

Apprenticeship Provision – Apprenticeship Assessment policy

UPR AS14, Appendix IV - version 20.0

Policies superseded by this document

This document replaces version 19.0 of UPR AS14, Appendix IV, with effect from 1 September 2026.

Summary of significant changes to the previous version

Minor updates have been undertaken to ensure alignment with external sector developments.

Glossary

A glossary of approved University terminology can be found in [UPR GV08](#).

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1 Introduction

- 1.1 As a provider of Apprenticeships, the University of Hertfordshire is committed to delivering a high-quality training experience and as required to manage the delivery the *Apprenticeship Assessment (AA)*.
- 1.2 The aim of this policy is to ensure the University of Hertfordshire has an identified approach for managing and assuring the quality of the *Apprenticeship Assessment* for its Higher and-Degree Apprenticeships (HDA) where the University is the approved *Apprenticeship* Assessment Organisation (AAO).
- 1.3 The University is committed to ensuring the learner has a positive experience of their end point assessment and that a consistent approach is taken toward *Apprenticeship Assessment*.

2 Background

- 2.1 This policy provides detail on *Apprenticeship Assessment* and should be read in conjunction with the University's UPRs AS12¹, AS14² and AS17³ and other guidance and policies linked to the Higher and Degree Apprenticeship. This policy will set out the roles and responsibilities for both integrated and non-integrated *Apprenticeship Assessment*'s. Existing University policies and regulations still govern any academic award within an apprenticeship, but programmes should be cognizant of the requirements of *Apprenticeship Assessment* at the time of approval, including any requirements to adjust how the University would typically deliver its academic awards.
- 2.2 This policy is congruent with the policy principles of the Department for Education (DfE) funding rules for *training* providers and is informed by Skills England and the OfS External Quality Assurance (EQA) framework and guidance.
- 2.3 All apprenticeship standards will have an accompanying assessment plan which defines the process and expectations of the *Apprenticeship Assessment*. This determines if the apprentice has met the requirement of the apprenticeship standard: that is, they are able to demonstrate the Knowledge, Skills and Behaviours (KSB) and are occupationally competent.
- 2.4 Prior to being eligible for the *Apprenticeship Assessment* the apprentice will need to meet the 'Gateway' requirements as determined by the standard. The Employer's permission is required to proceed to the *Apprenticeship Assessment*.
- 2.5 The detail of the *Apprenticeship Assessment* is described in the Assessment Plan associated with the standard. The *Apprenticeship Assessment* may be integrated or non-integrated and this is pre-determined:
 - i Integrated: this is a component of the final academic award. The University will provide all the scheduled-on programme learning and the *Apprenticeship*

¹ UPR AS12 'Assessments, Examinations and Conferments (University-Delivered provision)'
² UPR AS14 'Structure and Assessment Regulations - Undergraduate and Taught Postgraduate Programmes'
³ UPR AS17 'Academic quality'

Assessment. The University will be acting as the *Apprenticeship Assessment Organisation* for integrated *Apprenticeship Assessment*'s.

- ii Non-integrated: the final academic award is achieved, and the *Apprenticeship Assessment* is then conducted independently of the University by an *Apprenticeship Assessment Organisation* of the University's and employer's choice.

3 External Quality Assurance of the University as an Apprenticeship Assessment Organisation.

3.1 As an *Apprenticeship Assessment Organisation*, the University is subjected to External Quality Assurance (EQA) by the Office for Students. This includes:

- i. Readiness checks;
- ii. Monitoring checks.

3.2 Each activity listed above has specific requirements which are detailed in the External Quality Assurance of *Apprenticeship Assessment* for Integrated Higher and Degree apprenticeships guidance for providers handbook⁴.

4 Department of Education

4.1 The University is required to maintain their status on the Apprenticeship Provider and Assessment Register (APAR).

4.2 The University must be registered on the Apprenticeship Provider and Assessment Register (APAR) for each Apprenticeship Standard that is being delivered where the *Apprenticeship Assessment* is integrated.

4.3 Applications to the APAR will be managed collectively between the programme team, Apprenticeship Compliance and Support team and other relevant University departments.

4.4 Early engagement with this process is advised as the application must be approved as per section 4.4 at least twelve months before the first *Apprenticeship Assessment* is scheduled to take place.

4.5 The University will supply all required information to the Department for Education to ensure compliance with the *Apprenticeship Assessment* process and outcomes.

