



## **APPRENTICESHIP ASSESSMENT**

### **GUIDANCE FOR END-POINT ASSESSORS**

### **PMI END-POINT ASSESSMENT PROGRAMME**

**May 2016**

## TABLE OF CONTENTS

<b>Section</b>	<b>Page</b>
The Pensions Management Institute	1
Introduction	1
Financial Services Trailblazer Standards	1
Parties Involved	1
End-point Assessment	2-3
The Role of the End-point Assessor	4
Who can be an End-point Assessor	5
Training, Advice and On-going Support for End-point Assessors	5-6
Quality Assurance for End-point Assessment	6-8
Honoria and Expenses	8
End-point Assessment Allocation	8
Portfolio Assessment Approach	9
Types of Evidence That May be Encountered in Portfolios	9-10
Presentation of Evidence in Portfolios	10
Suitability of Evidence in Portfolios	10-11
The Reflective Discussion	11-12
Grading: Pass or Distinction	13
Recording Decisions	13
Sampling and Moderation	13
Complaints and Appeals/Malpractice and Maladministration	13
Consistency and Integrity of Assessment Decisions	13
Completing the End-point Assessment Documentation	14
PMI Policies	14
Governance	15
Contacts at PMI	15
<b>Appendices</b>	<b>16-101</b>

## The Pensions Management Institute (PMI)

The Pensions Management Institute (PMI) is the professional body which supports and develops the experts who run UK pension schemes. It has the broadest skills base of pensions professionals and trustees in the UK, with some 6,500 members dedicated to establishing, maintaining and advancing the highest levels of pensions knowledge.

PMI members are responsible for managing and advising some of the largest institutions in the world and taking key decisions on substantial financial matters. With some £1 trillion invested in UK pensions, PMI members have a vital role to play in shaping the nation's financial future.

With almost 40 years of successful operation behind it, the PMI is an organisation at the cutting edge of pensions. For full details of PMI's qualifications, membership grades and ongoing support services visit [www.pensions-pmi.org.uk](http://www.pensions-pmi.org.uk)

## Introduction

The PMI is registered with the Skills Funding Agency as an Apprenticeship Assessment Organisation. The PMI is listed on the Register of Apprentice Assessment Organisations as an organisation that has been assessed as suitable to conduct independent end point assessment of apprentices and be in receipt of public funds [TBC]. This document sets out the guidelines for those acting as end point assessors for the PMI. It also includes the standards expected and relevant procedures.

It was published in 2016.

## Financial Services Trailblazer Standards

The PMI is registered as an assessment organisation for the Financial Services Trailblazer for the following standard:

### Workplace Pensions (Administrator or Consultant) – Level 3

This apprenticeship standard was developed in 2015. It is an entry level apprenticeship and includes options for aspiring administrators and consultants.

The full standard can be found in Appendix A.

The corresponding Assessment Plan can be found in Appendix B.

## Parties Involved

The following parties are involved:

1. Candidate. An individual undertaking a trailblazer apprenticeship.
2. Employer. An organisation delivering an apprenticeship and sponsoring a candidate.
3. Training Provider. An organisation engaged by an employer to deliver all or some of an apprenticeship,
4. Professional Body. There are a number of professional bodies involved in these apprenticeships. All are associated with the relevant professional qualifications included within the standards. In addition the PMI is an assessment organisation.
5. Assessment Organisation. An organisation engaged by an employer to conduct independent end point assessment of apprentices.
6. End-point Assessors. Individuals engaged by the assessment organisation to undertake end point assessment in accordance with these guidelines.

End-point Assessment has a particular meaning in the context of the trailblazer apprenticeship. It is distinct from any assessment activity that may form part of a PMI, or other, work based qualification.

There are three aspects to End-point Assessment in the PMI End-point Assessment Programme.

### 1. Portfolio

The Portfolio contains evidence from real work activity by the apprentice that is likely to have completed towards the end of the apprenticeship and will illustrate the application of the knowledge, skills and behaviours within the relevant Standard synoptically. It will demonstrate the application of knowledge and competence in the work environment and is likely to cover the bulk of the standard. It may also draw on the apprentice's learning record created during the apprenticeship.

