University of **Reading**

University Policy, Procedure and Guidance for Apprenticeship Programmes

The following Policy and guidance should be applied to all apprenticeship programmes, including award programmes and non-credit bearing programmes.

1. Programme Design and Approval

1.1. All new apprenticeship programmes will be approved through the University's normal Programme Approval procedures. This includes Award and non-credit bearing apprenticeship programmes at all levels.

   The Policy and process for introducing new Programmes can be found in the University's Programme Life-Cycle Policy and specific information on introducing Apprenticeship programmes can be found in Appendix 2 (http://www.reading.ac.uk/web/files/qualitysupport/Programme-Lifecycle-Policies.pdf)

1.2. All new apprenticeship programme proposals, including non-credit bearing programmes, are subject to a scrutiny process with internal, external and student representation. Where an existing UoR programme is being adopted for Apprenticeship funding the proposers should consult with CQSD to ascertain if an academic scrutiny process is required. External scrutiny panel members should include those who bring practice expertise as well subject expertise. For non-credit bearing programmes, external scrutiny may be carried out by the School's existing External Examiners, the Professional Bodies who own the Standard or members of the End Point Assessment Organisation.

1.3. In accordance with existing policy, all new apprenticeship programme proposals will be submitted to the University's Programme Board (UPB) for approval, including where existing UoR Programmes are adapted for Levy funding. All new apprenticeship programme proposals should include an academic case and a business resource case for the Programme. UPB will report all newly approved programmes to the University Board for Teaching and Learning.

1.4. All apprenticeship programmes will require a Programme Specification and Module Description Forms.

1.5. Programmes will be designed to the relevant approved national 'Apprenticeship Standard'; Programmes, including the training provision, will deliver the necessary knowledge, skills and behaviours in order for students to demonstrate full occupational competence in the relevant job.

1.6. All new programmes should be checked internally or externally to ensure that they are adequately mapped to the appropriate Apprenticeship Standard. It is the School's

responsibility to ensure that this has been done and to assure UPB of the mapping process. CQSD can assist with this process, or the End Point Assessment Organisation may be willing to undertake a mapping exercise on the School's behalf.

A programme may include an element of 'negotiated learning' with tailored module content delivered on behalf of specific employer needs.
It is anticipated that for apprenticeship programmes, the Programme Specification and Module Descriptions will specify the Learning Outcomes and give a broad outline of the subject content for the programme. Delivery modes and content may be flexible and contextualised to the Client needs or the work-place setting.

1.7. Proposers are advised to discuss their programme proposal with CQSD and Legal Services, in order to check any ESFA regulations concerning the delivery, RPL/RPEL, assessment criteria, subcontracting etc.

1.8. When a new Programme is developed the School must ensure that a 'gap analysis' is undertaken to ensure that the systems in place adequately support the programme delivery and the required data returns. The School should work with key University systems owners (eg the SIS team, IT Services, the TEL team) to carry out this activity and identify and map any system modifications that will be required for the programme delivery in the Business Case.

2. Client Approval and Delivery

2.1. Schools should seek appropriate Client Organisations with which they can deliver the apprenticeship programme. This may occur after the Programme has been approved or in tandem with the development and approval process. Potential Clients may inform the development of a programme.

2.2. The Policy and Procedure for Client Approval should be consulted (Appendix 2 of the Programme Life-cycle Policy[1]) and the Apprenticeship Client Contract Requirement Form[2] should be completed and submitted to Legal Services to process the contractual arrangements for the programme delivery.

2.3. Early on in the Client Approval process, Schools should have a full discussion with the Employer regarding each Parties obligations and to set out the University's approach to Apprenticeships and the ethos underpinning the University's provision of Apprenticeship programmes.

2.4. Records of meetings with Employers should be kept in order to record decisions and expectations regarding the programme delivery. These may also be required by external regulatory bodies as part of a review process.

2.5. If an existing Client wishes to enter into a new Contract for a different programme or level of programme, an Apprenticeship Client Contract Renewal or Variation Form[3] should be completed and submitted to Legal Services.

2.6. Only after a programme has been approved, and a Client Request has been completed and signed off by the relevant Teaching and Learning Dean, can an Agreement be put in place.

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[1] http://www.reading.ac.uk/web/files/qualitysupport/Programme-Lifecycle-Policies.pdf
[2] http://www.reading.ac.uk/nmsruntime/saveasdialog.aspx?lID=129040&sID=87193
[3] http://www.reading.ac.uk/nmsruntime/saveasdialog.aspx?lID=129041&sID=87193

2.7. Where the University is bidding for an apprenticeship delivery under a procurement process, these steps must still be completed but may occur after a bid has been accepted by the Client.

