will require all apprentices to sign statements of authenticity etc.

Glossary of Terms

EPA – end-point assessment or end-point assessor.

IEPA- independent end-point assessor, the same as an EPA.

Employer – A representative from the employer, this is usually a direct line manager, head chef or appropriate nominate representative who has supported the apprentice during their apprenticeship.

Gateway meeting – A meeting involving the apprentice, employer and on programme trainer where the readiness for end-point assessment is determined.

Planning meeting – A meeting involving the apprentice, employer and end-point assessor where the end-point assessments are clarified and planned.

End-point assessor – the assessor who will conduct the assessments (EPA).

PAL – Professional Assessment Limited.

IQA - Internal quality assurance/assurer, the department and/or personnel who are responsible for the quality of end-point assessment internally to Professional Assessment.

EQA – External quality assurance/assurer, the independent external body who are responsible to regulate the quality of end-point assessment plans, standards and administration of assessment.

Standardisation/moderation – Activity completed by end-point assessors to support validity and fairness in endpoint assessment decisions.

Special considerations – Any permanent or temporary disability, specific learning needs or medical condition which may require support during end-point assessment.

Reasonable adjustments – Adjustments made to the assessment process in relation to special considerations, which do not provide an unfair advantage to the apprentice, but are designed to reduce any disadvantages within assessment.

Assessment plan – The document produced by the employer group, approved by People 1st (EQA) which documents the requirements of the standard and assessment methods.

Appendix One – Gateway Meeting Record for Team Leader or Supervisor AP03

Guidance notes for Gateway Assessment Meeting

Introduction

Determining the readiness of an apprentice for the independent end assessment phase of their programme is a very important milestone. An internal formal meeting must be held and must include all the relevant people that have responsibility and accountability for the completion of the apprenticeship and on-programme assessor plus the apprentice. Documentation regarding how the apprentice has progressed so far during their programme should be available in this meeting.

Structure of the meeting

The meeting should last for approximately 45 to 60 minutes and after introductions the apprentice should be invited to give a five-minute summary of why they feel they are ready for the next stage of their apprenticeship i.e. the end-point assessment. Their summary should include the highlights and lowlights of their learning and what key lessons they consider they have learnt during their programme.

The next part of the meeting should be focussed on the detail contained within the on 'programme progression documentation' with the on-programme assessor and line manager asking in-depth questions in order to be assured that the apprentice is competent and ready for the final stage of their assessment.

Confirmation will be completed that the portfolio of evidence has been reviewed, that it is sufficient to meet all standards of the assessment plan requirements and is ready in an appropriate format to be submitted to the End-Point Assessment Organisation.

The on-programme assessor should then give their summary of the meeting, followed by a relevant person that has responsibility and accountability for the completion of the apprenticeship/employer representative. The apprentice will be advised when they will have the formal outcome of the meeting (normally verbally from the relevant person that has responsibility and accountability for the completion of the apprenticeship/employer representative). This will be once the on programme assessor and line manager have had time to review and discuss their notes. It is recommended that the feedback is given as soon as practicable after the discussion.

Recording the meeting

The 'Readiness for Independent Assessment Record' must be completed once the on-programme assessor and the relevant person that has responsibility and accountability for the completion of the apprenticeship/employer representative has discussed their views on the progress the apprentice has made. The 'Record' has been designed to ensure all essential information is captured in a standardised format. If there is additional information which the on programme assessor and line manager wish to add supplementary space has been provided. It is important that the 'Record' is not customised.

Team Leader or Supervisor AP03 Gateway Meeting Record

Name of apprentice:		**Contact number:** **Contact email address:**	
Name of line manager (or senior manager):		**Contact number:** **Contact email address:**	
On-programme assessor name:		**Contact number:** **Contact email address:**	
Organisation name and address:		**Meeting date:**	
Training provider name (if applicable)		**Meeting time:**	
Start Date of Apprenticeship:		**End Date of Apprenticeship:**	

Confirmation of functional skills attainment – supporting evidence will be required to be attached and uploaded:

Functional Skill/Equivalent	Date of achievement or APA evidence	Functional skill/Equivalent	Date of achievement or APA evidence
Maths Level 2		**English Level 2**	

Confirmation of the portfolio of evidence completion:

It is a requirement that the apprentice's portfolio of evidence is completed and submitted to the EPAO as part of the gateway.	**Is the portfolio of evidence complete and ready for submission?** **Yes ☐ No ☐** **Is a portfolio mapping document completed in full?** **Yes ☐ No ☐** **Has the employer signed a statement to confirm that the portfolio evidence is valid and attributable to the apprentice?** **Yes ☐ No ☐** **Please note – if any of the answers above are 'No', the Gateway will not be accepted by PAL.**

The Gateway meeting should include:

A factual desk-based summary of work undertaken during apprenticeship (e.g. area(s) of the business worked in, projects undertaken and focus of development).