5 Apprenticeship Assessment

5.1 Integrated Apprenticeship Assessment

5.1.1 The Assessment Plan will indicate that the *Apprenticeship Assessment* is integrated: the University will provide both the on programme learning/training and the *Apprenticeship Assessment*. The *Apprenticeship Assessment* is part of the academic award and is normally the final project/module. All *Apprenticeship*

⁴ <https://www.officeforstudents.org.uk/publications/external-quality-assurance-of-apprenticeship-end-point-assessment-for-integrated-higher-and-degree-apprenticeships/>

Assessment's consist of at least two forms of assessment. The integrated *Apprenticeship Assessment* will have been approved at the time of validation of the programme. When the University is the *Apprenticeship Assessment Organisation*, the existing internal quality assurance arrangements will be adhered to and all external quality assurance requirements.

5.1.2 The University must comply with all aspects and requirements of the *Apprenticeship Assessment* as identified in the Assessment Plan. This includes:

- i clarification of the Gateway requirements for both learner and employers and identify how this will be assessed, evidenced and verified;
- ii in exceptional circumstances where apprentices do not have level 2 qualification in maths and English, this must be remediated before they can progress through the Gateway *unless exemption apply*. Schools must be able to provide evidence that maths and English requirements have been met;
- iii protocols demonstrating how the *Apprenticeship Assessment* will be delivered should be developed by the programme team for comparability and consistency of practice including specific determination of the employer involvement where applicable and to determine the state of readiness;
- iv determining who the assessment teams will be and how they will engage with employers, Professional Statutory Regulatory Body's (PSRB's) and University academic staff independent of any aspects of 'on programme' learning as identified in the Assessment Plan;
- v the independent nature of the *Apprenticeship Assessment* must be assured, and the assessor must be independent of the apprentice and employer. Each School will take the necessary steps to demonstrate this independence and will have sourced staff who are independent of the on-programme delivery or recruited appropriately qualified assessors externally. The Independent Assessor will have the necessary skills, experience, occupational competence and qualifications required to facilitate the assessment;
- vi if PSRB recognition is conferred on successful completion of the *Apprenticeship Assessment*, the associate Assessment Plan may require that the assessment is conducted by Independent Assessor who holds a specified professional status and the School will need to comply with this;
- vii academic subject expertise may not be sufficient to demonstrate that the assessors are equipped to assess the professional competency of the learner. Workplace experience and occupational competence may also be required;
- viii each School will be responsible for induction and training of Independent Assessors, including holding bi-annual standardisation meetings for independent assessors to maintain consistent, valid and fair approaches to assessment;
- ix the assessment must comply with the normal requirements of University's Policy and Regulations AS12 and AS14;
- x monitoring and reviewing outcomes from the different assessments in the *Apprenticeship Assessment*;

- xi where a work-based project forms part of the *Apprenticeship Assessment*, it may be necessary for the employer to be involved in agreeing the scope of the project as it is important that the project meets the needs of their organisation;
- xii the University, as the *Apprenticeship Assessment Organisation*, will need to agree the scope of the work-based project, ensure it is comparable to other projects and that it will fulfil the requirements of the *Apprenticeship Assessment* for the Apprenticeship Standard and Assessment Plan;
- xiii the University may produce project specifications to guide employers in determining the requirements of the work-based project;
- xiv there should be evidence of ‘sign off’ by all parties, University, employer and learner on any agreed work-based project;
- xv all interviews, presentations, professional discussions should be recorded in an appropriate manner and stored for quality assurance purposes on University systems only for the duration specified by the *DfE* and stored in accordance with the requirements of UPR IM16⁵;
- xvi individual staff members must not retain any copies of assessed work either electronic or hard copies;
- xvii referrals will be undertaken in line with existing UPR AS14² except where the Assessment Plan sets out specific procedures in which case the assessment plan takes precedence. Programme specific assessment requirements will identify this;
- xviii where the assessment plan references the role of the external examiner (industry relevant experience) consideration of these requirements should occur at the time of appointment;
- xix conflicts of interest on the part of independent assessors will be managed in line with relevant University policy;
- xx Schools will confirm all completed *Apprenticeship Assessment’s* to Degree Apprenticeship Compliance team who will manage the data returns to *DfE*;
- xxi meet other requirements detailed in the Apprenticeship Assessment Plan, which may include:
 - a the production of an annual evaluation report; or
 - b the requirement to collaborate with other *Apprenticeship Assessment Organisation’s*;
- xxii comply with reporting requests from the External Quality Assurance Provider.

5.2 Non-integrated Apprenticeship Assessment

- 5.2.1 When the *Apprenticeship Assessment* is non-integrated, successful completion and ratification of the final academic award is required before the *Apprenticeship Assessment* can be attempted. The *Apprenticeship Assessment* is carried out by a

⁵ UPR IM16 ‘Data Management Policy’

designated *Assessment Organisation* (The University in discussion with the Employer will determine the *Apprenticeship Assessment Organisation* to be used and therefore, the University may be working with more than one *Apprenticeship Assessment Organisation* for any one cohort of learners.)

