Contents

Summary of Revisions to End-Point Assessment Guidance and Specification

Summary of Revisions	Assessment Plan Revised Version Number	Date of Revision
None yet.		

Section 1

Overview

The Team Leader Apprenticeship standard was revised by IfATE to version 1.4 for all on-programme starts from 19/09/2024.[1]

The end-point assessment guidance in this specification relates to the Team Leader Apprenticeship ST0384 version 1.4. The apprenticeship is at Level 3 and is for apprentices who have operational and project responsibilities.

This occupation is found in small, medium, large, and multinational organisations in private, public and third sectors across all areas of the economy.

The broad purpose of the occupation is a team leader role, with operational and project responsibilities. They will have responsibility for managing individuals, a team, or elements of a project. They provide direction, instructions, and guidance to ensure the achievement of set goals. Team leaders are vital for the smooth functioning of all departments in any organisation and are often responsible for ensuring the function is correctly administered and maintained in line with legislation and the organisation's procedures.

In their daily work, an employee in this occupation interacts with their colleagues from other internal departments such as operational functions, HR, finance, legal, IT, sales, and marketing. This role also includes interaction with external stakeholders such as customers, clients, or suppliers. This role may involve off-site and hybrid working.

An employee in this occupation will be responsible for supporting, managing, and developing individuals, managing projects, planning, and monitoring workloads and resources, delivering operational plans, resolving problems, and building relationships internally and externally.

Team leaders may work as part of a network or in a range of team settings. They work within agreed budgets and available resources and report to mid-level and senior managers. They may occasionally be responsible for decision-making, but more often will guide or influence the decisions of others including collecting and interpreting data to find trends, analysing resources, and identifying ways to save money and improve efficiency.

Team leaders will understand how their role supports the wider organisation structure. They will apply codes of practice, legislation, and regulation in respect of their organisation's areas of operation. This will apply not only to legal and ethical responsibilities but will also include equity, inclusion, and the sustainability impacts of the organisation.

The typical duration for this apprenticeship is 15 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 fail, pass, or distinction.

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[1] Note – IfATE revised the Assessment Plan from v1.3 to v1.4 on 25/09/2024, following publication of v1.3 on 19/09/2024. All apprentices starting on-programme from 19/09/2024 will be end-point assessed against v1.4 of the Assessment Plan by PAL.

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

➢ On-programme period of training and development, including achievement of English and maths qualifications in line with the apprenticeship funding rules.
➢ 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 (PAL) 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 standard and accompanying assessment plan can be accessed via the Institute for Apprenticeships and Technical Education.

Standard Title	Team Leader
Level	3
Standard Number	ST0384 version 1.4
LARS Number	105
Named EQA organisation	Ofqual
Duration of Apprenticeship	Typically, 15 months but the actual length of the apprenticeship will be decided by the employer
Duration of End-Point Assessment	3 months
Date the Assessment Plan scheduled is for review	This apprenticeship will be reviewed in accordance with IfATE's change request policy
Mandated Qualifications within the Standard	To meet the apprenticeship standard, apprentices must achieve English and maths qualifications in line with the apprenticeship funding rules
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 ➢ Professional Discussion underpinned by a Portfolio of Evidence

Introduction

This handbook contains the relevant information and guidance required of apprentices to achieve the end-point assessment for the Team Leader Apprenticeship v1.4 and should be used in conjunction with the Team Leader v1.4 Padlet[2] – End-Point Assessment Information for Apprentices, 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 end-point assessment components to receive the apprenticeship certificate.

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[2] 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.

PAL has worked in close collaboration with employers, other assessment organisations and experts from professional bodies and 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 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 only be delivered 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 independent 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 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 IfATE, 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 roles such as an operations manager, or an associate project manager.

Who is Professional Assessment (PAL)?

PAL provides services for 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 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 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 provider must hold a Gateway review to agree that the apprentice has gained the required level of knowledge, skills, and behaviours, along with English and maths qualifications in line with the apprenticeship funding rules.

PAL needs evidence of **English and maths attainment**. Please check with the EPA team via info@professionalassessment.co.uk if you do not know which qualifications are accepted, or which level is required. Evidence must be in the form of a certificate.

The apprentice must have a **completed portfolio of evidence** that will underpin the professional discussion to be submitted to PAL as part of the Gateway evidence.

To confirm the Gateway review has taken place, the employer, provider, and apprentice are required to complete a Gateway Declaration Record, an example of which is included in the Appendix of this handbook[3]. Alternatively, providers and employers can use their documentation, with the caveat that the document must record the information as stipulated on the PAL Gateway record.

PAL will not confirm an end-point assessment booking until the required evidence is submitted. For auditing purposes, the Gateway Declaration Record should either be signed or dated by all parties, or email/DVR confirmation provided that all parties have agreed on readiness.

The recommended approach during the on-programme assessment (month 1-15) 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.
➢ The 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.
➢ The 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.

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[3] The Gateway record 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.

- Regular check points between the line manager and 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 provider.