The types of evidence may include written work, small projects, performance review information, workplace observations, case studies, learning record entries, development plan content, emails, customer comments etc. There are likely to be several types of evidence within a Portfolio, designed so that they collectively demonstrate that the apprentice has learned and synoptically applied the complete knowledge, skills and behaviours of the Standard. The evidence will differ between the two options with, for example, the Consultant likely to contain more project examples.

The completed portfolio will be assessed against the requirements summarised in the standard and set out in detail in the assessment criteria. The Portfolio will initially be reviewed by the employer using an assessment template and an employer grade determined. Based on a template, the employer will also provide their rationale for the grade which may include additional information from in house performance management of the apprentice, to help inform the Assessment Organisation in their subsequent review of the portfolio.

This Assessment Organisation review of the portfolio is carried out by an independent assessor who makes their own judgement on the quality of the work. The independent assessor may also note particular aspects of the work that they wish to discuss with the apprentice during the reflective interview, either to confirm their judgement and/or provide further information on which to base their grading decisions.

The evidence will be assessed against all components of the standards, i.e.:

- Knowledge;
- Skills; and
- Behaviours.

The independent assessor will examine the evidence in the portfolio for:

- completeness – the evidence in the portfolio, taken together, must cover the totality of the standard
- quality – the evidence must at least satisfy the minimum requirements for each area of the standard, as defined in the assessment criteria.

Expected time commitment for assessment review of the portfolio – approx. half a day

## 2. Reflective Discussion

The Reflective Discussion is a structured interview between the apprentice and an Independent Assessor, focusing on the softer skills of the relevant Standard (e.g. verbal communication, relationship management), exploring what has been produced in the Portfolio, how it has been produced and how well they are performing in their role. This enables the assessment as a whole to cover the full range of knowledge, skills and behaviours from the Detailed Standard.

The purpose of the Reflective Discussion is to:

- Explore evidence for areas of the Standard that are best done face to face.
- Clarify any questions that the Assessor has about the evidence submitted in the Portfolio.
- Discuss how the apprentice has progressed in their role, what they have done and their approach to work.
- Provide the basis for the Assessment Organisation to make the decision about the grade to be awarded.

Assessment Organisations will produce a structured brief for the independent assessor to support the discussion. This will ensure that consistent approaches are taken and that all key areas are appropriately explored.

The Reflective Discussion will cover

- what they submitted in the portfolio
- the standard of their work, as evidenced in the portfolio
- how they approached the work submitted in the portfolio

The Reflective Discussion can draw on broader experience from the workplace, but the initial and the primary focus is on the work presented in the Portfolio.

The Reflective Discussion will be undertaken by an independent assessor (the same independent assessor will have assessed the Portfolio (and who is approved by the Assessment Organisation to assess against the Standard) and who will also make the grading decision.

The Reflective Discussion will take place following the completion and assessment of the Portfolio.

It is only after the Reflective Discussion has been completed that the grading decision can be taken

A structured brief will be provided for the Reflective Discussion. This will ensure that consistent approaches are taken and that all key areas are appropriately explored. It may be carried out face to face, or remotely using e.g. video conference, phone or Skype, depending on numbers and locations of apprentices.

Expected duration of Reflective Discussion – 2-4 hours

## 3. Final Grade Determination

The combination of the assessment of the Portfolio and the Reflective Discussion builds a cumulative picture of performance against the Standards. They require apprentices to demonstrate the application of knowledge, skills and behaviours in an integrated manner to deliver the required outcomes, enabling the Assessment Organisation to make an holistic judgement about how well the apprentice meets or exceeds the Standard. Whilst the bulk of the evidence is expected to come from the Portfolio, it is the combined picture that determines the result.

## The Role of the End-point Assessor

Each End-point Assessor is required to agree to and abide by these guidelines.

