LOCKHART HAWKINS

SDN STRATEGIC DEVELOPMENT NETWORK

INITIAL ASSESSMENT

Meeting the challenges of compliance and your curriculum

The session will start shortly

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The session has started

Introductions

David Lockhart-Hawkins

Strategic Associate

Facilitator

Tim Chewter

Director of Business Development

Host

Welcome

Webinar Structure

- Introduction
- Presentation
- Q&A
- Next steps

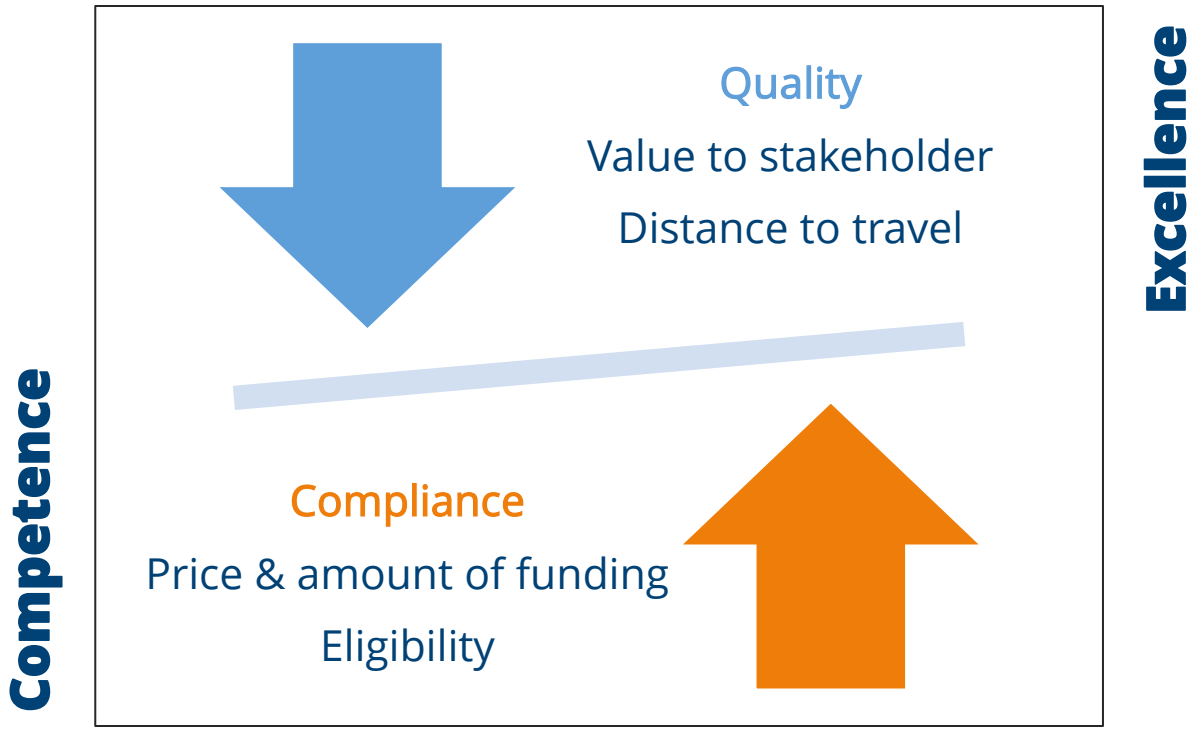
Q&A

- Send all questions / comments using the question box
- Focus your questions on the webinar topics

Initial Assessment

Purpose

Drivers of Initial Assessment



Initial Assessment

The link to performance

Performance

=

Outcomes

- Qualifications achieved
- Progress made by learners
- Financial targets met
- Stakeholder experience

Prior Learning

- Initial Assessment
- Recognition of Prior Learning

Learning Delivery

- Curriculum delivery
- On programme assessment

Initial Assessment in Apprenticeships

Influences

1 Programme Design

- Content (Affects eligibility)
- Duration (Affects eligibility)
- Training Price

2 Evidence Pack

- Apprenticeship Agreement
- Commitment Statement
- Breakdown of price to employer

Initial Assessment Challenges

Five key areas of difficulty

1. Quantifying the need of learning
2. Understanding the outcomes
3. Establishing an entry point
4. Sequencing the planned programme
5. Identifying price and funding