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

Section 2

How is end-point assessment delivered?

The apprentice will be assessed to the apprenticeship standard using two discrete assessment methods. 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.
- ➢ Professional discussion underpinned by a portfolio of evidence.

There is no mandated assessment sequence. 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 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 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.

The apprentice must achieve at least a pass in all the end-point assessment methods to get an overall pass.

To achieve an overall distinction, the apprentice must achieve a distinction in both assessment methods.

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.

Please refer to Section 3 for more information about grading and reassessment.

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

Note – the assessments can be taken in any order.

Apprentice/Employer/Training Provider		PAL
Apprentice registered with PAL prior to the Gateway review.		- 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. - Portfolio of evidence to underpin the professional discussion submitted.		- Declaration received that the apprentice is ready for assessment. - Gateway evidence received. - PAL approves or rejects the Gateway evidence. If rejected, the provider to resubmit as required.
PAL contacts employer and apprentice. PAL undertakes assessment planning meeting and agrees assessment schedule.		Assessment plan completed. Dates will be agreed for all methods of assessment to meet with the Team Leader assessment plan and to allow for reasonable resit or retake activities within the assessment window, wherever possible.

Apprentice/Employer/Training Provider		PAL
Apprentice undertakes the presentation and questions. ▪ The apprentice must submit any presentation materials to PAL by the end of week 4 of the EPA period. ▪ The independent assessor must have at least 2 weeks to review any presentation materials, and the apprentice must have at least 1 weeks' notice of the presentation assessment date.	→	▪ Presentation and questions assessment duration of 50 minutes (+10% at the independent assessor's discretion), typically 20 minutes for the presentation and 30 minutes for the questions. ▪ Presentation and questions completed, presentation and response to questions assessed. Assessment graded.
Apprentice undertakes the professional discussion. ▪ The independent assessor must have at least 2 weeks to review any presentation materials, and the apprentice must have at least 1 weeks' notice of the presentation assessment date.	→	▪ Professional discussion assessment duration of 60 minutes (+10% at the independent assessor's discretion). ▪ Professional discussion completed, responses to questions assessed. Assessment graded.
	⬇	▪ Overall grading undertaken – independent assessor confirms grades for all assessment elements and overall grade using grade descriptors and weighting as detailed in the assessment plan to PAL. ▪ Internal quality assurance (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 provider are copied into the communication.	←	▪ Assessment summary record will note the decision and grade. If a resit or retake is required, it is important the relevant parties refer to the EPA summary record. ▪ Assessment decision data collated and used to inform standardisations processes and quality assurance. ▪ Confirmed assessment outcome provided to the 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?

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

➢ Have excellent knowledge and understanding of the apprenticeship standard.
➢ Have recent relevant experience of the occupation or sector to at least occupational level 3 gained in the last 5 years or significant experience of the occupation or sector, which must be maintained through Continuous Professional Development.
➢ Hold or be working towards a recognised current workplace assessment qualification.
➢ Must attend at least one standardisation event annually.

➢ Have sufficient resources to carry out the role of independent end assessor i.e., time and budget.

All independent 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.

PAL 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 pass criteria have been met.

Internal Quality Assurance Requirements

PAL requires all quality assurance staff to hold a recognised internal quality assurance qualification. 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 independent assessors.

Policies can be shared upon request, please contact info@professionalassessment.co.uk. Essential policies are also available via our website.

In accordance with these policies PAL will:

➢ Develop and maintain a set of assessment tools, to be used by all independent assessors when carrying out assessments.
➢ Ensure independent assessors for this standard meet with the assessment plan competency requirements.
➢ Train and develop all independent assessors to ensure reliable and consistent assessment of the Team Leader 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.
➢ 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 Apprenticeship is undertaken by Ofqual.

Standardisation and Moderation

All independent 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 webinars.

IQAs may accompany or 'remote in' with independent assessors carrying out end-point assessment to ensure that it is being administered safely, securely and in line with PAL guidance.

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

Section 3

Grading

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

➢ The apprentice must achieve at least a pass in all the end-point assessment methods to get an overall **pass**.
➢ To achieve an overall **distinction**, the apprentice must achieve a distinction in both assessment methods.

Please see **Tables 2 and 3** for grading descriptors by assessment method.

Grades from individual assessment methods should be combined in the following way to determine the grade of the end-point assessment as a whole:

Presentation with Questions	Professional Discussion underpinned by a Portfolio of Evidence	Overall Grading
Fail	Fail	Fail
Pass	Fail	Fail
Fail	Pass	Fail
Pass	Pass	Pass
Distinction	Pass	Pass
Pass	Distinction	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 the minimum ESFA requirements for off-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 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:

➢ Regular performance reviews between the apprentice and a senior manager.
➢ Opportunities given and evidence generated to cover all assessment criteria.
➢ Feedback from line manager.

End-point assessment planning and scheduling

Employers and/or providers[4] 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 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 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 PAL to support the assessment process and to agree a plan for the upcoming assessment activities for the apprentices. The independent 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 **3 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 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.