The apprentice is required to give a verbal review at the start of the meeting (as to why they believe they are ready for the next stage of their apprenticeship i.e. the end-point assessment). The focus is on the content, with the expectation that the delivery will be clear. It is not an assessment of 'presentation skills'.

Please give evidence of the extent to which the apprentice for this meeting was:

Well prepared, informative and professional	

Has the apprentice provided a competent summary to continue with the gateway meeting? YES ☐ NO ☐

If the summary was not competent please detail below where improvements could have been made and indicate next steps:

Competency-based questioning and discussion against the Team Leader or Supervisor Standard AP03

In addition to evidence generated to date, progress made and formative assessment activities, the on-programme assessor should utilise competency based questions at the Gateway meeting to determine assessment readiness with the employer and apprentice.

Examples of evidence to support the apprentice's answers can include but not restricted to: workbooks, observations, performance appraisals, professional discussions, and audits, on job training, off job training, spot checks by managers, mystery customer reports and team meetings/briefings.

A copy of the Standard needs to be available at the meeting. During the meeting additional questions will arise and need, therefore, to be documented in the matrix. The purpose of this discussion is to focus on:

- any areas of the Standard which it is considered are not fully covered in the 'on programme documentation' in order to enable the apprentice to add information
- any areas of the Standard for which evidence is not sufficient or not available
- confirmation/identification of the areas of the Standard the apprentice appears to have excelled in if any

Please use the Team Leader or Supervisor AP03 Gateway Meeting Example Questions Guide provided to support the discussion. Please note, these questions are for guidance, the training organisation and employer can decide upon and produce questions to support their decisions and not all questions have to be included in the discussion.

	Question(s)	Apprentice Response(s)	Comment(s)/Points of Development
Knowledge and Skills			
1. Leading People			
2. Managing People			
3. Building Relationships			
4. Communication			
5. Operational Management			
6. Project Management			
7. Finance			
8. Self-Awareness			
9. Management of Self			
10. Decision Making			

Please note, evidence for the four behaviours (takes responsibility, inclusive, agile and professionalism) should be embedded into the examples provided by the apprentice for knowledge and skills. Additional questions can be asked if required.

Summary

Summarise how the apprentice has prepared for each aspect of the end-point assessment and note if any further support/revision/coaching are required.

Assessment method:	Detail how the apprentice has prepared for end-point assessment:
Presentation with questions and answers	
Professional discussion underpinned by a portfolio of evidence	

Review of the questioning and discussion session

From the discussion and evidence provided above are you satisfied that the apprentice is ready for end-point assessment? Record a summary of your decision of end-point assessment 'readiness' in the boxes provided below:

	On-programme assessor comments:	Line manager comments:
In which areas (if any) has the apprentice demonstrated excellence?		

	On-programme assessor comments:	Line manager comments:
In which areas (if any) has the apprentice more work to do to achieve competence?		
What support could be given to help the apprentice improve?		
What is the target date for completion?		

Any reasonable adjustments required? Please detail below and include any supporting evidence. State N/A if not applicable:

Outcome of meeting

Taking into consideration the summary provided by the apprentice at the start of the meeting and the discussion based on in-depth questioning, is the apprentice ready to progress to independent end assessment?

Yes ☐ **No** ☐

Signature of line manager:	
Signature of on-programme assessor:	

Use this space to record any additional information not recorded elsewhere in this form:

Appendix Two – Mapping of Knowledge, Skills and Behaviours

Assessment method 1: Presentation with questions and answers

Knowledge
K1 Leading People: K1.1 Understand different leadership styles and the benefits of coaching to support people and improve performance. K1.2 Understand organisational cultures, equality, diversity and inclusion.
K3 Building Relationships: K3.1 Understand approaches to customer and stakeholder relationship management, including emotional intelligence and managing conflict. K3.2 Know how to facilitate cross team working to support delivery of organisational objectives.
K4 Communication: K4.1 Understand different forms of communication and their application. K4.2 Know how to chair meetings, hold challenging conversations, provide constructive feedback and understand how to raise concerns.
K5 Operational Management: K5.1 Understand how organisational strategy is developed. K5.2 Know how to implement operational/team plans and manage resources and approaches to managing change within the team. K5.3 Understand data management, and the use of different technologies in business.
K10 Decision Making: K10.1 Understand problem solving and decision-making techniques. K10.2 Understand how to analyse data to support decision making.
Skills
S1 Leading People S1.1 Able to communicate organisation strategy and team purpose and adapt style to suit the audience. S1.2 Support the development of the team and people through coaching, role modelling values and behaviours, and managing change effectively.
S3 Building Relationships S3.3 Building relationships with customers and managing these effectively.
S4 Communication: S4.1 Able to communicate effectively (verbal, written, digital), chair meetings and present to team and management.
S5 Operational Management: S5.1 Able to communicate organisational strategy and deliver against operational plans, translating goals into deliverable actions for the team, and monitoring outcomes. S5.2 Able to adapt to change, identifying challenges and solutions. S5.3 Ability to organise, prioritise and allocate work, and effectively use resources. S5.4 Able to collate and analyse data and create reports.
S10 Decision Making: S10.1 Use of effective problem-solving techniques to make decisions relating to delivery using information from the team and others, and able to escalate issues when required.
Behaviours
B1 Takes responsibility: B1.1 Drive to achieve in all aspects of work. B1.2 Demonstrates resilience and accountability. B1.3 Determination when managing difficult situations.
B3 Agile: B3.1 Flexible to the needs of the organisation.

B3.2 Is creative, innovative, and enterprising when seeking solutions to business needs. B3.3 Positive and adaptable, responds well to feedback and need for change.

Assessment method 2 – Professional discussion underpinned by a portfolio of evidence

Knowledge
K2 Managing People: K2.1 Understand people and team management models, including team dynamics and motivation techniques. K2.2 Understand HR systems and legal requirements, and performance management techniques including setting goals and objectives, conducting appraisals, reviewing performance, absence management, providing constructive feedback, and recognising achievement and good behaviour.
K6 Project Management: K6.1 Understand the project life cycle and roles. K6.2 Know how to deliver a project including: managing resources, identifying risks and issues, using relevant project management tools.
K7 Finance: K7.1 Understand organisational governance and compliance, and how to deliver Value for Money. K7.2 Know how to monitor budgets to ensure efficiencies and that costs do not overrun.
K8 Awareness of Self: K8.1 Know how to be self-aware and understand unconscious bias and inclusivity. K8.2 Understand learning styles, feedback mechanisms and how to use emotional intelligence.
K9 Management of Self: K9.1 Understand time management techniques and tools, and how to prioritise activities and approaches to planning.
Skills
S2 Managing People: S2.1 Able to build a high-performing team by supporting and developing individuals and motivating them to achieve. S2.2 Able to set operational and personal goals and objectives and monitor progress, providing clear guidance and feedback.
S3 Building Relationships: S3.1 Building trust with and across the team, using effective negotiation and influencing skills, and managing any conflicts. S3.2 Able to input to discussions and provide feedback (to team and more widely) and identify and share good practice across teams.
S4 Communication: S4.2 Use of active listening and provision of constructive feedback.
S6 Project Management: S6.1 Able to organise, manage resources and risk, and monitor progress to deliver against the project plan. S6.2 Ability to use relevant project management tools and take corrective action to ensure successful project delivery.
S7 Finance: S7.1 Applying organisational governance and compliance requirements to ensure effective budget controls.
S8 Self-Awareness: S8.1 Able to reflect on own performance, seek feedback, understand why things happen, and make timely changes by applying learning from feedback received.
S9 Management of Self: S9.1 Able to create an effective personal development plan and use time management techniques to manage workload and pressure.

Behaviours
B2 Inclusive: B2.1 Open, approachable, authentic, and able to build trust with others. B2.2 Seeks views of others.
B4 Professionalism: B4.1 Sets an example, and is fair, consistent and impartial. B4.2 Open and honest. B4.3 Operates within organisational values.

Appendix Three - Guidance regarding depth of knowledge

PAL does not specify how the apprenticeship programme should be delivered, however we can provide guidance regarding the depth of knowledge required.

The standard encourages and supports competence in the workplace, however the standard also requires the apprentice to demonstrate a breadth and depth of knowledge and understanding and recognise the wider role within and across sectors, and this is germane for a generic standard such as Team Leader or Supervisor.

The following is offered as a guide and apprentices and training providers can substitute or update theories and concepts as appropriate, with the caveat the apprentice is able to relate practice and theory.

Leadership (Leading People)

It is expected that the team leader or supervisor will understand classic leadership theories- at the descriptive level, with capacity to apply their learning.

Apprentices are expected to know should be able to:

Explain different leadership styles at the level of autocratic, democratic and laissez faire and their strengths and weaknesses. Illustrate with examples, the need to adapt leader ship styles dependent on the situation/scenario or task or team working with.

Discuss the role of coaching in the workplace and relevance to the role of team leader.