Challenge 1

Determining the ‘need of learning’

1. Quantifying the need of learning

Quantity of learning needed to be competent against the outcome	To be eligible must amount to: At least 20% off the job training across at least one year of duration
Duration of that learning	Your programme must include at least 20% off the job training across the practical period you have planned

Funding is for the journey to being “fully occupationally competent” – Off the job policy and examples v3

Challenge 1

Solution: Clarity of the curriculum

Ref	Module	Training Days	Hours	Included in OTJ	Hours of Development (OTJ)	Months	When	Method	RPL	Month
1	Leading People	10.5	63	Yes	63	2	Dec 21-Jan 22	*8.5 face to face teaching days, 0.5 test day, 1 revision day, 0.5 exam day*		2
2	Managing People	10	60	Yes	60	2	Feb 22-Mar 22	*4 face to face teaching days,3 online taught days, 1 test day, 1 revision day, 1 exam day*		4
3	Building Relationships	9.5	57	Yes	57	2	April 22-May 22	*5 face to face teaching days,1 online taught day, 0.5 test day, 2 revision days, 1 exam day*		6
4	Communication	9	54	Yes	54	2	June 22-July 22	*4.5 face to face teaching days, 2 online taught days, 0.5 test day, 1.5 revision day, 0.5 exam day*		8
5	Operational Management	6.5	39	Yes	39	1	Aug-22	*5 online teaching days, 1 revision day, 0.5 exam day*		9
6	Project Management	8.5	51	Yes	51	2	September 22 - October 22	*7 online teaching days, 1 revision day, 0.5 exam day*		11
7	Finance	1	6	Yes	6	1	Nov-22	*Online taught day*		12
8	Personal Effectiveness	18	108	Yes	108	3	December 22-February 2023	*11 face to face teaching days, 2 online taught days, 2 test days, 3 revision days*		15
9	Decision Making	14	84	Yes	84	3	March 23-May 23	*7 face to face teaching days, 2 online taught days, 2 test days, 3 revision days*		18
10	Behaviours 1	14	84	Yes	84	3	June 23 -August 2023	*7 face to face teaching days, 2 online taught days, 2 test days, 3 revision days*		21
11	Behaviours 2	15	90	Yes	90	3	September - November 23	*8 face to face teaching days, 1 online taught day, 2 test days, 4 revision days*		24
	Total	**116**	**696**		**696**					

- Am I fully competent in this module?

Challenge 1

Solution: Chapters, modules or units

Requirements: knowledge, skills and behaviours

Knowledge	What is required (through formal learning and applied according to business environment)
Interpersonal excellence – managing people and developing relationships	
Leading people	Understand different leadership styles and the benefits of coaching to support people and improve performance. Understand organisational cultures, equality, diversity and inclusion.
Managing people	Understand people and team management models, including team dynamics and motivation techniques. Understand HR systems and legal requirements, and performance management techniques including setting goals and objectives, conducting appraisals, reviewing performance, absence management, providing constructive feedback, and recognising achievement and good behaviour.
Building relationships	Understand approaches to customer and stakeholder relationship management, including emotional intelligence and managing conflict. Know how to facilitate cross team working to support delivery of organisational objectives.
Communication	Understand different forms of communication and their application. Know how to chair meetings, hold challenging conversations, provide constructive feedback and understand how to raise concerns.

Extract from: Team Leader Apprenticeship Standard

Challenge 1

Alternative approach = Hours by KSB

Ref	Module	Training Days	Hours	Included in OTJ	Hours of Development (OTJ)	Months	When	Method
1	Leadership Styles	2	22	Yes	22	0.5	Jan-22	*2 x 3 hour teaching session, 14 hours shadowing, 2 hour assignment*
2	Coaching to Improve Performance	2	22	Yes	22	0.5	Jan-22	*2 x 3 hour teaching session, 14 hours shadowing, 2 hour assignment*
3	Organisational Cultures	2	18	Yes	18	0.5	Feb-22	*3 x 3 hour teaching session, 7 hours shadowing, 3 hour assignment*

- If I am fully competent in understanding and implementing leadership styles then 22 hours would not be needed, a reduction of half a month in this curriculum extract
- If the total amount of learning required is less than 20% across 12 months I cannot be an apprentice (278.4 hours if I work 30 hours a week, 348 hours if I work 37.5 hours a week)
- Provider can reduce the practical period based on elements not needed but if less than 12 months is also no longer eligible.