Reassessments 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 independent 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 PAL 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.

A resit is typically taken within 2 months of the EPA outcome notification. The timescale for a retake is dependent on how much re-training is required and is typically taken within 3 months of the EPA outcome notification.

Failed end-point assessment methods must be resat or retaken within a 6 month period from the EPA outcome notification, otherwise the entire EPA will need to be resat or retaken in full.

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

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[4] 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.

Reassessment requirements for each component

Presentation with questions: if the apprentice's evidence does not meet the requirements to achieve the pass descriptors for the presentation and questions on their first assessment attempt, a further, different presentation and question assessment will be carried out. The original topic will remain the same unless the apprentice exceeds the 6 month resit/retake window.

Professional discussion: if the apprentice's evidence does not meet the requirements to achieve the pass descriptors for the professional discussion on their first assessment attempt, a further, different full professional discussion assessment of the apprentice will be carried out. The apprentice will not be permitted to add evidence to the portfolio of evidence following a resit.

Capping

Where any assessment method has to be resat or retaken, the apprentice will be awarded a maximum end-point assessment grade of pass, unless PAL 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.

Section 4

Portfolio

A completed portfolio of evidence is required to be submitted to PAL 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 independent assessor will review the portfolio evidence and use it to identify areas for the professional discussion, and it is the professional discussion that will assess the apprentice's understanding and learning.

The portfolio should be produced during the on-programme period 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 independent assessor will undertake authenticity checks regarding portfolio evidence as part of the professional discussion assessment.

> The apprentice must have access to their portfolio evidence during the professional discussion assessment. To ensure that all evidence is accessible during the assessment PAL would recommend that audio and/or video recordings are supported by a written summary/list of bullet points to which the apprentice can easily refer.

What is the format of the portfolio of evidence?

The portfolio will typically contain 16 pieces of evidence in total. A qualitative as opposed to quantitative approach is suggested.

The portfolio must evidence all the knowledge, skills and behaviours mapped to the professional discussion method of assessment (see Table 1). **At least one piece of evidence must relate to each of the criteria**; each piece of evidence can be referenced against more than one knowledge, skills, or behavioural requirement for a more holistic approach.

PAL has provided a mapping record with an employer and apprentice validation statement which can be accessed from the Team Leader Padlet. Alternatively, training providers can use their own version, however **it is a mandatory requirement that a mapping document and employer and apprentice validation statement is submitted with the completed portfolio.**

How can a Team Leader prepare for and complete their 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 the professional discussion method of assessment.

Please refer to Table 1 for the knowledge, skills and behaviours required to be assessed by the professional discussion and evidenced in the portfolio.

The apprentice and independent assessor must be able to refer to the portfolio during the professional discussion assessment and therefore evidence should be user-friendly and quick to reference.

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.

- A statement to confirm that the evidence provided is valid and attributable to the apprentice from the employer and the apprentice.

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

It is not required that the apprentice has evidence in all the described formats below, but the portfolio **may** contain the following items as evidence:

- ➢ Workplace policies and procedures.
- ➢ Witness statements.
- ➢ Observation records from training providers, managers, and peers.
- ➢ Annotated photographs.
- ➢ Video clips with a maximum total duration of 5 minutes. The apprentice must be in view and identifiable.

The portfolio should **not** contain reflective accounts or any methods of self-assessment.

The professional discussion questions will be constructed to include all pass criteria, while allowing the opportunity for the apprentice to evidence the distinction criteria, either naturally in their responses or using further questions.

What is best practice in producing the portfolio?

Ensure that the evidence within the portfolio provides coverage against all the knowledge, skills and behaviours as outlined in the assessment plan for the professional discussion assessment method (see Table 1). Employers, training providers and apprentices can use this guidance to support in documenting and referencing the evidence against all of the required KSBs.

The evidence provided within the portfolio **must** be validated by the employer and apprentice to confirm the authenticity and validity.

A range of evidence, methods and consistency over time is encouraged to show competence. All evidence provided within the portfolio should comply with usual assessment practices, such as:

- ➢ Valid, Authentic, Current, Sufficient, and Reliable (VACSR) confirmed including signatures and dates as appropriate.
- ➢ Have detailed annotation to describe the evidence, audio files should be referred to clearly within evidence to show where supporting recordings are located and within recordings the evidence number being discussed should be clearly confirmed. Audio files limited to a total 20 minute maximum duration.
- ➢ Be referenced to the specific criteria being claimed.
- ➢ All evidence recordings and files to be clearly named as appropriate to evidence type/number.

Evidence should comply with data protection and GDPR. Ideally, the portfolio evidence should be presented electronically.