3. Entry Qualifications

3.1. Entry requirements for an Apprenticeship with a University prescribed HE qualification must follow the University's Entrance Requirements[4].

3.2. In addition students must satisfy the ESFA rules for apprentice eligibility[5].

3.3. Entry requirements for programmes at Level 4 or 5 without a University Award or Credit must be suitable for the programme level and be approved by UPB.

3.4. A requirement of the ESFA is that students must have a minimum of level 2 in maths and English in order to complete a Levy programme. If students do not have this level of maths and English when commencing their programme they must successfully complete an assessment during the programme. Schools should ensure provision is in place to support this.

4. Governance Arrangements

4.1. Governance arrangements for all apprenticeship programmes should follow the same structure as outlined in the Quality Management and Enhancement (QME) Policy[6].

4.2. A Board of Studies, Programme Area Committee (in HBS), or equivalent, should be set up to oversee the programme-specific operational quality control and assurance mechanisms as outlined in QME2.

5. Cyclical Quality Assurance Processes

5.1. Annual Monitoring

5.1.1. Each apprenticeship programme (at all Levels) will be subject to annual monitoring processes.

5.1.2. Apprenticeship programmes should be considered by the Board of Studies in its Annual Quality Assurance Review process, alongside all other programmes in the School.

5.1.3. In addition, Programme Directors for each apprenticeship programme should follow the Apprenticeship Annual Review (AAR) policy and process.

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[4] http://www.reading.ac.uk/web/files/Calendar/G1_Entrance_Requirements_2017-18.pdf
[5] https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/697992/Provider_v6.pdf (page 11) [2017/18]
[6] http://www.reading.ac.uk/web/files/qualitysupport/qualityoverview.pdf

5.1.4.   The Apprenticeship Annual Review is intended to provide Programme Directors with the opportunity to routinely monitor the management and operation of their apprenticeship programme and their relationship with individual Clients during the previous academic year

5.1.5.   Programme Directors should complete the AAR Form[7] and append this to the School's AQAR report for further consideration by the University as part of the AQAR process.

5.1.6.   For provision in the current Academic Year (2017-18) the University Annual Quality Assurance Report will include a specific section with reference to the Apprenticeship provision. This process will be reviewed for the next academic year in light of increasing volume of provision.

5.2. Periodic Review

5.2.1.   All apprenticeship programmes should be considered as part of the School's Periodic Review process[8]. If it is deemed appropriate the Apprenticeship provision within a School may be considered separately from the main Periodic Review.

5.3. Review Prior to Contract Renewal

5.3.1.   When a Client Contract is due to expire, a review of the provision and programme delivery with this particular Client should be undertaken prior to renewing/extending the Agreement in place. (See Appendix 2 of the Programme Life-cycle Policy[9])

5.3.2.   An apprenticeship Client Contract Renewal or Variation Form[10] should be completed and submitted to Legal Services to process the contractual arrangements. The Agreement cannot be renewed or extended without this form.

6. External Regulatory Conditions

6.1. Record keeping:

6.1.1.   Schools are advised on the importance of record keeping for both internal and external quality assurance processes and regulatory data returns.

6.1.2.   Records should be kept up to date, and data should be updated as soon as possible and at least monthly, in order to comply with the ESFA data returns.

6.1.3.   Both quantitative and qualitative data should be kept updated.

Quantitative data may include individual assessment results, progression statistics and cohort equality and diversity statistics.

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[7] Link TBC

[8] http://www.reading.ac.uk/web/files/qualitysupport/periodicreviewprog.pdf

[9] http://www.reading.ac.uk/web/files/qualitysupport/Programme-Lifecycle-Policies.pdf

[10] http://www.reading.ac.uk/nmsruntime/saveasdialog.aspx?lID=129041&sID=87193

Qualitative data may include notes of any meetings with a student or a Client, referrals to study support, student feedback and minutes from Apprenticeship Programme Boards.

More information about data requirements and the types of data required can be found in ESFA ILR guidebook[11], and for level 4 and 5 programmes only, in the Ofsted Common Inspection Framework[12].

6.1.4. It will be the School's responsibility to ensure that the quantitative and qualitative data records are kept up to date and are readily accessible for ESFA returns, Ofsted reports and audits.

6.1.5. Students will remain enrolled at the University until they have completed their End Point Assessment, which is likely to be after they have completed their University programme. Schools should ensure records continue to be kept until the student is signed off by the End Point Assessment Organisation.