Challenge 1

Solution Example

Competence Score Achieved?	Standard Elements	Current Score	Stretch
	Knowledge Area		
	Mathematics and Science for Engineers (1)	89	Yes
	Mathematics and Science for Engineers (2)	55	
	Mathematics and Science for Engineers (3)	65	
	Mathematics and Science for Engineers (4)	50	
	Skill Area		
	Safety (1)	70	
	Project Management and Schedule of Engineering Activities (1)	65	
	Project Management and Schedule of Engineering Activities (2)	66	
	Secure and Manage appropriate Resources (1)	56	
	Manage Budgets (1)	55	
	Manage Budgets (2)	70	
Yes	Manage Budgets (3)	90	Yes
Yes	Manage Budgets (4)	90	Yes
Yes	Implement, Monitor and Evaluate Engineering Processes (1)	90	Yes
Yes	Implement, Monitor and Evaluate Engineering Processes (2)	90	Yes
Yes	Implement, Monitor and Evaluate Engineering Processes (3)	90	Yes
Yes	Implement, Monitor and Evaluate Engineering Processes (4)	90	Yes

Tutor Summary *ESFA Funded*

Name & Employer	**Manufacturing Engineer**	**Date**	**14/02/2022**	**B Smith**		**Price Reduction**	£1,571	
	Current Position (Max 100)	Knowledge	67.4	Skill	76.8	Behaviour	57.4	
David Lockhart-Hawkins	**Distance to Travel**	Knowledge	23%	Skill	13%	Behaviour	33%	
Lockhart Hawkins Limited	**Average Entry Score**	*Knowledge Av*	**67.4**	*Skill Av*	**76.8**	*Behaviour Av*	**57.4**	
Modules where consideration should be made for recognition of prior learning								
The modules shown on the right are where based on the applicant's responses potential competence may exist and an application could be considered for prior learning to be applied. This does not guarantee an award of recognition of prior learning (RPL). Where this is not applied the moderator's score in the response sheet should be recorded at a less than competent value and this will correct the entry point and calculation of funding required.							Mechanical Engineering Systems (COMP)	

Mechanical Engineering Systems (COMP)