Table 1: Mapping of Knowledge, Skills and Behaviours for the Professional Discussion underpinned by a Portfolio

KSB	Knowledge (K), Skills (S) and Behaviours (B)
K1	Performance management techniques.
K2	How to identify the learning needs of others and solutions to address them.
K4	Project management tools and techniques.
K7	How to manage resources to implement operational and team plans.
K8	Time management and prioritisation tools.
K10	Policy and procedure relating to people and organisational culture.
K13	Principles of change management and continuous improvement.
K14	IT and software used to support the activities of the business.
K17	Leadership and management approaches.
K18	The purpose of their role within the organisation, including their level of responsibility and accountability.
K22	Approaches to managing budgets, and options and choices to maximise efficient use of resources.
K23	Principles of equity, diversity and inclusion in the workplace and their impact on the organisation and the team.
S1	Use resources to implement operational and team plans.
S2	Use tools to organise, prioritise and allocate daily and weekly work activities.
S4	Identify and support the development of the team through informal coaching and continuous professional development.
S6	Use digital tools for planning and project management to monitor project progress, taking corrective action to deliver against the project plan.
S7	Review work processes to identify opportunities to improve performance and for continuous improvement.
S8	Use technology and software to produce documentation, such as spreadsheets and presentation packages to communicate information.
S10	Manage others through change by identifying challenges and the activities to resolve them.
S11	Interpret organisational strategy and communicate how this impacts others.
S12	Interpret and apply regulation and legislation, share best practices, and advise stakeholders on their application.
S13	Communicate information through different media, such as face-to-face meetings, emails, reports, and presentations to enable key stakeholders to understand what is required.
S14	Collaborate with stakeholders in the organisation to ensure the delivery of operational goals.
S16	Negotiate with and challenge stakeholders to manage change and reduce conflict.
S19	Monitor the use of technology and the potential to reduce energy consumption through their optimisation in day-to-day tasks, such as reducing the use of paper and switching off items when not in use.
B1	Acts professionally, ethically and with integrity.
B3	Takes accountability and ownership of their tasks and workload.
B4	Seeks learning opportunities and continuous professional development.

Section 5

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.

The independent assessor will not communicate assessment decisions 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 provider. 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. User guides are available for providers and employers that detail how reports can be viewed.

Sample Assessment Materials

For this standard, PAL provides:

- ➢ A mock presentation with questions assessment record with sample questions and topics.
- ➢ A mock professional discussion record with sample questions.

All sample materials can be accessed from the Team Leader ST0384 v1.4 Padlet.

Presentation with questions

Key Facts about the presentation with questioning

In the presentation with questions, the apprentice delivers a presentation to an independent assessor on a set subject. The independent assessor must ask questions after the presentation. It gives the apprentice the opportunity to demonstrate the KSBs mapped to this assessment method.

This assessment method is being used because:

- ➢ It assesses understanding of a subject.
- ➢ Setting the presentation title post-gateway ensures the reliability and validity of the EPA and allows the independent assessor to prepare appropriate questions pertinent to the presentation.
- ➢ It allows the apprentice to directly demonstrate KSBs relating to communication and presentation.
- ➢ It provides the opportunity to use authentic workplace contexts which increases assessment validity in relation to the occupational role.
- ➢ It allows for the presentation of evidence and testing of responses where there are a range of potential answers.
- ➢ It can be conducted remotely, potentially reducing cost.

The presentation with questions must take a total of **50 minutes**. The total time for the **presentation** element is typically **20 minutes**, and the total time for the post-presentation **questioning** is typically **30 minutes**.

The independent assessor can increase the time of the presentation with questions by up to 10%. This time is to allow the apprentice to complete their last point or respond to a question if necessary.

What is the format of the presentation with questions?

Preparing the presentation

Following a discussion with the employer, the apprentice will be given their presentation topic at the EPA planning meeting by PAL. The presentation will be based on one of the following topics:

- ➢ Reviewing ways to reduce cost and increase efficiency in a business environment.
- ➢ Using data and technology to support organisational goals.
- ➢ Improving team performance to support organisational goals.
- ➢ Leading and supporting a team through a period of change within the organisation.

As well as the above topics, PAL can add further topic areas, provided they cover the relevant KSBs and give adequate opportunity for the apprentice to meet the required 'pass' and 'distinction' grading criteria.

PAL will take steps to ensure the apprentice is given a presentation topic, which allows the apprentice the opportunity to draw on what they have learnt and experienced during their apprenticeship.

The presentation should cover the following themes:

- ➢ Data collection and benchmarking.
- ➢ Problem analysis and conclusions.
- ➢ People and relationships.
- ➢ Future plans and opportunities.

The apprentice must **submit any presentation materials to PAL by the end of week 4 of the EPA period**. The apprentice must notify PAL, at that point, of any technical requirements for the presentation.

The independent assessor must have at **least 2 weeks to review any presentation materials**, before the presentation is delivered by the apprentice, to allow them to prepare questions.

PAL must give the apprentice at **least 1 weeks' notice** of the presentation assessment date.

Presentation and questions assessment

The presentation with questions must take place in a suitable venue selected by PAL with the employer for example, the employer's premises. The presentation with questions can be conducted by video conferencing. PAL must verify the identity of the apprentice and ensure the apprentice is not being aided. The presentation with questions should take place in a quiet room, free from distractions and influence.

