



Heart of England Training Ltd

# Apprenticeship Compliance

## Policy 2022



## 1. Introduction

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This policy is designed to provide clarity on Apprenticeship Compliance expectations for those working for Heart of England Training, in line with the Education and Skills Funding Agency and its guidance (ESFA). Heart of England Training may alter or adapt this policy in line with the changes to the guidance at any time.

## 2. Definition

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The Apprenticeship Compliance policy is permanent and applies to all members of staff who are involved within the training, recruitment and account management of the apprenticeship provision.

The policy is designed to outline the expectations in line with the ESFA guidance. The policy sets out the key points for Heart of England Training and its staff to adhere to and also the key measures to be taken in order to ensure the guidance is met.

The ESFA provide extensive guidance for training providers to follow in order to justify the funding they receive. Where this guidance is not followed it can result in further intervention from the ESFA, or, return of funding.

## 3. Implementation

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Responsibility for implementing this policy lies with management. Day to day responsibility for implementation lies with managers and staff. Strategic responsibility lies with the Marketing and Recruitment Director and the Head of Apprenticeships.

To ensure everyone understands the Apprenticeship Compliance policy it will be available on the company's SharePoint system and hard copies will be available to print from here.

## 4. Data Protection

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Employees must always keep Heart of England Training's data and materials safe and secure, ensuring reasonable precautions are being taken to maintain confidentiality in accordance with the Data Protection policy – and GDPR.

## 5. Key guidance themes and relevant checks/measures

Compliance Themes	Key Checks and Measures
Recognition of Prior Learning (RPL)	<ul style="list-style-type: none"> <li>- Account Managers complete knowledge, skills and behaviours initial assessment at induction.</li> <li>- Funding price and/or duration is then altered based on prior learning and the Training Plan is detailed to reflect this.</li> <li>- This is approved by the Marketing and Recruitment Director.</li> </ul>
Meeting minimum durations	<ul style="list-style-type: none"> <li>- Internal Quality Assurers check minimum duration has been met before submitting for claim (Apprenticeships without End Point Assessment (EPA)).</li> <li>- The EPA processing team ensure minimum duration has been met before submitting learners into gateway.</li> </ul>
Training Plan Documentation	<ul style="list-style-type: none"> <li>- The Training Plan documentation is added to all learners' portfolios by the Account Management on the back of the learners' induction.</li> </ul>
Employment status	<ul style="list-style-type: none"> <li>- Account Managers ensure all apprentices are employed on day one of learning.</li> </ul>
Payment of employer contributions	<ul style="list-style-type: none"> <li>-</li> </ul>
English/Maths working towards Level 2 when achieved Level 1 (If more than 3 months left on programme)	<ul style="list-style-type: none"> <li>- Maths and English lead will complete monthly portfolio checks for progress and evidence</li> <li>- This forms part of the Internal Quality Assurer interim checklist</li> <li>- This forms part of the OTLA-Deep Dive checklist</li> </ul>
Evidence from first day of learning	<ul style="list-style-type: none"> <li>- The Apprenticeship First Visit Assessment Plan (ASP) is to be used by all educators on day one of the apprentices learning, alongside another ASP specific to the main learning aim and, if applicable, functional skills.</li> <li>- Internal Quality Assurers to check evidence from first day of learning at monthly interim checks.</li> </ul>

	<ul style="list-style-type: none"> <li>- OTLA-Deep Dive team to check evidence from first day of learning at relevant checks throughout the year.</li> <li>- Head of Apprenticeships to run monthly first day of learning report from OneFile and communicate out the gaps to relevant staff members.</li> </ul>
Evidence of monthly Additional Learning Support (ALN)	<ul style="list-style-type: none"> <li>- Those with ALN have additional learning support section on every ASP. This is to be filled out at least once a month.</li> <li>- Educators to formally review Learning Support progress at every Progress Review with the learner and employer.</li> <li>- Maths and English lead will complete monthly portfolio checks for progress and evidence</li> <li>- This forms part of the Internal Quality Assurer interim checklist</li> <li>- This forms part of the OTLA-Deep Dive checklist.</li> </ul>
Monthly evidence of active learning towards all learning aims	<ul style="list-style-type: none"> <li>- Each learners' portfolio must demonstrate active learning every four weeks towards each learning aim.</li> <li>- This forms part of the Internal Quality Assurer interim checklist</li> <li>- This forms part of the OTLA-Deep Dive checklist.</li> </ul>
Evidence of employer interaction	<ul style="list-style-type: none"> <li>- Educator to hold a formal face to face (remote or in person) progress review every 10-12 weeks with the learner and their employer.</li> <li>- Head of Apprenticeships runs monthly employer review report to monitor employer engagement. Gaps are communicated out accordingly.</li> <li>- This forms part of the Internal Quality Assurer interim checklist</li> <li>- This forms part of the OTLA-Deep Dive checklist.</li> </ul>
Evidence of last day of learning	<ul style="list-style-type: none"> <li>- Educators to go through their line manager for approval of early leavers or those going onto a break in learning (BIL).</li> <li>- All forms and evidence for leavers and BIL go through the Office Manager where they are quality checked.</li> </ul>

Validity of off-the-job training entries	<ul style="list-style-type: none"> <li>- Educators are to conduct a portfolio overview at every session with a learner. This includes a quality check of off-the-job entries.</li> <li>- This forms part of the Internal Quality Assurer interim checklist</li> <li>- This forms part of the OTLA-Deep Dive checklist.</li> </ul>
Break in Learning (BIL)	<ul style="list-style-type: none"> <li>- We must have evidence of learning up to the BIL date.</li> <li>- The Office Manager quality checks and manages all BIL submissions.</li> <li>- The Office Manager will configure and then communicate new target dates for learners returning from a BIL.</li> </ul>
Change of employer	<ul style="list-style-type: none"> <li>- Where the learner changes employer, the educator will inform the relevant Account Manager.</li> <li>- The Account Manager will contact the new employer and complete the new Training Plan paperwork.</li> <li>- The Office Manager will complete the final quality check on the new Training Plan.</li> </ul>

This policy is reviewed annually by the company directors and Governors.

**Version:** 1

**Prepared by:** Directors

**Approved by:** Governors

**Effective date:** September 2022

**Review date:** August 2022

**Date to be reviewed:** July 2023