

Initial Assessment Process and Policy

Functional Skills

INITIAL ASSESSMENT PROCESS AND POLICY

Initial assessments are a requirement of the Education and Skills Funding Agency (ESFA) funding rules, and the initial assessment carried out must be documented and form part of the evidence pack.

The initial assessment must include the assessment for English and Maths and evidence of prior attainment where applicable and this policy indicates what, why and how we complete this activity.

The approach IC Training Centre has taken when considering initial assessments is as follows:

1. To recognise that existence of prior learning extends beyond English, Maths and existing qualifications
2. All of the Knowledge, Skills and Behaviours (KSBs) as set out within the Apprenticeship Standard should be considered in ascertaining the level of prior knowledge
3. Recognition of prior learning forms part of the Apprenticeship eligibility requirements and therefore we must evidence our process taken and document the results for each apprentice, and finally
4. Initial assessment is vital to ensuring and maintaining we deliver high quality apprenticeships and the evidence to support a robust initial assessment will form evidence for Ofsted.

This document sets out the process that IC Training Centre will take towards completing initial assessments specifically relating to functional skills in accordance with the ESFA funding rules.

LEARNER ADVICE AND GUIDANCE

Prior to consideration of any apprenticeship, IC Training Centre will carry out an initial learner and advice session to ensure that all potential apprentices are aware of the requirements of apprenticeships, their required commitment and an overview of the process.

At this stage potential learners may not consider the apprenticeship appropriate or may consider alternative apprenticeships available to them. The initial advice and guidance sessions aims to provide as much information as possible to allow each individual learner and their employers to make informed decisions as to their chosen apprenticeship route.

USE OF INITIAL ASSESSMENT TOOLS

All learners will be required to complete initial assessments using an appropriate online platform or paper-based assessments, where online capabilities are not available.

Learners will be required to complete initial assessments in both Maths and English as a minimum. Learners should also be afforded the opportunity to undertake an initial assessment in ICT where ICT functional skills form part of the apprenticeship they are considering.

Where an employer has already identified the apprenticeship, they wish for their potential apprentice to undertake, the initial assessment results should be compared the requirements of the apprenticeship programme to ensure that the learner is currently operating at a level that is deemed sensible for the learner to achieve their apprenticeship.

Only in exceptional circumstances and with appropriate support plans in place would we consider enrolling an apprentice onto a higher-level programme where the initial assessments in Maths and English as a minimum do not meet the expected requirements of either the apprenticeship or the entry requirements

Initial Assessment Process and Policy

Functional Skills

as set by the employer.

Following completion of initial assessments in both Maths and English, learners may not meet the requirements of the apprenticeship and as such we should provide them with further advice and guidance as to their next steps, this may include signposting to alternative providers or developing a pre-apprenticeship development plan for Maths and English to support them in achieving the expected level of initial assessment.

Where Maths and English results are deemed to be at the correct levels, learners will be required to present their exemptions, if available to form part of the evidence pack.

Learners with an exemption from the requirement to complete Maths and English as part of their apprenticeship should be afforded the opportunity to complete a full diagnostic to ascertain any additional activities that could be incorporated into their learning plan to ensure that Maths and English are both embedded throughout their programme at an appropriate level but also to provide stretch and challenge.

Where learners cannot provide exemptions for Maths and English the learner will complete a full diagnostic and an individual learning plan is to be created to support their apprenticeship journey.

The process flow on page 5 summarises the position with regards to Maths and English.

PRIOR QUALIFICATIONS

As part of the application stage all learners are required to confirm the existence of prior qualifications, in addition to these many learners will have a personal learning record (PLR).

Please refer to the 'Initial Assessment Policy and Process for Prior Learning' for guidance on assessing and determining the approach to take where prior learning is established.

Using prior qualification information available HomeServe will establish whether the apprenticeship is at the appropriate level and justify based on the information available that an apprenticeship continues to be the most appropriate route for further training to take place.

PRIOR EXPERIENCE

Whilst the use of initial diagnostics and review of prior qualifications will provide a basis for informing decisions on the most appropriate apprenticeship, we will also consider the job roles undertaken by the potential apprentice including their current position.

Each learner should be assessed, through a self-reflection, to determine their own current level of knowledge, skills and behaviours against the individual requirements of the apprenticeship considered.

Where learners identify that they already have existing knowledge, skills and behaviours that do not require further development we should clarify and confirm with this with the employer. In cases where the individual learner has been employed in the same job role for a number of years a full detailed skill scan should be undertaken in conjunction with the employer to identify areas for further development and areas where the learner is already fully competent or has a level of knowledge that directly correlates to the requirements of the apprenticeship.

RECORDING INITIAL ASSESSMENTS

As part of the evidence pack required under the apprenticeship funding rules the above process should be clearly documented and any judgements made at each stage should be concluded upon fully to ensure that

Initial Assessment Process and Policy Functional Skills

the initial assessment process is robust and supports the delivery of a high quality apprenticeship programme that benefits all stakeholders.

Please also refer to the 'Initial Assessment of Prior Learning' Policy for additional checklists and guidance specifically relating to any prior learning and experience the potential apprentice may hold.

Both assessments can be captured in the Professional Discussion Template.

REVIEW

This policy will be reviewed on an annual basis or following changes to Government updates and statutory guidance in relation to Covid-19 and company risk assessment policies and processes.

Initial Assessment Process and Policy

Functional Skills

Appendix 1

Individual Professional Discussion template

Learner Name		Date of birth	
Apprenticeship		Level	
Employer		Job Role	
Employer/career/progression objectives			
How will this apprenticeship help you in your current role and/ or secure future employment?			
About your job			
What does your current job involve?			
How long have you been in this job?			
About your previous qualifications/learning?			
Do you already hold a qualification in the subject area of your apprenticeship? If so, please state.			
Employment details			
Is the employment contract for at least the length of the apprenticeship?		Contracted hours per week:	
Number of days paid holiday:		% of working time spend in England:	
Objectives: what are you looking to improve?			
1.		Learner rating out of 10	Employer rating out of 10
2.			
3.			

Initial Assessment Process and Policy Functional Skills

Appendix 2

Initial assessment			
Assessment method used	Date	Results	Recommendation
Numeracy			
Literacy			
ICT			
Other, please state			
Identified additional support needs			
Additional learning needs		Additional social needs	
Outline details of support			
Brief summary, full details to be recorded on the assessment plan			
Programme details			
Apprenticeship title:		Level	
EPA period		Reduction due to RPL	
Extension if working less than 30 hours per week			
Additional qualifications/training			
Record any additional qualifications, awards and or training required in order to satisfy the standard including any specific training at the employers' premises			
Signatures			
Learner Declaration		Date	
Employer Declaration		Date	
Declaration		Date	

Initial Assessment Process and Policy Functional Skills

Appendix 3

INITIAL ASSESSMENT ENGLISH