The role of the End-point Assessor is to:

- review portfolios submitted and initial grade as determined by the employer;
- grade the portfolio and provide any rationale for regrading;
- [assuming initial conclusion confirms portfolio appears sufficient to progress] agree strategy for Reflective Discussion;
- undertake Reflective Discussion (may be carried out face to face, or remotely using e.g. video conference, phone or Skype, depending on numbers and locations of apprentices);
- grade Reflective Discussion;
- determine an overall grade including whether a distinction is appropriate.

At the conclusion of the assessment a written report will be produced which

- confirms the outcome of the assessment and overall grading. If unsuccessful the reasons/areas will be fully identified and explained.
- confirms whether a distinction is appropriate
- makes any other relevant comments

Reports are submitted to PMI. Final outcomes are confirmed by PMI following the moderation and standardisation process.

End-point Assessors may also be involved in the moderation process and reviews of End-point Assessment decisions.

The End-point Assessor conducts assessments on behalf of PMI and is a crucial part of the quality assurance framework for the End-point Assessment function.

End-point Assessors must:

- assess evidence of candidate competence against the requirements of the standard and assessment criteria;
- End-point Assessors are consistent in their interpretation and application of the standard and assessment criteria requirements;
- maintain an objective and fully independent position;
- ensure that assessment decisions made are based on PMI policies, quality assurance policy, procedures and relevant regulations;
- refrain from offering advice or recommendations on issues which are outside the scope of the Assessor role;
- report and seek advice on any technical problems or administration problems with PMI;
- know the assessment organisation's (PMI) systems, procedures and
- attend update meetings run by PMI and maintain up-to-date CPD;
- keep PMI advised of confirmed organised reflective discussion dates;
- comply with PMI's confidentiality policy;
- comply with PMI sampling strategy policy.

*End-point Assessment activity may involve exposure to confidential or commercially sensitive data that forms part of a candidate's portfolio of evidence. Any confidential information, materials or data seen should not be disclosed to anyone and treated in accordance with the PMI Confidentiality Policy.*

*Materials contained within portfolios are used for the purposes of End-point Assessment and may be used for training purposes.*

## Who can be an End-point Assessor?

PMI will seek volunteers to become End-point Assessors from within the qualified membership (or equivalent).

To be eligible for consideration as an End-point Assessor for the PMI an individual must:

- possess a **relevant occupational background**;
- be a member of the PMI (or equivalent). We would expect those assessing the administration option to be at least Diploma Members [with an administration focussed qualification] and those assessing the consultant option to be Associate members. All End-point Assessors will be subject to the PMI Code of Professional Conduct and will be required to undertake Continuing Professional Development (CPD). The Code of Professional Conduct can be found in Appendix P;
- have up-to-date working knowledge of pensions practice covered by the standard;
- understand the requirements of the apprenticeship and PMI's End-point Assessment Programme.

### **Desirable:**

- Previous experience in assessment or verification and relevant qualifications

Further details can be found in the End-point Assessor Application Form in Appendix D.

## Training, Advice and On-Going Support for End-point Assessors

PMI runs a number of training events throughout the year for assessors.

The promotion of access and fair assessment acknowledges that there is a diverse range of candidates with different needs, including particular assessment requirements. Candidates with particular assessment requirements may need to use alternative means of providing evidence. Different approaches and support should be provided to allow each candidate to demonstrate their competence. Care needs to be taken that the proposed assessment methods are of equal quality and rigour to those from mainstream candidates in order to demonstrate the candidate has achieved the national standard.

All End-point Assessors must be familiar with the PMI Equal Opportunities Statement. This can be found in Appendix K.

### ***Initial training***

All new End-point Assessors must attend an initial induction. This will cover:

- the main features of the standard;
- an overview of the qualifications included within the standard;
- the assessment process;
- carrying out assessment activity;
- what good looks like and what a distinction looks like;
- the role of a moderator;
- the moderation procedure and summaries of moderation activities;
- operational procedures and completing assessment reports.

### **Update/standardisation meetings**

PMI arranges regular update meetings for End-point Assessors which provide an opportunity for standardisation, sharing best practice and to update Assessors about any new developments. All End-point Assessors **MUST** attend at least one of these meetings each year.