5.2.2 The University must comply with all aspects and requirements of the *Apprenticeship Assessment* as identified in the Assessment Plan. This includes:

- i clarification of the Gateway requirements for both learner and employers and identification of how this will be assessed, evidenced and verified;
- ii ensuring that the apprentice will have the appropriate learner status within the University during their Gateway and *Apprenticeship Assessment* period;
- iii communicating with employers to inform them of the attempts and outcomes from each *Apprenticeship Assessment*.

5.2.3 The University will work with employers to ensure they are informed of available *Apprenticeship Assessment Organisation*. The University will:

- i provide the employer with the Gateway declaration and details of the *Apprenticeship Assessment Organisation* chosen and ensure they are returned and stored;
- ii in exceptional circumstances where apprentices do not have level 2 qualification in maths and English, this must be remediated before they can enter the Gateway *unless exemptions apply*. The *Apprenticeship Assessment Organisation* will require verification of these qualifications;
- iii engage with the *Apprenticeship Assessment Organisation (s)* of choice and establish the necessary contracts setting out the terms and conditions of the contract;
- iv ensure contracts for *Apprenticeship Assessment* delivery will be signed in a timely manner and in accordance with the University's standard financial practice;
- v maintain responsibility for paying the *Apprenticeship Assessment* from the fees it receives from delivering the apprenticeship training. The maximum percentage cost that can be spent on the *Apprenticeship Assessment* is established by *Skills England*;
- vi the Schools and central degree apprentice teams will work with the *Apprenticeship Assessment* to develop support, guidance and arrangements for *Apprenticeship Assessment*;
- vii where it is identified that the learner is not ready to proceed with *Apprenticeship Assessment*, work with the employer and identify appropriate action to support the learner so as the *Apprenticeship Assessment* can be taken within the specified timeframe as identified in the Assessment Plan.

5.3 Guidance on Apprenticeship Assessments

- 5.3.1 Guidance for each *Apprenticeship Assessment* will be provided to apprentices, employers, Independent Assessors, Internal moderators, External Examiners and other relevant stakeholders by the programme team.
- 5.3.2 This guidance document will include:
- i. The assessment tasks
 - ii. Delivery plan for *Apprenticeship Assessment* tasks
 - iii. Process for assessment, moderation and external assessment
 - iv. Grade descriptors
 - v. Detail of relevant University regulations for the final award and the process for securing Apprenticeship Certificate.
- 5.3.3 The Independent Assessor and External Examiner may require additional information regarding the marking and moderation processes.

5.4 Scrutiny and Approval of Apprenticeship Assessments

- 5.4.1 All assessment tasks will be scrutinised by the programme team (internal moderation) In the first instance and then by the External Examiner Assessor (external moderation).
- 5.4.2 Internal moderation will be undertaken by a team member not involved in the design or any aspect of the delivery of the *Apprenticeship Assessment*. Recommendations are to be formally recorded and considered in the final design of the assessment.
- 5.4.3 External moderation will be conducted but the External Examiner and recommendations made will be considered in the final design of the assessment.
- 5.4.4 The assessment tasks for *Apprenticeship Assessment* can only be issued to apprentices following appropriate internal and external moderation.
- 5.4.5 Where question banks used for *apprenticeship assessment* have been internally and external moderated, there is no need for subsequent moderation prior to issuing to apprentices. *The Independent Assessor should be involved in selecting the questions from the question bank.*

5.5 Delivery of Apprenticeship Assessments

Practical arrangements for the delivery of the assessment tasks is the responsibility of the programme team. This may include but is not limited to:

- i. schedule of the assessment components
- ii. issuing the assessments to apprentices
- iii. organising appropriate rooms/venues in which to conduct the assessment
- iv. recording and storage of completed end point assessments
- v. co-ordinating assessment panels and the work of the Independent Assessors
- vi. ensuring assessment related documentation is completed

- vii. making timely adjustments of the *Apprenticeship Assessment* for apprentices who have declared additional need in accordance with their Study Needs Agreements

5.6 Marking of Apprenticeship Assessments

- 5.6.1 Marking of the *apprenticeship assessment* tasks is conducted by the Independent Assessor who has been approved by the University
- 5.6.2 Moderation of the marked work is completed by the programme team member who has not been involved in the design or delivery of the assessment tasks unless there are two Independent Assessors, in which case, they will undertake the marking and the moderation.
- 5.6.3 External moderation is completed by the External Examiner.