- Module identified where prior learning may apply

Challenge 1

Solution Example

OCCUPATIONAL CONTENT/COMPONENTS		Credit Value	WHEN	METHOD	DELIVERY	TOTAL HOURS	OTJ HOURS	FUNDING SOURCE	Has RPL been applied? (Module not required)
ER1010	Engineering Analysis	30	Month 1	10 x 3 hour lectures, 10 x 2 hour tutorial, Reading & Research 100 hours, Assignment 150 hours	University	300	300	ESFA (Levy)	
ER1020	Engineering Design	30	Month 2	10 x 3 hour lectures, 10 x 2 hour tutorial, Reading & Research 100 hours, Assignment 150 hours	University	300	300	ESFA (Levy)	
ER1030	Engineering Science	30	Month 3	10 x 3 hour lectures, 10 x 2 hour tutorial, Reading & Research 100 hours, Assignment 150 hours	University	300	300	ESFA (Levy)	
ER1630	Engineering Applications	30	Month 4	10 x 3 hour lectures, 10 x 2 hour tutorial, Reading & Research 100 hours, Assignment 150 hours	University	300	300	ESFA (Levy)	
MP2570	Design and Manufacture	40	Month 5	10 x 3 hour lectures, 10 x 2 hour tutorial, Reading & Research 200 hours, Assignment 150 hours	University	400	400	ESFA (Levy)	
MP2576	Thermo-fluids	20	Month 6	10 x 3 hour lectures, 10 x 2 hour tutorial, Reading & Research 50 hours, Assignment 50 hours	University	200	200	ESFA (Levy)	
MP2721	Operations Management A	20	Month 7	10 x 3 hour lectures, 10 x 2 hour tutorial, Reading & Research 50 hours, Assignment 50 hours	University	200	200	ESFA (Levy)	
MP2784	Mechanics, Kinematics, and Materials (COMP)	20	Month 8	10 x 3 hour lectures, 10 x 2 hour tutorial, Reading & Research 50 hours, Assignment 50 hours	University	200	200	ESFA (Levy)	
MP3395	Mechanical Engineering Systems (COMP)	30	Month 9	10 x 3 hour lectures, 10 x 2 hour tutorial, Reading & Research 100 hours, Assignment 150 hours	University			ESFA (Levy)	Yes
MP3672	Engineering Simulation (O)	20	Month 10	10 x 3 hour lectures, 10 x 2 hour tutorial, Reading & Research 50 hours, Assignment 50 hours	University	200	200	ESFA (Levy)	
MP3701	Mechanical Reliability (O)	20	Month 11	10 x 3 hour lectures, 10 x 2 hour tutorial, Reading & Research 50 hours, Assignment 50 hours	University	200	200	ESFA (Levy)	
MP3731	Engineering Design (COMP)	20	Month 12	10 x 3 hour lectures, 10 x 2 hour tutorial, Reading & Research 50 hours, Assignment 50 hours	University	200	200	ESFA (Levy)	
MP3997	Project C	30	Month 13	10 x 3 hour lectures, 10 x 2 hour tutorial, Reading & Research 100 hours, Assignment 150 hours	University	300	300	ESFA (Levy)	
SC2153	Further Engineering Mathematics and Simulation	20	Month 14	10 x 3 hour lectures, 10 x 2 hour tutorial, Reading & Research 50 hours, Assignment 50 hours	University	200	200	ESFA (Levy)	
EMP1	Skills & Behavioural Development		Ongoing	General accumulation of skills and behaviours	Workplace	200		ESFA (Levy)	
Total		**360**				**3500**	**3300**		

Challenge 2

Determining what we are assessing against

2. Understanding the outcomes

What is competence? What is our benchmark of what competence actually looks like?

If we do not define what competence looks like we do not have an accurate understanding of prior learning

What are the learning outcomes we are going to deliver and how far is the learner from that position?

If an individual does not require a course of learning in order to be assessed then there is no funding for that activity

Challenge 2

Solution: Defining competence

Requirements: knowledge, skills and behaviours

Knowledge	What is required (through formal learning and applied according to business environment)
Interpersonal excellence – managing people and developing relationships	
Leading people	Understand different leadership styles and the benefits of coaching to support people and improve performance. Understand organisational cultures, equality, diversity and inclusion.
Managing people	Understand people and team management models, including team dynamics and motivation techniques. Understand HR systems and legal requirements, and performance management techniques including setting goals and objectives, conducting appraisals, reviewing performance, absence management, providing constructive feedback, and recognising achievement and good behaviour.
Building relationships	Understand approaches to customer and stakeholder relationship management, including emotional intelligence and managing conflict. Know how to facilitate cross team working to support delivery of organisational objectives.
Communication	Understand different forms of communication and their application. Know how to chair meetings, hold challenging conversations, provide constructive feedback and understand how to raise concerns.

Extract from: Team Leader Apprenticeship Standard

- Original Knowledge Question: How well do you understand leadership styles?
- What leadership styles does the learner need to know to be competent? Authoritarian, democratic, laissez faire, situational? Some or all?

Alternative Question: "How well do you understand different leadership styles?

Only score highly if you have a full understanding of Authoritarian, democratic, laissez faire and situational leadership styles and how they might be used within organisations."

Challenge 3

Determining what we are assessing against

3. Establishing an entry point

How do we have a meaningful measure of distance travelled without a range of grading?

It is not essential to use alphanumeric or numeric systems from a quality perspective, but it is difficult to be compliant without them

What sources should we use?