Standardisation exercises will also be undertaken as required and will include:

- Reviews of assessment activity evidence/decisions;
- Meetings/discussions with End-point Assessors;
- Observed Reflective Discussions;
- The moderation procedure and summaries of moderation activities;
- Dealing with precedent

### **Regular Updates**

Updates are issued to End-point Assessors on relevant issues as and when necessary.

### **CPD**

End-point Assessors must comply with the CPD requirements relevant for their grade of professional membership.

### **Monitored Visit/Discussion**

An End-point Assessor may be scheduled for a monitored Reflective Discussion for training/QA purposes particularly with regard to consistency and accuracy of decisions and processes. Advance notification will be given to tie in with an agreed visit/discussion and feedback provided afterwards.

## **Quality Assurance for End-point Assessment**

PMI is committed to securing effective quality assurance of its End-point Assessment process. This is achieved through a combination of activities, as follows:

- the monitoring of End-point Assessor practice and decisions and the standardisation and moderation of End-point Assessor outputs;
- training and updating to secure consistency;
- engagement with employers and training providers;
- the complaints and appeals process;
- seeking continuing improvement in the quality of End-point assessment practice;

### **The monitoring of End-point Assessor practice and decisions, and the standardisation and moderation of End-point Assessor outputs**

All End-point Assessment decisions are subject to moderation before results are confirmed to candidates. PMI will select a minimum of 10% for moderation. The moderation is carried out by a second End-point Assessor who has not been involved in the original End-point assessment. This ensures that in these cases each candidate's work is reviewed by two separate End-point Assessors before a decision is announced.

As an additional check to verify quality and consistency, the PMI will reserve the right to make any additional investigations that may be necessary following the moderation process.

Full details of this policy and arrangements are in Appendix J.



Issues which arise from the moderation process are notified to the Head of Professional Standards. Those which give rise to precedents regarding assessment decisions or refinements to operational procedures are collated and recorded by the Head of Professional Standards. They are also notified to all End-point Assessors and incorporated in an appropriate fashion in the periodic updating and refresher training.

The formal training is augmented by periodic “All End-point Assessor” communications from the PMI as required, along with the provision of individual support and guidance where appropriate.

### **Training and updating to secure consistency**

The effective initial and ongoing training of the End-point Assessors is fundamental to the internal quality control regime.

Induction and initial training of End-point Assessors takes place immediately following recruitment. Further training then takes place at least annually, in the form of update/standardisation meetings. The purpose of the initial training is to equip the End-point Assessors with the necessary knowledge and understanding of the PMI End-point Assessment Programme to enable them to discharge their responsibilities effectively and to enable them to reach a shared understanding of the standards expected of candidates. It also equips them with an understanding of the operational procedures which they are required to follow.

The update/standardisation sessions are intended to reinforce the understanding of standards and to secure consistency of assessment by all End-point Assessors. This includes both the theory and practice of reviewing candidate portfolios, conducting reflective discussions, reaching decisions and moderating the decisions of others. These sessions enable specific issues to be examined further in the light of experience, operational concerns to be addressed and for the implications of precedents to be fully considered. The sessions are scheduled so that as many of the End-point Assessors as possible are able to attend the training. For the sake of consistency, summaries and individual coaching are provided for those unable to attend.

To ensure a proper balance between technical expertise and the skills of assessment whilst avoiding any potential conflicts of interest between the various partners in the scheme, the End-point Assessor training is run by an external consultant who has extensive experience in developing End-point Assessor skills as well as having a comprehensive knowledge of the pensions industry and financial regulation. Feedback is provided to the Head of Professional Standards following each session about any matters of significance which have arisen and which require resolution or confirmation by PMI.

Further details about End-point Assessor training and support are given in the section above, titled “Training, Advice and On-Going Support for End-point Assessors”.