As noted above, the presentation and questions must last **50 minutes**. This will typically include a **presentation of 20 minutes** and **questioning lasting 30 minutes**. The independent assessor must use the full time available for questioning. The independent assessor can increase the total time of the presentation and questioning by up to 10%. This time is to allow the apprentice to complete their last point or respond to a question if necessary.

The independent assessor must ask **at least 5 questions**. They must use the questions from PAL's question bank or create their own questions in line with PAL's training. Follow up questions are allowed where clarification is required.

The independent assessor must assess the presentation and answers to questions holistically when deciding the grade.

The apprentice may choose to end the assessment method early. The apprentice must be confident they have demonstrated competence against the assessment requirements for the assessment method. If the apprentice asks to end the assessment method early, the independent assessor:

- Must ensure the apprentice is fully aware of all assessment requirements.
- Cannot suggest or choose to end any assessment methods early (unless in an emergency).
- Is responsible for ensuring the apprentice understands the implications of ending an assessment early if they choose to do so.
- May suggest the assessment continues.
- Must document the apprentice's request to end any assessment early.

How can a Team Leader prepare for the presentation with questioning?

- Read the guidance documents and ask questions if the information provided is not clear.
- Be prepared for the presentation by practicing within the required time frames – line managers can support by giving feedback against the presentation with questions standards.
- Undertake a mock presentation with questions with the training provider and listen and act upon to the feedback provided.
- Check that presentation equipment and resources are available and in good working order prior to the assessment if required.

How will the presentation with questions be graded?

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

Please see **Table 2** for the pass descriptors for this method of assessment, along with amplification for key terms.

Table 2: Presentation with Questions Pass and Distinction Grading Criteria and Amplification

Theme & KSBs	Pass Descriptors	Distinction Descriptors
Data collection and benchmarking K3 K5 K15 K20 K21 S3	P1. Outlines the processes and policies supporting the delivery (of the chosen topic) and the **regulation, legislation and compliance** which impacts their role and the organisation. (K3, K5)	n/a
	P2. Explains how (the chosen topic) considers **external factors** affecting the workplace, how they are managed, and the influence of the **wider social and economic environment** in which the organisation operates. (K15, K21)	D1. Evaluates the impact of external factors and the influence of the wider social and economic environment in which the organisation operates (on the chosen topic). (K15, K21)
	P3. Collates and interprets **data** and information to create reports tailored to the needs of different audiences. (K20, S3)	D2. Evaluates how well the reports they created met the needs of different audiences. (K20, S3)

Theme & KSBs	Pass Descriptors	Distinction Descriptors

Amplification

Regulation, legislation and compliance:
- ➤ Legislation for data collection such as the Data Protection Act 2018, General Data Protection Regulation (GDPR).
- ➤ How data is accessed and stored in line with legislation.
- ➤ How to protect sensitive data relating to organisational plans or strategies.
- ➤ The implications for organisational processes relating to data collection (e.g. informing individuals, handling and storage).
- ➤ Compliance with organisation procedures.

External factors:
- ➤ External factors could include economic, social, technological, legal or political.

Wider social and economic environment:
- ➤ The conditions in which people are born, grow, work, live and age, (e.g. social classes and professions, wellbeing, housing, and levels of education).

Data:
- ➤ How quantitative and qualitative data is collected and analysed.
- ➤ Audience needs such as providing them with the knowledge needed to make informed decisions or to improve business performance.
- ➤ The factors that need to be considered when providing other with information, such as the level of detail and types of presentation (e.g. graphs and charts) required.

Theme & KSBs	Pass Descriptors	Distinction Descriptors
Problem analysis and conclusions K6 K9 K12 K19 S5	P4. Explains how their role impacts on the organisation's **strategy and objectives** and the impact that cross team working has on delivering them. (K6, K19)	n/a
	P5. Applies **communication techniques**, **problem-solving and decision-making principles** to provide solutions and influence the decision-making process. (K9, K12, S5)	D3. Justifies their selection of communication techniques, problem-solving and decision-making principles to provide solutions and influence the decision-making process. (K9, K12, S5)

Amplification

Strategy and objectives
- ➤ Organisation strategy – a comprehensive plan or a series of actions to achieve specific business goals or objectives.
- ➤ Objectives – the concrete targets than an organisation aims to achieve within a specified timeframe.

Communication techniques
- ➤ The different forms of communication that can be used, for example, verbal, non-verbal, written, visual, digital/electronic, presentation, email, memos, team briefing, or one to one meeting. They can be formal or informal.
- ➤ How to choose an appropriate communication form according to the situation and the reasons for choosing the communication form.

Problem-solving and decision-making principles
- ➤ Problem solving – identify the problem or issue, consider multiple solutions, define the solution, implement the solution.