Applicant self assessment followed by moderation by a subject specialist is a robust approach though the best systems can include employer input

Challenge 3

Solution: Numeric assessment with range & define competence

Cohort Reference	Manufacturing Engineer		Your Name (record below)	Date of first response (If this is the first time completing this then this is today's date)	Apprenticeship	Re-assessment 1 Date	Re-assessment 2 Date	Re-assessment 3 Date	Gateway Assessment Date	Employer (record below)
A	**Skills Gap Assessment** *Designed by Lockhart Hawkins Limited www.lockharthawkins.com*		David Lockhart-Hawkins	10/01/2022	Manufacturing Engineer	10/03/2022	Insert date for re-assessment	Insert date for re-assessment	Insert date for re-assessment	Lockhart Hawkins Limited
2	**Knowledge** **An Apprenticeship is formed of three main attributes: Knowledge, Skills and Behaviours. These three elements combine to make you the most effective you can be in the relevant Apprenticeship Standard. The questions below ask you to self-assess your pre-existing knowledge in this standard:** **Using the Response column record your understanding of the subject area stated on a scale of 0-100 to indicate where you think you are. We'd expect someone brand new to a knowledge concept to have less than 10% knowledge of the subject area, so you would record a number of 10 or less. Someone with a basic level of understanding would likely score between 10 and 45, someone with a moderate level of understanding between 45 and 70. Someone who has what they consider to be the fullest knowledge of a subject area, which would have to be a detailed level of understanding would record somewhere between 80 and 90 with 90 indicating fully competent in this standard. Please be as honest as you can, the results will not affect your suitability for the programme unless we deem you to be fully competent requiring no significant learning. We can offer recognition of prior learning should you feel you are able to meet a learning outcome without the need of formal learner. Ask if you wish to apply for recognition of prior learning.**									

Ref	Knowledge Questions	Knowledge Area	Your Response at start (respond as a number from 0-100)	Moderated Response at start value (completed by your trainer)	Score at re-assessment 1	Score at re-assessment 2	Score at re-assessment 3	Score at re-assessment 4	Potentially Competent	Original Distance to Travel	Re-assessment Distance travelled	Indicative Distance to competence
K1	How well do you understand how to apply mathematical and analytical skills to solve engineering problems? To score highly you would expect to have a strong understanding of essential facts, concepts, theories and principles of the Mechanical Engineering discipline and its underpinning science and mathematics.	Mathematics and Science for Engineers (1)	55	55	80				No	35%	25%	10%

Challenge 3

Solution: Numeric assessment with range & define competence

Competence Score Achieved?	Standard Elements	Current Score	Stretch
	Knowledge Area		
	Mathematics and Science for Engineers (1)	80	Yes
	Mathematics and Science for Engineers (2)	55	
	Mathematics and Science for Engineers (3)	80	Yes
	Mathematics and Science for Engineers (4)	50	
	Mathematics and Science for Engineers (5)	65	
	Mathematics and Science for Engineers (6)	50	
	Mathematics and Science for Engineers (7)	70	
Yes	Materials and Manufacture (1)	90	Yes
Yes	Materials and Manufacture (2)	90	Yes
Yes	Materials and Manufacture (3)	90	Yes
	Materials and Manufacture (4)	75	
	3D Computer Aided Design and Computer Aided Engineering (1)	65	
	3D Computer Aided Design and Computer Aided Engineering (2)	55	
	3D Computer Aided Design and Computer Aided Engineering (3)	65	

Stretch Elements
15
25.86%

- For compliance purposes we know we have to validate the competent scores because of their impact on price and duration
- For quality purposes we need to look at areas where we are able to stretch a learner
- Using the same system to re-score when on programme (a joint decision between student, trainer and any other relevant stakeholder) gives clarification on distance travelled

Challenge 3

Solution: Numeric assessment with range & define competence

Cohort Reference		Your Name	Apprenticeship Standard	Re-Assessment Status	Employer	Knowledge	Skills	Behaviours
A	Skills Gap Analysis - Re-Assessment (For use on programme or at Gateway to establish readiness for End Point Assessment - EPA)	David Lockhart-Hawkins	*Manufacturing Engineer*	*On Programme*	Lockhart Hawkins Limited	Distance to travel		
						22%	5%	18%
Knowledge	Not yet ready for EPA		*Original date of assessment*	Re-assessment 1	15/04/2022	Distance travelled since start		
Skills	Not yet ready for EPA		*10/01/2022*	Re-assessment 2		1%	8%	14%
Behaviours	Not yet ready for EPA			Re-assessment 3		Current Position		
						68%	85%	72%