### **Engagement with employers and training providers**

PMI recognises that there are a number of different organisations involved in delivering each candidate’s apprenticeship programme. As part of its drive to secure consistency, PMI provides support and communication to employers and training providers. PMI encourages early contact with employers, training providers and any other assessors who may be involved to help ensure that candidates are being properly prepared and that their portfolios are being completed to the required standard. Samples and extracts of portfolios will be used as part of the training process for End-point Assessors. This process may also enable the End-point Assessors to gain insights into the employers’ business models which may impact the actual experience obtained by candidates and the way in which evidence is presented in portfolios. Any problems identified as a result of such contacts are referred to the Head of Professional Standards for resolution.

## **The complaints and appeals process**

Individual candidates are entitled to benefit from the PMI's Post Results and Complaints and Appeals procedures, which include access to the independent PMI Appeals Panel. Full details of this policy and arrangements are in Appendix H; the associated Malpractice and Maladministration Policy is in Appendix I.

Any changes and developments relating to ongoing end point assessment practice or operational procedures which arise from the Reviews or Complaints are collated by the Head of Professional Standards and are notified to all End-point Assessors. This notification may be by means of separate communications or through the annual update/standardisation sessions (or both) as appropriate.

## **Seeking continuing improvement in the quality of assessment practice**

PMI is committed to a process of continuing quality improvement. To that end, it seeks feedback from End-point Assessors along with all other parties involved in the apprenticeship programme. Feedback is specifically sought as an element within the training and updating process for End-point Assessors. Feedback from moderation, complaints and appeals is also obtained in addition. Feedback from all sources is channelled through the Head of Professional Standards and is used to modify and enhance the programme and its arrangements in the light of experience.

In addition to internal feedback, PMI also seeks to find out about good practice elsewhere which it can apply to its programme for the benefit of all parties.

## **Honoraria and Expenses**

End-point Assessors may claim expenses for attending a training day, update meetings, workshops and candidate visits.

An honorarium is paid for each assessment and travel expenses incurred. End-point Assessors should submit their claim, together with receipts, on an expenses form obtainable from the PMI House.

## **End-point Assessment Allocation**

Candidate allocation usually takes place once initial induction has been completed.

End-point Assessors should be prepared to undertake approximately 6 assessments per year. The exact number will depend on demand. Subject to mutual agreement the number can be increased.

For new End-point Assessors, progress will be monitored closely during, and reviewed after, the first 5 assessments.

We expect to allocate End-point Assessors to candidates from a variety of organisations.

End-point Assessors will not be asked to undertake assessments within their own organisation or within any other organisation where they have declared a real or potential conflict of interest.

Further details can be found in the PMI Conflict of Interest Policy. This can be found in Appendix M.

End-point Assessors have the right to refuse any allocation offered to them.

In order that PMI can ensure adequate resources are available for End-point assessment a candidate registration system will operate. This will allow employers/training providers to register candidates who have begun the apprenticeship. It will also allow information to inform allocation decisions to be gathered. The End-point Assessment Registration Template can be found in Appendix Q.

## Portfolio Assessment Approach

In reviewing a portfolio the End-point Assessor should:

1. study the apprenticeship requirements carefully;
2. consider the job role of each candidate to ensure they have provided sufficient evidence of competence across the standard;
3. identify the qualification element and the criteria covered by qualifications;
4. identify the different types of assessment methods used and the type of evidence. Also consider those involved in the construction of the portfolio and the training and development process. What role/experience/qualifications do they have? Are any third parties involved? These assessment methods should be relevant and appropriate;
5. ensure the whole standard has been covered;
6. identify areas of focus for the reflective discussion.
7. consider any requests/incidents requiring special consideration. Further details can be found in the Special Consideration Policy in Appendix T

## Types of Evidence That May be Encountered in Portfolios

Further detail on the type of evidence that may be encountered is contained in the Assessment Criteria and Portfolio content document in Appendix C.

It is essential that candidates prove their competence by producing evidence of their ability to perform the role identified in the Standard.

Evidence in the portfolio will include that provided by qualification performance as well as that provided by real work activity generated during the course of normal work towards the end of the apprenticeship. As End-point Assessment will also be synoptic it will focus on the chosen role and the competence of the candidate to undertake it.

The Standard allows flexibility in the type of evidence that is required.

