

END POINT ASSESSMENT DETAILED GUIDANCE

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» INTRODUCTION

1. INTRODUCTION TO CMI EPA GUIDANCE

Following the Government's review on apprenticeships it was recommended that they needed to change to meet the changing needs of the economy, employers, learners and providers.

End Point Assessment (EPA) has been introduced as the culmination of the Apprenticeship and is designed to:

- Measure the skills, knowledge and behaviours of each Apprentice and grade their performance against the Apprenticeship Standard
- Only be carried out by an independent End Point Assessment Organisation (EPAO)

CMI, is an approved independent End Point Assessment Organisation for the following leadership and management apprenticeship standards:



LEVEL 3 TEAM LEADER / SUPERVISOR

Is aimed at someone who can take responsibility for managing a team, or discrete project, and can support, manage and develop team members, manage projects, plan and monitor workloads and resources. They would also be expected to be able to take responsibility for delivering operational plans, resolving problems, and building relationships.

Expected duration is typically 12 – 18 months



LEVEL 5 OPERATIONS / DEPARTMENTAL MANAGER

Is aimed at someone who is able to manage teams and/or projects, and has responsibility for planning, delivering and achieving departmental goals and objectives. They are accountable to a more senior manager, head of department or small business owner, and are responsible for the operational and/or policy delivery of the organisation's strategy.

Expected duration is typically 2 ½ years



LEVEL 6 CHARTERED MANAGER DEGREE APPRENTICESHIP

Is aimed at professional managers who take lead responsibility for people, projects, operations and/or services to deliver long term organisational success. It is applicable to professional managers from all sectors - the private, public or third sector - and all sizes of organisation.

Expected duration is 4 years, depending on previous experience of the apprentice



LEVEL 7 SENIOR LEADER MASTERS DEGREE APPRENTICESHIP

Is aimed at a strategic leader who has senior management responsibility, and is responsible for setting strategy, direction and vision, as well as providing a clear sense of purpose and driving strategic intent. They take into account global/macro level market trends and environmental influences, identify longer-term opportunities and risks. Through inclusive leadership, they are responsible for developing ethical, innovative and supportive cultures with the agility to deliver results, and are a role model, with responsibility for those in senior positions and significant organisational budgets.

Expected duration is typically 2 - 2 ½ years

1.2 THE APPRENTICESHIP STRUCTURE



An apprenticeship is split into 3 sections:

- **On-programme training and learning**

The Apprentice must be involved in active learning throughout their apprenticeship. On-programme training includes both on-the-job and off-the-job training and learning, and should enable them to develop the knowledge, skills and behaviours set out within the Apprenticeship Standard.

- **Gateway to End Point Assessment**

The decision to determine when each Apprentice is ready to undertake End Point Assessment is referred to as 'the Gateway' and should involve participation from the Employer, Training Provider and Apprentice.

Agreement, or 'Sign-Off', is required to demonstrate that the Apprentice has the knowledge, skills and behaviours required within the Standard and to inform the End Point Assessment Organisation that they are ready for EPA.

- **End Point Assessment**

Once an Apprentice has met the on-programme and Gateway requirements they must undertake their End Point Assessment (EPA) to check they have the required knowledge, skills and behaviours.

On successful completion of the EPA the Apprentice will receive a feedback report from CMI and will also be awarded an apprenticeship certificate by the Education and Skills Funding Agency (ESFA).

1.3 WHY CHOOSE CMI?

CMI is the only chartered awarding body dedicated to management and leadership excellence, and was the Federation of Awarding Bodies 'Awarding Body of the Year' in 2016.

We are the only organisation that can embed Chartered Manager status into our End Point Assessments for levels 5, 6 and 7. CMI is also the pioneer of the Leadership and Management Trailblazer Apprenticeship Standards.





By working with us Training Providers, Employers and Apprentices can:

- Have the confidence that the EPA we provide is progressive, comprehensive and underpinned by exceptional customer service, quality and support.
- Get access to our EPA Toolkit which has been designed to help guide you through every step of the apprentice journey.

1.4 METHODS OF ASSESSMENT

The assessment methods differ for each EPA and are set by the relevant published Assessment Plan. They include:

Standards & EPA

Assessment Method	L3	L5	L6	L7
				
Portfolio of Evidence	✓	✓	✓	
Professional Discussion re Portfolio of Evidence				✓
Work Based Project & Report		✓	✓	✓
Presentation, including Q&A Session		✓	✓	
Knowledge Test	✓	✓		
Competency Based Interview	✓	✓	✓	
Professional Discussion re CPD Activity/Log	✓	✓		

The Portfolio of Evidence

Is a collection of about 10-15 complete and/or discrete pieces of work which showcases and demonstrates the Apprentice's skills, knowledge and behaviours acquired during their apprenticeship. The evidence chosen:

- Must cover the totality of the relevant Standard
- Should be signposted and include a summary and/or mapping document that clearly shows where the evidence is located and which learning outcome it meets (*Note: If you are using an e-portfolio this should clearly provide links to your evidence.*)
- Must be structured in line with the requirements outlined in the CMI Portfolio Guidance document and ideally be presented in an electronic format.
- Will be marked by a CMI Independent Apprenticeship Assessor against the criteria for the relevant Standard and Assessment Plan.