Theme & KSBs	Pass Descriptors	Distinction Descriptors
	➤ Decision making – techniques to help you to evaluate the facts or a scenario and realise the potential ways to solve it. ➤ May include brainstorming, fishbone diagram, SWOT analysis and PESTLE analysis. ➤ How to deal with challenging conversations such as an unhappy customer, staff discipline or a sensitive issue. ➤ How to deal with conflict, for example, conflicts and disagreements between individual team members, or between the team/team members and the wider business, leadership, customers, stakeholders, suppliers or regulators.	
People and relationships K11 S9 S15 S17 B2	P6. Explains how they manage and maintain relationships with a **diverse workforce and stakeholders**, set objectives, monitor progress and provide guidance and feedback for individual and team performances. (K11, S9, S15)	n/a
	P7. Explains how they proactively support the delivery of **equity, diversity and inclusion** in the workplace and monitor the impact on their team. (S17, B2)	D4. Evaluates the impact in the workplace of promoting an inclusive culture. (S17, B2)

Amplification

Diverse workforce and stakeholders
- ➤ Diverse workforce – one that employs people of different cultural backgrounds, ages, races, genders, disabilities, religions, sexual orientations and levels of professional experience.
- ➤ Stakeholders can be a person or a company/organisation who have an interest in the business or business activity. These may be internal or external to the business.

Equity, diversity and inclusion
- ➤ Diversity – the presence and participation of individuals with varying backgrounds and perspectives, including those who have been traditionally underrepresented.
- ➤ Equity – equal access to opportunities and fair, just, and impartial treatment.
- ➤ Inclusion – creating a sense of belonging in an environment where all feel welcomed, accepted, and respected.

Theme & KSBs	Pass Descriptors	Distinction Descriptors
Future plans and opportunities K16 S18 B5	P8. Describes the impact of **internal and external factors** on their role, identifying how they will work flexibly to adapt to future changes in the sector that may affect their organisation. (K16, S18, B5)	n/a

Amplification

Internal and external factors
- ➤ Internal factors could include organisational structure, power and control mechanisms, leadership role models and values and beliefs.
- ➤ External factors could include economic, social, technological, legal or political.

Professional discussion underpinned by a portfolio of evidence

Key facts about the professional discussion

In the professional discussion an independent assessor and apprentice have a two-way formal conversation. It gives the apprentice the opportunity to demonstrate the KSBs mapped to this assessment method.

This assessment method is being used because:

➢ It assesses KSBs holistically and objectively.
➢ It allows for assessment of KSBs that do not occur on a regular or predictable basis.
➢ It allows for assessment of responses where there are a range of potential answers.
➢ It can be conducted remotely, potentially reducing cost.

The purpose is to assess the apprentice's competence against the following themes:

➢ Building a high performing team.
➢ Communicating and implementing operational plans.
➢ Managing change and continuous improvement.
➢ Using technology.
➢ Contributing to a project.

The professional discussion assessment duration is **60 minutes** (+10% at the independent assessor's discretion to allow the apprentice to respond to a question if necessary).

The independent assessor must ask **a minimum of 5 questions**. 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 independent assessor must use the questions from PAL's question bank or can create their own questions in line with PAL's training.

What is the format of the professional discussion?

The apprentice **must** have access to their portfolio of evidence during the professional discussion.

The independent assessor must have at **least 2 weeks** to review the supporting documentation.

PAL must give an apprentice at **least 1 weeks' notice** of the professional discussion assessment date.

The professional discussion must take place in a suitable venue selected by PAL with the employer for example, the employer's premises. The professional discussion can be conducted by video conferencing. PAL must verify the identity of the apprentice and ensure the apprentice is not being aided. The professional discussion should take place in a quiet room, free from distractions and influence.

The apprentice may choose to end the assessment method early. The apprentice must be confident they have demonstrated competence against the assessment requirements for the assessment method. If the apprentice asks to end the assessment method early, the independent assessor:

➢ Must ensure the apprentice is fully aware of all assessment requirements.
➢ Cannot suggest or choose to end any assessment methods early (unless in an emergency).
➢ Is responsible for ensuring the apprentice understands the implications of ending an assessment early if they choose to do so.
➢ May suggest the assessment continues.
➢ Must document the apprentice's request to end any assessment early.

How can a Team Leader prepare for the professional discussion?

➢ Practice undertaking discussions with their training provider, employer, and line manager.
➢ Practice discussions which cover a range of topics and areas of the standard, ensuring that they can provide full answers and specific examples of tasks/situations they have been involved in.
➢ Review terminology in the assessment plan and consider how this links to their role.
➢ Take time to reflect on their performance and identified how knowledge, skills and behaviours have been applied.

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, AND all of the pass descriptors.

Please see Table 3 for the pass grading descriptors for this method of assessment, along with amplification for key terms.