State as a minimum one coaching method and how it can be applied to develop and enhance an individual's performance.

Explain what organisational culture is and what influences culture and its impact on the workplace.

Describe what is meant by equality, inclusion and diversity and the importance of these in the workplace and how as a team leader they can support such values and affiliated procedures and legislation.

Depth of knowledge should cover the following:

- How leadership theories and models have developed-from 'great man'/ trait and behavioural theories to situational or distributive leadership.
- The range of leadership theories and models available (Adair- leadership in action; Hersey and Blanchard- situational leadership; Tannenbaum and Schmidt- continuum of leadership from tell autocratic- to free rein, laissez faire; Fiedler - contingency theory).
- Leadership styles that have been proposed (authoritarian, democratic, laissez faire, situational). The strengths and weaknesses of each leadership style.

- How leadership styles can be used to respond effectively to different situations. Aspects that need to be considered when selecting an appropriate leadership style:
    - The type of work.
    - Time and resource constraints.
    - Individual/team style.
    - Organisational culture and environment.
- How coaching can support individuals in the workplace.
- The range of benefits that individual coaching can bring to the workplace (improved performance, empowerment, personal development, engagement).

- Coaching models, from [7]GROW; OSCAR, ARROW, FUEL- note in the majority of cases, GROW will be the model the apprentice is familiar with and this is acceptable.
- The potential and impact on of coaching and the simple differences between coaching, mentoring and training.
- Different types of organisational culture and their key features.
- The factors that contribute to organisational culture including assumptions, values and beliefs.
- How culture can differ between different divisions/structures within same organisation.
- The internal factors which can affect organisational culture including:
    - Organisational structure.
    - Power and control mechanisms.
    - Leadership role models.
    - Values and beliefs.
- The external factors that can affect organisational culture including:
    - Economic.
    - Social.
    - Technological.
    - Legal.
- How an organisation's culture affects individuals in different ways. The implications of different cultures on team working.
- What is meant by equality, diversity and inclusion in a workplace context? How equality, diversity and inclusion differ.
- Codes of practice regarding how to treat people equally in the workplace. Diversity issues that arise in the workplace and how these may be managed. Approaches for creating an inclusive workplace.
- Apprentices must ensure they refer to the latest legislation and what an organisation must do to adhere to this. What workplace behaviour is unlawful?
- The role of the Equalities and Human Rights Commission to protect, enforce and promote equality.
- Actions that may be taken if an organisation does not adhere to relevant legislation at an organisational and individual level.

Management (Managing People)

Apprentices are expected to know should be able to:

Understand people and team management models, to include approaches to people management; the importance of team dynamics and motivational techniques.

Depth of knowledge should cover the following:

- How the requirements of individual people differ from the requirements of teams. Different types of team in the workplace.
- Team management approaches and styles. Requirements for managing individuals within a team.
- The different roles that people bring to a team, and relevant theories/models ([8]Belbin, FIRO, Benne and Sheats). The management/leadership skills required to lead different types of teams. The different roles that individuals undertake within a team.
- The skills of individuals and how these can be used to best effect. How to make individuals effective within the team.
- What team dynamics are?
- How teams develop different dynamics, and the implications for leadership.

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[7] **GROW**- Goals; Reality; Options; Way Forward **OSCAR** Outcome; Situation; Choices/Consequences; Actions; Review **FUEL** Frame conversation, Understand current state, Explore desired state, Lay-out a success plan **ARROW** Aims, Reality, Reality, Reflection, Options, Way forward

[8] Belbin- team types FIRO –Schutz (Affection, Control and Belonging) Benne and Sheats- Group Task Roles : Initiator; Information Seeker; Coordinator Chairperson; Information Giver; Opinion Seeker; Opinion Giver