Candidates will only perform competently if they know and understand what they should be doing in any given circumstance, how they should do it and why they should do it. They will then be able to perform to the same consistent standard in a range of different circumstances. These knowledge elements of the standard are identified in the assessment plan. Some will be evidenced by the chosen qualification and those that are not will be alternatively evidenced.

*From real work evidence* - it may be possible to infer from real work evidence or from examination of the products of a candidate's work that they know what to do and how to do it. However, some evidence may show that candidates can follow certain procedures but it does not show that the candidates have understood why those procedures exist. They may not therefore be able to perform competently in slightly changed circumstances. For example, candidates may comply with company service commitments but be unaware of the disclosure requirements within which they are legally obliged to operate.

Candidates may include a statement with their evidence explaining what they did and why. This will help an End-point Assessor to judge whether a candidate has the knowledge and understanding.

Managers/employer assessors may question a candidate as part of the training and development process and records of these discussions could be included as evidence. This questioning provides an opportunity to confirm that a candidate has really understood what they have done. Questioning can also be used to probe knowledge and understanding of the broader occupational context and to cover contingencies for which evidence is not readily available.

Information provided by individuals such as colleagues and clients can help to corroborate other evidence of the candidates' competence.

**NOTE: any test of the candidates' knowledge and understanding should not go beyond what is needed for the achievement of the Standard.**

### Presentation of Evidence in Portfolios

Each item of evidence should be clearly labelled or numbered and referenced to the relevant criteria. An item of evidence may be appropriate for more than one criterion and may demonstrate knowledge and understanding in several areas.

### Suitability of Evidence in Portfolios

An End-point Assessor will need to be satisfied that the evidence is:

- Sufficient
- Authentic
- Relevant
- Current
- Consistent

An End-point Assessor must ensure any evidence included in the portfolio meets these five criteria.

An End-point Assessor must judge every piece of evidence by asking the following questions:

#### **Is it sufficient?**

Does it meet the assessment criteria? Evidence must cover all aspects of the assessment criteria for the standard. Sufficient does not mean a mass of evidence and quality is more important than quantity. It means collecting enough evidence to demonstrate competence.

#### **Is it authentic?**

An End-point Assessor needs to be certain that the evidence presented really is the candidates' own work. This is particularly important where candidates work in teams, especially in pensions departments where they routinely check each other's work. An End-point Assessor needs to be certain that the evidence is that produced by the candidate and not something checked and corrected by a colleague.

A candidate must be prepared to be able to explain and substantiate any evidence that is included. There is also a declaration that is completed by candidate and employer to confirm the evidence is authentic.

#### **Is it relevant/valid?**

All evidence must relate clearly to the standard. End-point Assessors need only be interested in evidence which clearly links a candidate's performance with specific areas of the standard. Documents, training materials and other evidence that does not demonstrate or evidence competence is not relevant.

#### **Is it current?**

'Current' means evidence relating to skills, attitudes and knowledge that are demonstrable at the end of the apprenticeship.

## Is the evidence consistent?

It is essential to the concept of competence that candidates should be able to repeat their competent performance at a future date.

To ensure consistency an End-point Assessor may also want to be convinced that the evidence is typical of the candidates' normal performance and is not just something specially prepared for assessment. This is likely to form an important part of the reflective discussion.

## The Reflective Discussion

The reflective discussion is a vital part of the assessment process. It allows an End-point Assessor:

1. *To confirm competence referenced by other types of evidence.*

Competent candidates must be able to perform similar tasks to the required standard on future occasions and in slightly different circumstances. One way to check this, is to question the candidates about the tasks they have completed to ensure that they have understood what they have done and why. If their answers are satisfactory it is reasonable to infer that they will be able to repeat the competent performance.

2. *To test underpinning knowledge and understanding.*

In some cases it is clear from your candidates' competent performance that they must possess the underpinning knowledge and understanding required. Where you, as the End-point Assessor, are not certain that this is the case, you can use questions to support your assessment decision.

3. *To confirm a candidate is competent overall and has completed the apprenticeship.*

### Type of questions

As an End-point Assessor you will need to think carefully about the type of questions you ask if the answers are to provide valid evidence of competence.