Table 3: Professional Discussion Pass and Distinction Grading Criteria and Amplification

Theme and KSBs	Pass Descriptors	Distinction Descriptors
Building a high performing team K1 K2 K10 K17 K23 S2 S4 S12 B1 B4	P1. Describes their approach to identifying and supporting the learning and development needs of team members, as well as seeking out opportunities to develop their own learning and professional development. (K2, S4, B4)	n/a
	P2. Describes the **leadership, management and performance management techniques and tools** they use to organise, prioritise, and allocate work activities. (K1, K17, S2)	n/a
	P3. Explains their approach to sharing best practice and advising stakeholders on the practical application of **regulation and legislation** relevant to their work within the organisation. (S12)	n/a
	P4. Explains how they have ethically and inclusively applied policies and procedures relating to people and organisational culture to support **equity, diversity, and inclusion** in the workplace. (K10, K23, B1)	D1. Evaluates their approach to supporting and promoting equity, diversity, and inclusion in terms of impact on the workplace. (K10, K23, B1)
Amplification		
Leadership, management and performance management techniques and tools ➢ The ways in which a team leader may provide guidance, direction and motivation to individuals and their team.		

➢ Leadership theories and models, for example, Adair - leadership in action; Hersey and Blanchard - situational leadership; Tannenbaum and Schmidt - continuum of leadership; Lewin – autocratic democratic, laissez faire; Fiedler - contingency theory.

➢ 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.

➢ Providing constructive feedback to individuals and teams to inform them what is going well and what needs to be improved, potentially including options for how improvements could be made.

➢ Motivation techniques and models, for example, Maslow's hierarchy of needs, Herzberg's hygiene factors, McGregor's theory X and theory Y, Vroom's Expectancy Theory.

➢ Performance management techniques and their purpose including:
- Setting of SMART objectives.
- How to conduct an individual performance appraisal 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.

Regulation and legislation

➢ Legislation and regulations such as the Equality Act 2018, Health and Safety at Work Act 1974, Data Protection Act 2018, General Data Protection Regulation (GDPR), Disciplinary and Grievance procedures, Working Time Regulations 1998, the Employment Rights Act 1996.

➢ How legislation and regulations are applied in the workplace.

➢ Compliance with organisation procedures.

Equity, diversity, and inclusion

➢ 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.

Theme and KSBs	Pass Descriptors	Distinction Descriptors
Communication and implementing operational plans K7 K18 S1 S11 S13 S14	P5. Explains how they use and manage resources and collaborate with stakeholders to implement and deliver **operational goals** and team plans within their level of responsibility and accountability. (K7, K18, S1, S14)	n/a
	P6. Explains how they communicated the impact of **organisational strategy** on different stakeholders using different types of media to ensure understanding. (S11, S13)	D2. Evaluates the impact of the techniques they have used to communicate how organisational strategy impacts stakeholders, suggesting improvements to facilitate their understanding of what is required. (S11, S13)
Amplification		

Operational goals

➢ The short-term, measurable targets that businesses set to improve their day-to-day operations and achieve their strategic objectives.

- How to maximise available resources and identify shortfalls (e.g. using resource plans, workflow systems etc.)
- How team objectives contribute to the achievement of operational goals.
- How to translate 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 operate within agreed budgets and timescales.
- How to build and maintain relationships with stakeholders.

Organisational strategy

How the strategy sets out what actions the organisation plans to take to achieve long-term operational goals. It can include resource allocation, business direction goals and visions.

Theme and KSBs	Pass Descriptors	Distinction Descriptors
Managing change and continuous improvement K13 K22 S7 S10 S16	P7. Explains how they apply the **principles of change management and continuous improvement** to work processes to identify areas where performance can be enhanced. (K13, S7)	D3. Evaluates the extent to which continuous improvement techniques improve work processes. (K13, S7)
	P8. Describes how they negotiate with and challenge stakeholders and others, when **managing change**, and the activities used to resolve and reduce conflict. (S10, S16)	n/a
	P9. Describes their approach to managing budgets and maximising the use of resources. (K22)	n/a
Amplification		

Principles of change management and continuous improvement

- Organisational change such as culture, needs and drivers.
- Team changes such as job roles and organisational structure.
- Identifying and overcoming resistance or barriers to change.
- Impact of external factors such as changes to legislation and regulations, social change, political change, competitor change, consumer behaviour change.
- 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, for example, Kotter 8-step change model, Adkar 5-steop change model, McKinsey 7s (shared values, structure systems etc.), and Burke & Litwin change model.
  - 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.

Theme and KSBs	Pass Descriptors	Distinction Descriptors
	➢ How to manage expectations arounds budgets and being clear about achievable goals. ➢ Techniques that could be used to maximise resources such as: • Analysing the current financial situation and allocating resources appropriately. • Identifying overspending and inefficient areas.	
Using technology K14 S8 S19	P10. Describes the **technology, software**, and methods they use to produce documentation and support activities for the business, and how they monitor their use to reduce energy consumption when not in use. (K14, S8, S19)	n/a

Amplification

Technology and software
➢ The technology and software that are used 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 energy use is monitored e.g. switching off when not in use, adjusting brightness, setting shorter periods when screens go into sleep mode.