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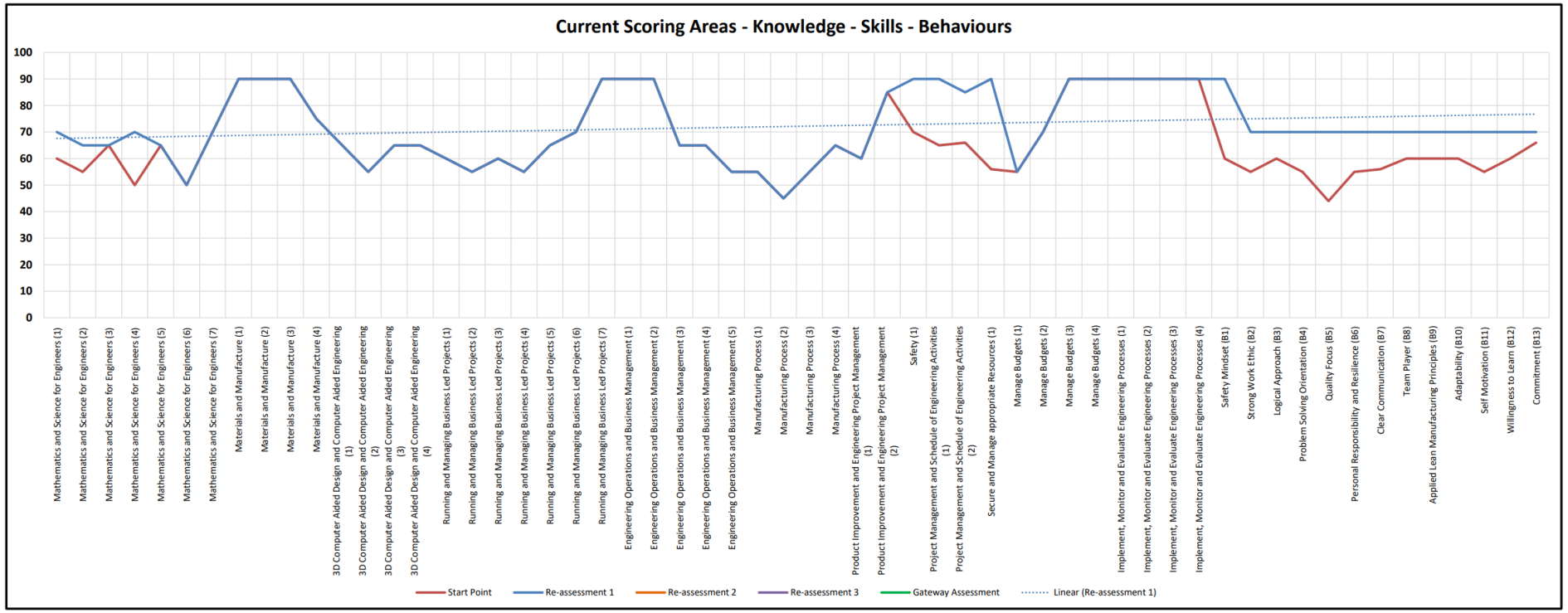


Challenge 4

The shape of the programme

4. Sequencing the planned programme

How do we identify the strongest areas of need and how does the programme change?

If we initially assess against the KSBs how does this impact the planned chapters of our programme?

How do our questions link to our curriculum?

In many standards the KSBs do not logically translate to the sequence of delivery

KSBs may overlap in planned chapters

Challenge 4

Solution: Understanding KSB alignment to your chapters and planning the curriculum logically

Ref	Module	Training Days	Hours
1	Leading People	10.5	63
2	Managing People	10	60
3	Building Relationships	9.5	57
4	Communication	9	54
5	Operational Management	6.5	39
6	Project Management	8.5	51
7	Finance	1	6
8	Personal Effectiveness	18	108
9	Decision Making	14	84
10	Behaviours 1	14	84
11	Behaviours 2	15	90
	Total	**116**	**696**

- When personalising the journey, look at the low scoring areas and consider how they impact the remainder of the journey.
- If communication scores were low, you may wish to expedite the learning tasks here
- It may not always be possible to change the order of your deliver (for example with group cohorts or semester patterns)

Challenge 4

Solution: Understanding KSB alignment to your chapters and planning the curriculum logically