- The impact that team dynamics can have on leadership and the other people within the team.
- The causes of problems in team dynamics. How team dynamics can be improved.
- Different types of team in the workplace. How teams develop and the implications for leadership. Different requirements of teams.
- The management/leadership skills required to lead different types of teams.
- The range of motivational theories (Maslow's Hierarchy, Herzberg's Two-Factor, Adams Equity, Vroom's Expectancy).
- What motivates individuals in the workplace?
- How to apply motivational techniques in the workplace, based on theory. How to use different approaches at different times.
- The different approaches for motivating teams and individuals
- The legal requirements that must be followed for managing people in line with HR procedures.
- The leader's role in fulfilling these legal requirements.
- The HR systems within an organisation, note at Team Leader level it is expected the apprentice, knows and complies with the organisation's procedures. The HR procedures within an organisation that meet the legal requirements for:
    - Recruitment and selection.
    - Discipline and grievance.
    - Sickness and absence.
    - Harassment and bullying.
    - Relevant workplace examples of the above should be described.
- Performance management techniques and their purpose including:
    - Setting of SMART objectives.
    - How to conduct an individual performance appraisal in line with organisational requirements.
    - The absence management process, and how to follow this in line with organisational requirements.
    - How to ensure performance management processes are conducted fairly and objectively.
    - How to ensure all performance is reviewed using effective, valid and reliable information/data.
    - How to use formal and informal assessment to review performance
    - How to ensure that all processes are two way and involve both parties.
- The communication skills required to ensure that the processes are two way (questioning, active listening).
- Different models of feedback, such as[9] CORBs and the Situation Behaviour Impact (SBI) model, to frame effective feedback. The compliment sandwich should be accepted, but challenged where appropriate, with the flaws of this model.
- How to interpret performance data, and observe workplace activities, to make objective judgements on an individual's performance.
- How to give effective feedback by using good practice guidelines.
- How to use effective open questions and listening skills to ensure feedback is a two-way process.
- How to give feedback that highlights good performance and is not just about improvement.

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[9]CORBS Clear statement- **concise summary** of current situation/scene/situation owned **by the person speaking-** perception and not the absolute truth and should be framed in this fashion **Regular feedback** for performance enhancement should be frequent and regular, little and often tends to drive better results **Balanced-** wherever possible a mixture of positives and negatives **Specific-** based on what seen and heard or strong empirical evidence and not hearsay. SBI **Situation-** describe it **Behaviours**-describe observable behaviours **Impact** how the behaviour made you feel or think- potentially this can be taken, to how others could have felt or thought about a person's behaviour

Building Relationships

Apprentices are expected to know should be able to:

Understand approaches to customer and stakeholder[10] relationship management and describe the:

- The skills required to build and manage business relationships.
- Describe approaches to effectively build and manage customer relationships.
- Describe approaches to effectively build and manage stakeholder relationships.
- Explain the benefits and challenges of cross team working.
- Describe how to build relationships across teams to achieve organisational objectives.
- Define emotional intelligence.
- Explain the importance of emotional intelligence in the workplace.
- Explain the importance of conflict management.
- Describe a range of conflict management models.

Depth of knowledge should cover the following:

- Gather information about the parties involved to understand their perspective and priorities.
- Establish trust and rapport.
- Effectively adapt communication methods and style.
- Set and manage expectations.
- Maintain engagement.
- Influence decision-making.
- Create and maintain records of interactions.
- How to communicate with customers to identify their needs and wants.
- How to use questioning, listening and acknowledging techniques to demonstrate understanding of the customer, leading to an improved relationship.
- How to negotiate and influence customers to achieve win/win situations using appropriate strategy, tactics and behaviours.
- How to maintain records of customer interactions for future relationship management. How customer relationship management differs from customer service.
- How to identify stakeholders and determine their interests, expectations and influence using relevant techniques (e.g. stakeholder analysis/mapping).
- How to communicate with stakeholders to meet their expectations (e.g. as identified from the stakeholder analysis/mapping).
- How to negotiate and influence stakeholders to achieve win/win situations, using appropriate strategy, tactics and behaviour.
- How to maintain records of stakeholder interactions for future relationship management.
- How stakeholder relationship management differs from customer relationship management.
- How cross-functional teams work together to reach an organisational goal or objective. The benefits of cross team working (diversity, broaden the range of skills, build team spirit, empowering people).
- The challenges of cross team working (conflict, practical management difficulties, lack of shared understanding, increased stress and anxiety).
- The key relationships that facilitate cross team working.
- How to reach consensus regarding how different teams will work together (formal/informal communication structures, relevant organisational processes, guidelines for highlighting issues).
- How to communicate with all team members to develop shared purpose and goals for the achievement of organisational objectives. The communication methods/media available and know how to select the most effective method/media (rather than the easiest).

[10] Apprentices will need to define who their stakeholders are- this might be evident in job descriptions, operational briefs. If not available in these formats, the portfolio/CBI should draw this information out.

- How to empower individuals and teams to achieve cross team goals.
- What is meant by emotional intelligence in the workplace, using a relevant theory (Goleman, Salovey and Mayer, Petrides and Furnham)
- How managing own emotions can assist in building effective working relationships.
- How emotional intelligence theories can enhance working relationships ([11]Goleman, Salovey and Mayer, Petrides and Furnham). Note at this level it is only required that the apprentice is familiar with the concept of EQ and ideally one theorist- the focus here is what they know and how they apply EQ, as opposed to following the remit of a specific concept. Apprentices that can relate actions to several concepts, are likely to be working at the higher grades.
- The characteristics of emotional intelligence, and how these can benefit working relationships.
- The potential impact of not demonstrating emotional intelligence in interactions with different stakeholders.
- How to recognise conflicts as they arise to limit negative impact(s) and increase the positive aspects.
- The role that effective on-going conflict management can play in building long term relationships.
- The impact that conflicts may have when they are ignored, or are poorly managed.
- Conflict management models and styles ([12]Thomas-Kilmann, Problem Solving Cycles, Interest-Based Relational Approach, and Lederach).