Theme and KSBs	Pass Descriptors	Distinction Descriptors
Contributing to a project K4 K8 S6 B3	P11. Explains how they utilise **project management tools and techniques** to plan a project, prioritise activities, monitor progress, and take corrective action to deliver against the project plan on time whilst taking ownership of the tasks. (K4, K8, S6, B3)	n/a

Amplification

Project management tools and techniques
➢ 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 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.
➢ The techniques used to manage resources effectively when delivering a project such as people, technology, equipment, budget, materials and other supplies, venues or 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.
➢ How to amend plans when the risks or issues have an impact on the critical path or other timelines.

Section 5

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 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 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 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 PAL website or by request to info@professionalassessment.co.uk

Reasonable adjustments/considerations/adaptations

Where reasonable adjustments have been requested, the 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 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 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 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 completions. Incomplete assessments are recorded.

Certification requests are made by PAL 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?

Glossary of Terms

EPA - end-point assessment.

IA - independent assessor.

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 review – 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.

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 end-point 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 the EQA which documents the requirements of the standard and assessment methods.

Appendix 1 – Gateway Declaration Record for Team Leader ST0384 v1.4

All information received will be processed as per GDPR requirements and as detailed in Professional Assessment Ltd.'s (PAL) Data Protection Policy and Data Privacy Notice.

Please ensure the apprentice's name is spelled accurately as this is how it will appear on the results statement/certificate.

Apprentice Name	Click or tap here to enter text.	**Apprentice Contact Number**	Click or tap here to enter text.
Apprentice ULN	Click or tap here to enter text.	**Apprentice Email Address**	Click or tap here to enter text.
Direct Line Manager Name	Click or tap here to enter text.	**Direct Line Manager Contact Number**	Click or tap here to enter text.
Direct Line Manager Email Address	Click or tap here to enter text.	**Employer Organisation**	Click or tap here to enter text.
Start Date of Apprenticeship	Click or tap to enter a date.	**Gateway Review Date**	Click or tap to enter a date.
Has the apprentice had any Breaks in Learning (BIL)?	Yes ☐ No ☐	**BIL Start Date**	Click or tap to enter a date.
		BIL End Date	Click or tap to enter a date.
This standard requires the attendance of the apprentice's employer/line manager at the planning meeting to discuss the requirements for the presentation topic. Please confirm the contact details below:			
Contact Name	Click or tap here to enter text.	**Contact Telephone Number**	Click or tap here to enter text.
Contact Email Address	Click or tap here to enter text.		

Section 1: Confirmation of Evidence and Reasonable Adjustments

All requirements listed below must be uploaded to EPAPro at point of submitting the apprentice to gateway. Apprentices will not be permitted to proceed to their end-point assessment until all evidence is uploaded and approved by PAL.

Requirement	Evidence available
English as per ESFA funding rules	Yes ☐ No ☐
Maths as per ESFA funding rules	Yes ☐ No ☐
Does the apprentice have an exception to the regular English and maths minimum requirements which is a barrier to them achieving the English and/or maths requirements as per ESFA funding rules? Evidence of a thorough and evidence-based assessment will be required that demonstrates that even with support, reasonable adjustments to the learning programme, and stepping stone qualifications, the apprentice will not be able to achieve the regular English and maths requirements	English - Yes ☐ No ☐ Maths - Yes ☐ No ☐
Does the apprentice require a reasonable adjustment _specifically_ for end-point assessment? (In addition to any adjustments for on-programme learning)	Yes ☐ No ☐

Requirement	Evidence available
Portfolio of evidence completed	Yes ☐ No ☐
Fully completed portfolio mapping record, including employer and apprentice signed statement validating the portfolio evidence	Yes ☐ No ☐

Section 2: Declaration

Employer and Training Provider Declaration

➢ I confirm the evidence has been reviewed and a Gateway meeting has taken place with the apprentice, employer, and training provider to confirm the apprentice's competence and readiness for end-point assessment.

➢ I confirm that the apprentice has developed, demonstrated, and achieved the required level of occupational knowledge, skills, and behaviours to satisfy the Gateway requirements in their workplace.

➢ I confirm that the apprentice is eligible for end-point assessment by undertaking the required training in line with the specific Apprenticeship Standard's requirements, including on and off the job training and experience to meet the full breadth and depth of the Apprenticeship Standard.

➢ I confirm that the assessment environments, including areas where exam conditions can be observed, have been identified and agreed.

➢ I confirm that reasonable adjustment requests have been submitted where appropriate to the apprentice.

Employer		Training Provider	
Name	Click or tap here to enter text.	**Name**	Click or tap here to enter text.
*Signature	Click or tap here to enter text.	***Signature**	Click or tap here to enter text.
Date	Click or tap to enter a date.	**Date**	Click or tap to enter a date.

Apprentice Declaration

➢ I confirm my readiness for the end-point assessment has been discussed with my employer and training provider.

➢ I confirm I am aware of the requirements of the end-point assessment.

➢ I give PAL, as the end-point assessment organisation, my consent to claim the Apprenticeship certificate on my behalf on successful completion of the end-point assessment.

Name	Click or tap here to enter text.
Signature	Click or tap here to enter text.
Date	Click or tap to enter a date.

*Supporting evidence to be submitted for electronic signatures, e.g., email confirmation, voice recording.