Questions must

- a) be open ended to allow the candidates to develop the answer;
- b) not lead the candidates to the right answer;
- c) relate only to the assessment criteria being assessed;
- d) encourage candidates to expand on answers which are unclear or incomplete.

Remember that candidates may be nervous and therefore make an obvious mistake. In this situation you can ask questions like "are you sure about that?" This will give candidates a chance to think again.

It is important that you should write down the questions that you intend to ask.

This will allow you to:

1. ensure that you have covered all the areas on which you need to gather evidence;
2. check that your questions are open ended and do not lead the candidates;
3. have a permanent record of the questions you asked. These can then be used by other End-point Assessors as part of any moderation procedure. It also provides an opportunity to amend questions which were not very effective in eliciting the information required.

As the reflective discussion is by definition an oral discussion it is important to be aware that the advantages of written answers are not available and must therefore be balanced by ensuring the oral questions recognise the advantages and disadvantages of that medium.

The advantages of written answers are:

- i) a permanent record of the candidates' answers which can be checked to confirm that, alongside other evidence, the element has been completed;
- ii) you can assess the answers at leisure. An End-point Assessor does not have to 'think on their feet' as in an oral questioning session.

The disadvantages are:

- i) some candidates may find written tests daunting and perform less well;
- ii) unless the written test is supervised there may be a question of authenticity. Are the answers really the candidates' own work?
- iii) there is no opportunity for the candidates to expand or clarify answers which are unclear or incomplete.

In the context of the reflective discussion the advantages and disadvantages of the oral questions are worth rehearsing.

The advantages of oral questions are:

- i) there is no problem over authenticity.
- ii) an End-point Assessor can ask additional questions immediately if the original question does not produce the expected answer.
- iii) there is an opportunity to put nervous candidates at ease. An End-point Assessor can ask the candidates for further clarification and have an opportunity to judge from the candidates' demeanour if they really understand what they are doing.

A disadvantage of oral questions is that an End-point Assessor has to 'think on their feet' to ensure that they have really understood what the candidates are telling them and that they have asked appropriate follow-up questions.

## Grading: Pass or Distinction

To obtain an overall Distinction the apprentice must achieve at least one distinction in each of the four areas of the Standard (Knowledge, Skill, Behaviour and the additional competencies for the role) with a minimum of six distinctions overall. They will also need to achieve a Pass in all other areas of the Standard.

Overall, to gain a Distinction the apprentice should:

- consistently exceed the learning outcomes set for the role (both what is delivered and how it is delivered);
- go beyond what is typically expected at this level;
- be able to perform well in difficult situations or when under pressure;
- be seen as a role model by others;
- be able to work upwards as well as with peers;
- show they understand the wider context of the work they are doing.

All portfolios will contain details of the employer's assessment of grade and the End-point assessor will review this and the supporting evidence as part of the final determination,

The Employer Assessment Decision Template can be found in Appendix R.

**The End-point Assessment process will determine the grade achieved.**

## Recording Decisions

It is important to record each End-point Assessment decision so that there a clear record of each stage of the process.

Forms are available for this purpose (described overleaf in "Completing the End-point Assessment Documentation") and can be found in Appendices E, F and G.

## Sampling and Moderation

All End-point Assessment decisions are subject to moderation prior to confirmation. The process is covered in the Standardisation and Moderation policy in Appendix J.

## Complaints and Appeals/Malpractice and Maladministration

Employers and/or candidates are entitled to make complaints or appeals regarding assessment decisions in accordance with the Complaints and Appeals Policy. This can be found in Appendix H.

Similarly, concerns around malpractice and/or maladministration can be raised in accordance with the relevant policy. This can be found in Appendix I.

## Consistency and Integrity of Assessment Decisions

Consistency of End-point Assessment decisions must be maintained from candidate to candidate and employer to employer.

Using the criteria specified in the standard, the End-point Assessor records it should be possible to ensure fairness and consistency of End-point Assessment decisions. .