Communication

Apprentices are expected to know should be able to:

- Understand different forms of communication and their application, notably the differences between face-to-face meetings; use of e-mails and webinars- real-time/face-time communication.
- Compare different forms of communication including their strengths and weaknesses, within the context of the work environment.
- Explain when and why each form of communication can be most effectively used.
- Know how to chair a meeting (area that can be under looked and assessments need to validate this aspect of understanding.
- Understand how to manage challenging conversation.

Depth of knowledge should cover the following:

- The different forms of communication that can be used, including verbal, non-verbal, written, visual and digital/electronic.
- How the types of communication differ from each other, including examples of each. How formal and informal communication relates to the different types.
- How [13]synchronous and asynchronous communication can be applied effectively. The potential strengths of each type of communication.
- The potential weaknesses of the different forms of communication.
- How to choose an appropriate communication form according to the situation. The reasons for choosing each communication form.
- How each communication form can increase the effectiveness of communication?
- How to communicate the same message using different forms of communication, to meet the needs of different audiences.
- The potential impact(s) of using the wrong type of communication.

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[11] **Goleman** Self-awareness; Social awareness; Self- Management; Relationship Management **Salovey and Mayer** Understanding emotions, Using emotions, Perceiving emotions, Managing emotions **Petrides and Furnham-**EQ in a global context; well-being; self-control; sociability and emotionality- focus on traits

[12] **Kilmann** balance between assertiveness and non-assertiveness, cooperation and non-cooperation, the five stats are competing; collaborating; compromising; avoiding and accommodating **Lederach** looks at conflict at different levels of leadership and how such conflict can be approached and resolved- high end for team leaders

[13] Asynchronous is the opposite of synchronous, which means happening at the same time. Think of “synchronous” as “in synch” and asynchronous as “out of synch.” If we're chatting on the phone, our communication is “synchronous.”, if I am sending an e-mail at 2am UK time to another UK asked employee, or pushing out updates, hat are generated within a system, these are asynchronous

- The documentation a chairperson should produce before a meeting including:
  - Agenda. Electronic invites for webinars (where applicable).
  - Previous minutes (if applicable).
  - Protocols and procedures for meeting (if appropriate).
  - Other documents/information to be discussed.
- How to prepare effectively for a meeting, to ensure that:
  - The venue/environment is suitable.
  - The timing and length of meeting is appropriate.
  - All relevant participants can attend.
  - All attendees can contribute effectively.
- The leadership styles a chairperson may use in meetings to ensure they are effective. How to manage time, based on the agenda and meeting objectives.
- How to use effective communication skills to ensure all participants contribute to a successful meeting (questioning, listening, body-language, rapport building).
- How to regulate the flow of discussion so that relevant people contribute (those with expertise, drawing out opinions from quieter people, minimising dominant participants). How to guide the meeting to address each agenda item fully, and ensure that all intended points are covered effectively.
- How to clarify and summarise discussions to agree actions.
- How to work with the minute taker to ensure all key information is recorded.
- The process for finalising the minutes of the meeting with the minute taker. When to distribute information after a meeting.
- How to communicate the actions agreed at the meeting to relevant people. How to follow up on actions as and when required.
- How to manage others in achieving their actions as and when required.
- The reasons why people do not like challenging conversations and why they avoid them. The importance of considering the purpose of the challenging conversation.
- The techniques that can be used to clarify and understand the situation (consider personal emotions, values, bias and filters).
- How to use personal communication style and the style of the other person involved to prepare effectively.
- How to use workplace evidence and feedback from others to prepare for challenging conversations.
- How to create notes to prepare effectively for challenging communications.
- The role that the working environment and culture plays in a challenging conversation.

- The most effective communication styles to use for challenging conversations. How to use questioning effectively during a challenging conversation.
- How to actively listen to, respect, and fully consider others' opinions. How to hold the conversation in a neutral and non-emotive manner.
- The language that is most effective when having challenging conversations, and words that should be avoided.
- How to re-frame personal mindset to create a positive and constructive approach. Techniques to remain calm during challenging discussions.
- The different models and techniques that can be used to deliver constructive feedback (CORBs, Situation Behaviour Impact (SBI) model, [14]Pendleton, STAR).
- How to use effective open questions and listen actively to ensure feedback is a two-way process.
- The difference between objective constructive information compared to subjective destructive information.
- How to avoid responding defensively during the challenging conversation. How the working environment affects the successful delivery of feedback.