KSB	Content From Standard	Learning Objective Amplification	Competence Measure	Learning Outcome Map					
				Unit 1	Unit 2	Unit 3	Unit 4	Unit 5	Unit 6
K1	Mathematics and science for engineers	Apply mathematical and analytical skills to solve engineering problems.	Competence in essential facts, concepts, theories and principles of the Mechanical Engineering discipline, and its underpinning science and mathematics	Full		Full			Full
		Identify and apply appropriate mathematical methods for the analysis and solution of a range of problems across a range of engineering disciplines	Knowledge and understanding of scientific, mathematical, and associated engineering principles necessary to underpin activities in						
		Communicate mathematical concepts coherently in written form, using appropriate standard notation.	Demonstrate creative and innovative ability in the synthesis of solutions and in formulating designs						
		Apply mathematical principles and methods to the analysis of problems relating to fluid mechanics and thermodynamics.	Apply appropriate quantitative science and engineering tools to the						
		Analyse the relationships between material, shape and internal/external loads in 1D and 2D.	Creative use of engineering principles in problem solving, design, explanation and diagnosis						
		Apply fundamental concepts of engineering science to analyse simple engineering systems.	Analyse the process and application of engineering scientific principles						
		Analyse and model engineering situations and solve problems using graphical and numerical models.	Ability to use a range of graphical and numerical display methods						
K2	Materials and manufacture	Predict the performance and/or behaviour of simple engineering systems, components and/or materials.	Competence in essential facts, concepts, theories and principles of the Mechanical Engineering discipline, and its underpinning science and mathematics			Full		Full	
		Describe properties and select materials, components, manufacturing methods and/or process fluids required to satisfy specific criteria in various applications.	Knowledge and understanding of scientific, mathematical, and associated engineering principles necessary to underpin activities in						
		Analyse and specify manufacturing requirements for specific engineering artefacts and products to apply an extended knowledge base of manufacturing processes and techniques	Apply appropriate quantitative science and engineering tools to the analysis of problems						
		Analyse the relationships between material, shape and internal/external loads in 1D and							

- Knowledge skills and behaviours may not neatly fall in a logical order, the a sequence of your curriculum should put delivery into a pattern that works best
- In this example K1 is addressed in Unit 1, but it doesn't have to be that way
- You can also see that unit 3 overlaps to K2, so for unit 3 to not be required the learner would need to be competent in K1 and K2 to have prior learning applied.

Challenge 5

Evaluating Price and Funding

5. Identifying price and funding

How do we break down the training price accurately into the eligible cost categories?

How do the results of initial assessment impact the training price? They will not affect the End Point Assessment price (EPA)

What is our training price?

Are our decisions accurate, consistent and operationally sound?

Not every activity shares the same cost.

Many providers overstate or understate adjustments to the training price

If we know what components we need in our programme we should be able to price those components

Challenge 5

Solution: Automating adjustments to training price through a consistent calculation

Published Training Price	£25,000
Revised Training Price	**£23,429**
End Point Assessment Agreed Price	**£2,000.00**
Anticipated Total Price	**£25,429**

Category	Costed Element	Price	
Lectures	Training	£11,143	Affected by Recognition of Prior Learning
Tutorials	Training	£7,429	
On Programme Assessment	Training	£929	
Exams	Assessment	£929	
Consumables (Non-Capital Items)	Consumables	£1,500	Not affected by Recognition of Prior
Administration	Administration	£1,500	
Accomodation	Consumables	£0	Affected by prior learning
Skills Competition Costs	Consumables	£0	
		£23,429	

Understand the fixed costs and variable costs and price per chapter/module/unit

CPD for staff

For those designing and delivering initial assessment

4-part webinar series: Getting initial assessment right for apprenticeships

1. **Initial assessment and its impact on curriculum planning**
   (Tuesday 8 March – 2-3.15pm)

2. **Initial assessment, compliance and calculating prior learning**
   (Wednesday 9 March – 2-3.30pm)