6.2. ESFA

6.2.1. The University is responsible for monthly student data returns to the ESFA in order to draw down the Levy Funding. Currently, a team sits within HBS to ensure this process happens. A systems team will be put in place for other Schools in due course.

6.2.2. It will be important for Schools, CQSD and the ESFA Admin Team to be aware of changes in ESFA regulation and to ensure that the correct data is being collated and managed. The ESFA Admin Team will be responsible for carrying out a gaps analysis of data returns in light of any ESFA regulatory changes.

6.2.3. The ESFA may undertake an audit of the University's Apprenticeship provision, including a Site Visit. This is likely to be a review across the institution, rather than per School. Preparation for such visits will be undertaken by CQSD in liaison with Schools.

6.3. Ofsted (For any Level 4 and 5 programmes)

6.3.1. All Level 4 programmes and Level 5 programmes without a prescribed HE qualification will be under the purview of Ofsted.

6.3.2. Those Schools who plan to offer a Level 4 or 5 programme should consult with CQSD to discuss the additional requirements for external reporting.
These include:

- The production of an annual Self-Assessment Report (SAR) to Ofsted including data on:

    o Student body details (including a break down by Cohort and Client)

    o Individual student details and student journey (including qualitative data records, ie: a record of every meeting and contact

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[11] https://www.gov.uk/government/publications/ilr-guides-and-templates-for-2017-to-2018

[12] https://www.gov.uk/government/publications/further-education-and-skills-inspection-handbook

with a student, consideration of progress, student feedback, specific learning targets)[13]

- o Evidence of understanding by the student of 'Prevent', safeguarding, equality and diversity, health and safety, British values and Respect Agenda

- o All Client details

- o Progression data (by cohort, client and individual)

- o Assessment data (by cohort, client and individual)

- o Graduate data (by cohort, client and individual)

- o Cohort equality and diversity statistics

- Preparation for Ofsted inspections, which may come at very short notice, and compliance and alignment with the Ofsted benchmarks as outlined in the Common Inspection Framework[14] is the responsibility of individual Schools offering level 4 and 5 programmes.
  Schools should be prepared to be inspected and will be supported by CQSD.

  A Senior Quality Support Officer or a Henley Business School representative (where Henley is the only School delivering level 5 Ofsted inspected apprenticeships) will be nominated as the main point of contact with Ofsted for inspection activities. The School will be responsible for providing relevant data for their students and programmes.

Quality assurance arrangements for Level 5 Programmes which include a prescribed HE qualification (ie: DipHE, Foundation Degree) will be overseen by a combined Ofsted - QAA Process. Details of the arrangement for this are pending.

6.4. QAA

6.4.1.   The QAA will oversee the quality assurance arrangements in place for the delivery of Level 6 and Level 7 Degree Apprenticeship Programmes.
This will be through the University's standard Annual Learning and Teaching Review return to the QAA.

6.4.2.   CQSD will be responsible for ensuring Degree Apprenticeship activity is captured in the ALTR return.

7. Support for Apprentices

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[13] See the Ofsted Common Inspection Framework for more details:
https://www.gov.uk/government/publications/further-education-and-skills-inspection-handbook
[14] https://www.gov.uk/government/publications/further-education-and-skills-inspection-handbook

7.1. Schools will be expected to put in place provision to fully support apprentice students and work with Clients to ensure apprentices have all the necessary assistance for success in the work-based elements of their programme. Within HBS an Apprenticeship Tutor will be put in place to support students and carry out the following responsibilities, this or other models may be adopted by other Schools to fulfil these requirements.

Support should include, but is not limited to:

- Meeting students during an induction/orientation event at the beginning of the programme

- Maintaining regular contact with each apprentice

- Maintaining regular contact with the Client/employer to discuss issues across the cohort and, where necessary, individual students

- Maintaining adequate records (Schools must document all meetings with Clients and students)

- Ensure the student's learning log is kept current and working with the student to address any issues highlighted

- Prepare and agree progress reports as required

- Maintain awareness of sources of support for the apprentice

- Monitoring student progress and identifying at risk individuals

- Ensure accuracy of student records

- Visiting students at their work place

- Assist apprentices with their personal, professional and career development in the context of the apprenticeship by:

  1. Developing a learning plan

  2. Directing students to appropriate study skills advice

  3. Encouraging and assisting with reflection on progress to date (including reflection on academic grades and feedback)

  4. Encouraging students to keep their learning plan up-to-date

  5. Review progress toward development of a portfolio (if needed for the end point assessment)

  6. Discuss implications of personal development modules