[14] Pendleton's model originated from medical consultations, but can be adapted to a wider context, includes: compliment what is good; compliment what is OK but could be improved and action plan improvements and summarise agreement. STAR: Situation; Task; Action; Result

- The reasons why an issue would need to be escalated following a challenging conversation. How to recognise limits of personal responsibility, and escalate the issue including:
  - The process and timing.
  - Lines of authority relevant to the issue.

Finance

Apprentices are expected to know should be able to:

- Describe the purpose of governance and compliance in finance.
- Identify governance and compliance processes relating to:
  - Financial reporting.
  - Dealing with income.
  - Record keeping.
  - Audits.
- Describe the implications to an organisation of unresolved governance and compliance issues.

Depth of knowledge should cover the following:

- The key aims of governance and compliance.
- The framework of rules and practices that are put in place within an organisation.
- The issues that governance and compliance aim to avoid and mitigate.
- How governance and compliance relate to the financial management of an organisation. External and internal financial compliance requirements.
- The processes that exist in different organisational functions to satisfy governance and compliance requirements.
- The processes and documents that are used for financial reporting (e.g. policies, accounting manuals, cash flow, balance sheet etc.)
- The processes used to track income and expenditure.
- How organisational records are set up and maintained to meet the requirements of governance and compliance.
- How audits are carried out to provide stakeholder assurance that financial statements are accurate.
- The governance and compliance issues that may arise.
  - The potential consequences of unresolved governance and compliance issues (e.g. potential fines, negative publicity, loss of organisational reputation, decreased revenue etc.)
  - The actions that external stakeholders may take to respond to governance and compliance issues.

Governance for the Team Leader should be contextualized to their role and in this case this is about safe and appropriate management of cash, cash equivalents, taking payments etc. and will include understanding data requirements, collection of information; recording anomalies.

- How the concept of value for money supports the organisation to achieve:
  - Maximum benefit from the goods and/or services it acquires.
  - Maximum benefit for the goods and/or services it provides.
- How the value for money concept ensures that an organisation is efficient, effective and economical.
- How the value for money concept encourages the optimal use of organisational resources to achieve objectives.
- The statutory responsibilities of an organisation to achieve value for money when using public funds (if appropriate).
- The responsibilities of an organisation to achieve value for money for its stakeholders.

- The techniques used to achieve value for money when purchasing goods and services from suppliers, use of preferred suppliers - linking to order, min/max stores levels.
- The techniques used to achieve value for money when working with suppliers and customers.
- The actions that an organisation can take to achieve value for money.
- How an organisation monitors and gathers evidence to report on the achievement of value for money.

The above should be within the context of the team leader or supervisor role.

- How teams can source and implement solutions which achieve the best mix of quality and effectiveness for the least outlay.
- The processes and evidence available within the organisation to make decisions about best value for money.
- How to work collaboratively across teams to maximise value for money linked to organisational goals.
- How to question the use of financial resources to ensure value for money.
- Where opportunities to achieve value for money may exist and how to realise them.

- The key components of a budget.
- How to set realistic budgets, using information available within the organisation (e.g. previous budgets, market trends etc.)
- The importance of accurate budget forecasting.
- The purpose of contingency planning when budgeting, and how to plan based on the likelihood of occurrence.
- How to regularly monitor and report against budgets to assess whether targets are being met.
- The process for revising a budget when required.
- Methods to monitor variance of actual financial performance against the set budget. The causes of variance and how to be able to reduce their adverse effects (where possible).
- How to identify, and respond to, changes in the external environment or internal activities that require budget revisions.
- How to review and identify areas for improvement in the budget.

Operational Management

Apprentices are expected to know should be able to:

- Explain the process of developing an organisational strategy.
- Explain how the operational plans of departments/teams relate to the overall organisation’s strategy.

Depth of knowledge should cover the following:

- How organisational strategy is developed by an organisation, including:
    - Analysis and assessment of current internal and external environments.
    - Strategy formulation and planning at a high-level.
    - How the high-level plan is translated into operational planning and team/individual actions.
- The relationship between the operational plans of the department/team and the organisations strategy including:
    - How department/team objectives contribute to the achievement of organisational goals.
    - Why objectives need to be SMART to help achieve goals.
    - How the department/team contribute to the overall organisational goals.
    - How the department/team are supported by other teams.
    - How the department/team supports other departments/teams
- How to identify the actions necessary to implement team plans.
- How to translate operational/team objectives into SMART objectives for individual team members.