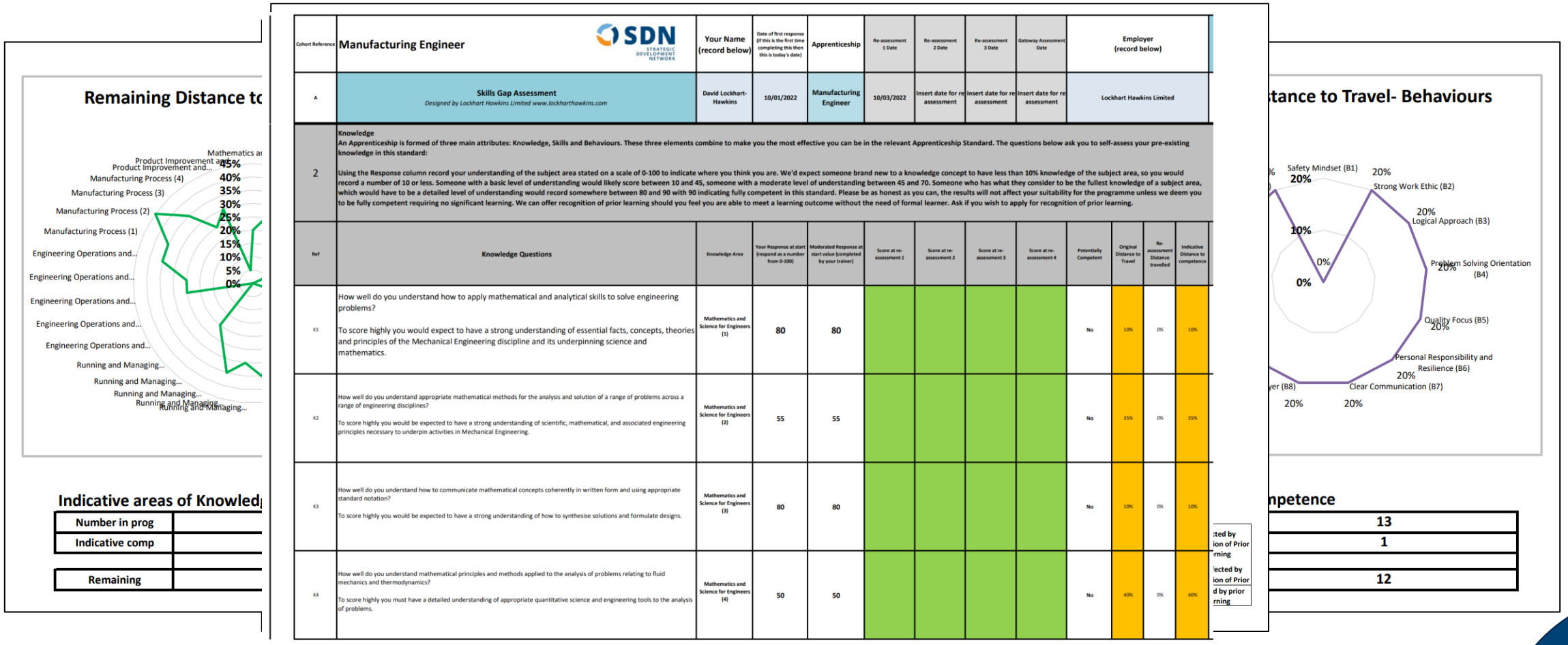
3. **The component parts of initial assessment**
   (Tuesday 15 March – 2-3pm)

4. **Methods of assessment and interview techniques**
   (Thursday 17 March – 2-3pm)

Book on: www.strategicdevelopmentnetwork.co.uk/getting-initial-assessment-right-for-apprenticeship-standards

Potential solutions

Skills Analysis Tool



Potential solutions

Skills Analysis Tool

We're hosting two demo sessions for the skills analysis tool. Register and see how it all works!

(links in the chat)

Monday 28 February (10.00 - 10.45am)
https://us02web.zoom.us/meeting/register/tZIqduCrrjwqHNU4JRUKQSnWITNb5Zwt7AQ2

Wednesday 2 March (3.30 - 4.15pm)
https://us02web.zoom.us/meeting/register/tZ0tdOurqT8vGt3zkLgGiP6a51wTX5yuOZFe

Questions & Answers

Type your questions into the webinar panel

THANK YOU FOR JOINING US

After This Session

You will receive:

Access to the webinar recording

Slide deck

Survey

Please forward any comments or questions to:

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01622 962 411

Visit: www.strategicdevelopmentnetwork.co.uk