5.7 External Examiners

- 5.7.1 The External Examiner is appointed to the Apprenticeship Assessment element of the apprenticeship programme. This may be additional to the existing External Examiner or where permitted, maybe a combined role.
- 5.7.2 Schools are responsible for recruiting External Examiners.
- 5.7.3 Normally there will be an External Examiner appointed for each end point assessment unless there is a cognate apprenticeship standard.
- 5.7.4 External Examiner must be nominated on the AQ11a form and will follow existing approval, appointment and reporting processes.
- 5.7.5 Notification of appointment of External Examiners for *Apprenticeship Assessment* to the regulatory body will be on the Notification form and submitted on-line.
- 5.7.6 External Examiner will attend University induction and bespoke *Apprenticeship Assessment* induction.
- 5.7.7 External Examiner are expected to conduct one visit (in person or on-line) to the *Apprenticeship Assessment Organisation* each academic year.
- 5.7.8 External Examiners will complete an annual report for the University and the regulatory body regarding the *Apprenticeship Assessment*. Where the External Examiner for *Apprenticeship Assessment* is not also the External Examiner, they will only produce a report specifically on the *Apprenticeship Assessment*. Where the External Examiner is also the External Examiner, they will produce two reports: a report to the University which will focus on the academic standards, learner performance and the assessment of the degree components and a report on the management of the *Apprenticeship Assessment*.

6 Resits and retakes of Apprenticeship Assessment

- 6.1 The Assessment Plan details the requirements for resits and retakes. Where there are no specific requirements identified in the assessment plan, UPR AS12¹ will determine the process.

6.2 Resits and retakes are defined by *Skills England* as:

- i a retake requires a period of further learning before the learner can attempt the *Apprenticeship Assessment* again;
- ii a resit does not require further learning before attempting reassessment of the *Apprenticeship Assessment* or the failed component of the *Apprenticeship Assessment*.

6.3 The cost of retakes will be detailed in the contract with the *Apprenticeship Assessment Organisation* (for non-integrated *Apprenticeship Assessment*).

7 Feedback and monitoring of Apprenticeship Assessment and Apprenticeship Assessment Organisations

7.1 To develop an understanding of the *Apprenticeship Assessment* experience from a range of perspectives, the University's will coordinate *feedback via the Apprenticeship Advisory Group (AAG)*.

7.2 Feedback from *Apprenticeship Assessment Organisation's* as identified in the contractual arrangements will be requested for non-integrated *Apprenticeship Assessment's*. An annual report on *Apprenticeship Assessment outcomes* will be presented to the Higher and Degree Apprenticeship Committee.

8 Applying for Completion Certificates

8.1 Where the *Apprenticeship Assessment* is integrated, the University will retain responsibility for claiming the Apprenticeship Completion Certificate from the Apprenticeship Assessment Service on notification from the relevant School that the *Apprenticeship Assessment* has been successfully passed.

8.2 The classification of the outcome of the end point assessment for the apprenticeship will be as stated in the Assessment plan.

8.3 The awarding of the degree element will be in accordance with the University regulation UPR AS11⁶ and the certificate issued via the standard University process.

8.4 Where the *Apprenticeship Assessment* is non-integrated, it is the responsibility of the *Apprenticeship Assessment Organisation* to apply for the Apprenticeship Completion Certificate on behalf of the learner.

8.5 If the learner fails to successfully complete the *Apprenticeship Assessment* they may still receive the relevant University award. They will not receive the Apprenticeship Completion Certificate.

9 Consistency and comparability

9.1 The University will ensure consistency in *Apprenticeship Assessment* in the following ways and as shown above:

⁶ UPR AS11 'Schedule of Awards'

- i providing guidance on the *Apprenticeship Assessment* to learners and employers in relation to the delivery of the *Apprenticeship Assessment* (practical and technical activities, marking guidance for *Apprenticeship Assessment* activity);
- ii consulting with industry/technical experts and External Examiner when developing relevant work-based projects to ensure there is comparability and consistency in terms of breadth and depth of assessment across the provision where the standard is being delivered to ensure the assessment is reliable, valid and fair to all learners;
- iii through recruitment, preparation and on-going training of appropriate Independent Assessors;
- iv developing protocols to determine how the assessment process will be carried out;
- v holding regular standardisation meeting to ensure consistency of assessment and marking practice;
- vi through recording and retention of any practical components of assessment for moderation and quality assurance processes;
- vii monitoring outcomes from Board of Examiners;
- viii using the annual monitoring and evaluation process to review outcomes and enhance practice.

10 Appeals and complaints

- 10.1 When the *Apprenticeship Assessment* has been carried out by the University it is subject to the normal appeals and complaints procedures (UPRs SA16⁷ and GV15⁸). If the issues cannot be resolved, it may be escalated to the External Quality Assurance provider and *DfE*.
- 10.2 For non-integrated *Apprenticeship Assessment* the apprentice must follow the complaints process of the *Apprenticeship Assessment organisation*.

Dr Matthew Andrews
Secretary and Registrar
Signed: **1 August 2026**

Alternative format

If you need this document in an alternative format, please email us at governanceservices@herts.ac.uk.

⁷ UPR SA16 'Student and Applicant Complaints'

⁸ UPR GV15 'Complaints Policy (non-staff, non-student)'