- Planning how team objectives can be achieved through the use of resources (including people, time, materials and equipment).
- How to maximise available resources and identify shortfalls (e.g. using resource plans, workflow systems etc.)
- How to operate within agreed budgets and timescales.
- How working practices operate and how to make improvements where required. The relationship between organisational objectives and operational plans.
- The reasons why plans may need to be revised.
- How to revise objectives and minimise the impact of revisions.
- How change can affect the team and individuals in different ways.
- The negative responses to change (e.g. uncertainty, fear, increased stress etc.)
- The positive reactions to change (e.g. potential opportunities for development, potential to improve team working practices, personal growth etc.)
- How to manage change within a team when individuals are reacting differently, and some are resisting the change.
- Techniques that can be used to support a team through change such as:
    - How to assess change readiness.
    - Planning of change activities and support requirements.
    - Using a change management model and processes (e.g. Kotter[15], Adkar, McKinsey 7s, and Burke&-Litwin etc.)Note at this level, it is not anticipated the team leader would know all models.
    - Effective communication techniques.
    - Consulting and involving the team in decision making.
    - Use of empathy and emotional intelligence.
    - Use of appropriate leadership styles.
    - Regularly reviewing the required changes to fully understand the feelings of and impact on the team.

Data management:

- How both quantitative and qualitative data is collected and analysed.
- How data is accessed and stored in line with legislation such as the Data Protection Act. How data is used to make decisions.
- The people who are responsible for managing operational data.
- The importance of maintaining the integrity of customer data and relationships. How to protect sensitive data relating to organisational plans or strategies. Current data protection legislation and the purpose of the legislation.
- The implications for organisational processes relating to data collection (e.g. informing individuals, handling and storage). The implications of not adhering to data protection legislation.
- How technology is used to manage and interpret data in the workplace.
- How technology allows data to be used in different ways and to be presented in a range of formats to suit the end purpose.
- How innovative technology can change the way that data is managed to improve quality, efficiency and productivity.

Project Management

Apprentices are expected to know should be able to:

- Describe the key stages in the lifecycle of a project.
- Explain the key roles in a project team.

[15] Kotter 8-stepchange model; Adkar 5-step model change; McKinsey's 7 (shared values- structure, systems etc) Burke & Litwin change model

Depth of knowledge should cover the following:

- The key stages in the lifecycle of a project including:
  - Initiation.
  - Planning.
  - Execution and control.
  - Closure and review.

The main activities that take place at each project stage, and the people that are involved.

- The key roles and responsibilities in a project team including:
  - Project Board Member.
  - Project Sponsor.
  - Project Manager.
  - Project Team Lead.
  - Project Team Members.
  - Subject Matter Experts.
  - Project Administrator.

The explanation should consider the activities that each role undertakes and key relationships.

- The key project documentation that may be used to deliver a project (e.g. project plan, brief/terms of reference, project roles definitions, risk log (RAID), project monitoring records, Gantt chart, progress reports etc.)
- How the key project documents are used to ensure effective project delivery.
- The use of appropriate project management tools at appropriate phases of the project including:
- Monitoring – understand how to monitor using relevant plans, communicating with key stakeholders, progress charts, risk log, action plans etc.
- Review – understand how to review against the plans during project team review meetings etc.
- Overall Change Management Frameworks (such as Kotter) and the use of the tools which support change.
- Comparison of how the different tools could be applied to a specific workplace project.

- The techniques used to manage resources effectively when delivering a project covering:
  - People.
  - Technology.
  - Equipment.
  - Budget.
  - Materials and other supplies.
  - Venues and other physical facilities.

- The project information available that shows project progress and performance. How to interpret information to understand project status (e.g. RAG status).
- How to use a project management tool to gather this information.
- The ways that project performance can be reviewed, and why this is important.
- How to capture the lessons learnt during the project, for the benefit of future projects. The benefits of project reviews to all stakeholders.
- Examples of project risks that may arise. Examples of project issues that may arise.
- How risks and issues differ in terms of impact on the project.
- The implications of how issues and risks are managed and tracked.
- The role of risk identification in planning, creation of a risk log and maintaining awareness of potential risks.
- How to consult key stakeholders to agree the project approaches to risk management. How to use the risk management log to mitigate risk.

- How to use leadership skills to manage any risks that materialise.
- How to communicate with key roles/stakeholders within a project to advise on risks.
- How to amend plans when the risks have an impact on the critical path or other timelines.
- The process for managing issues, the importance of identifying them early and how to limit or eliminate their impact.
- How to engage others to act to resolve issues that arise.