It must also be clear from the documentation provided that any End-point Assessment decisions demonstrate that the End-point Assessor is satisfied that the evidence is:

- ◆ **Valid** – not only meets qualification standards but also meets organisational requirements
- ◆ **Authentic** – the evidence is the candidate’s own work
- ◆ **Sufficient** – the evidence must cover all performance, scope and knowledge and understanding specified in the standards and assessment criteria

### Completing the End-point Assessment Documentation

The formal End-point Assessment documentation must be completed thoroughly as it will form part of the quality assurance process. Each form requires a full response and any statements or observations made during the reflective discussion must be supported with evidence statements.

The End-point Assessor should complete:

<b>Assessment Template</b>	The assessment template is for completion by the End-point Assessor <ul style="list-style-type: none"> <li>- to record assessment of each competency as pass or distinction and to plan reflective discussion.</li> </ul>
<b>End-point Assessment Decision Template</b>	The End-point Assessment Decision template is for completion by the End-point Assessor: <ul style="list-style-type: none"> <li>- to note their assessment of the apprentice’s portfolio and grade determined;</li> <li>- to note their assessment of the apprentice following the reflective discussion;</li> <li>- to note their overall assessment of the apprentice</li> </ul>
<b>End-point Rationale Form</b>	The End-point Rationale form is for completion by the End-point Assessor: <ul style="list-style-type: none"> <li>- to provide rationales where they have determined a different overall grade of the apprentice’s portfolio and for each competency where the grade assessed is differs to that determined by the employer</li> </ul>

The documentation should be completed at the time of the End-point Assessment.

**The report must be sent to PMI within 10 working days of the reflective discussion taking place.**

### PMI Policies

As part of PMI Governance arrangements, PMI Audit and Risk Committee ensures that all individuals involved in examination and assessment related activities should be familiar with, and abide by, the following policies:

- (1) Conflicts of Interest;
- (2) Confidentiality;
- (3) Data Protection.

These policies have been included in Appendices M, O and S.

Each year, and whenever necessary, PMI will ask each End-point Assessor to complete the Conflicts of Interest Declaration found in Appendix N and return it to PMI.



## Governance

The day to day operation of the PMI End-point Assessment Programme is the responsibility of the PMI Professional Standards team and the Head of Professional Standards. The Head of Professional Standards reports directly to the PMI Chief Executive. Ultimate responsibility for the programme lies with the PMI Board.

PMI is planning to convene an employer group of stakeholders who contributed to the development of the trailblazer standard and are involved in the delivery of the standard. This group will monitor the operation of the programme and make recommendations to PMI as necessary.

## Contacts at PMI

If you have any queries or need further information please contact Neil Scott.

<b>Address</b>	PMI House 4-10 Artillery Lane LONDON E1 7LS
<b>Telephone</b>	020 7392 7421
<b>Fax</b>	020 7375 0603
<b>E-mail</b>	<a href="mailto:nscott@pensions-pmi.org.uk">nscott@pensions-pmi.org.uk</a>
<b>Website</b>	<a href="http://www.pensions-pmi.org.uk">www.pensions-pmi.org.uk</a>

The applicable Customer Service Statement can be found in Appendix L.

## Appendices

- A: Workplace Pensions (Administrator or Consultant) – Level 3 Standard
- B: Workplace Pensions (Administrator or Consultant) – Level 3 Assessment Plan
- C: Workplace Pensions (Administrator or Consultant) – Level 3 Assessment Criteria and Portfolio content
- D: End-point Assessor Application Form
- E: Assessment Template
- F: End-point Assessment Decision Template
- G: End-point Rationale Form
- H: Complaints and Appeals policy
- I: Malpractice and Maladministration policy
- J: Standardisation and Moderation policy
- K: Equal Opportunities Statement
- L: Customer Service Statement
- M: Conflicts of Interest Policy
- N: Conflicts of Interest Declaration
- O: Confidentiality Policy
- P: Code of Professional Conduct
- Q: End-point Assessment Registration Template
- R: Employer Assessment Decision Template
- S: Data Protection Policy
- T: Special Consideration Policy