(Further information on the requirements of the portfolio of evidence are available within the EPA Toolkit on the [CMI website](#).)

The Work Based Project

Represents and demonstrates the application of knowledge, skills and behaviours to meet the outcomes in the standard, as well as the approach to planning and completion of the project. It:

- Will take place towards the end of the apprenticeship (see relevant level in the CMI Toolkit for more details) and provides a substantive evidence base from a business related project.
- Is designed to assess Apprentices in a consistent way, irrespective of their workplace and training provider. The Employer and Training Provider will work together with the Apprentice to agree a project that is achievable within the employer's business constraints whilst meeting the needs of the Standard.

- Should be conducted as part of the Apprentice's normal work and the Employer should make allowance, in terms of time and resource, for the project to be undertaken. Any elements which need to be undertaken outside of normal work should be agreed between the Employer, Apprentice and Training Provider to ensure that the Apprentice is not disadvantaged in any way from performing their job and can meet the requirements of the project.

The End Point Assessment integrates the project outcomes with the presentation and question/answer session into one overall synoptic assessment. The completed project work will be submitted to the CMI's Independent Apprenticeship Assessor who will ensure that it demonstrates competence across the relevant standard.

The Presentation, including Q&A Session

The Apprentice will deliver a presentation (usually around 15-20 minutes - see relevant level in the CMI Toolkit for further details and exact requirements) which focuses on the outcomes of the work based project and demonstrates:

- What they set out to achieve?
- What they have produced in the project?
- How they approached the work and dealt with any issues?
- Their appropriate interpersonal and behavioural skills

It will be assessed as part of the overall project assessment and include a question and answer session consisting of a series of set competency based questions designed to enable the Apprentice to draw upon their experiences throughout their apprenticeship, as well as focusing on the findings/recommendations made within the work based project activity.

The Knowledge Test (L3 and L5 only)

The Apprentice's will complete a structured series of multiple choice questions to check their knowledge of the Standard will be tested using. The knowledge test is online, is time restricted to 30 minutes and must be completed once the Apprentice has passed Gateway to enable them to proceed onto the final EPA day.

The Competency Based Interview

The Apprentice will answer a series of set competency based questions, with follow up questions allowed for clarification, that have been designed to test their application of knowledge and learning against the relevant Standard plus the outcome(s) of their Work Based Project.

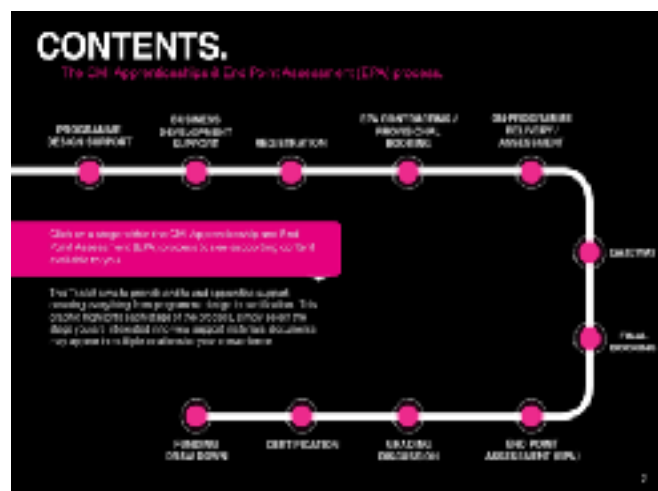
It is anticipated that the competency based interview will last no longer than 45 minutes and for Levels 5, 6 and 7 the assessment for Chartered Manager has been embedded into the questions.

The Professional Discussion

The Apprentice will answer a series of open questions by a CMI Independent Apprenticeship Assessor. This stage of the EPA is designed to focus on either the Apprentice's CPD Activity/Log (Levels 3 and 5) or Portfolio of Evidence (Level 7).

1.5 CMI EPA DOCUMENTS

CMI has produced a number of documents that capture details included in the Standards and Assessment Plans, alongside additional guidance on the EPA service. These are all found within the EPA Toolkit on the [CMI website](#) and our aim is to provide end to end support, covering everything from programme design to certification, for the Training Provider, Employer and Apprentice.



1.6 EXTERNAL AND OTHER EPA DOCUMENTS

Copies of all of the published Leadership and Management Assessment Plans can be found on the [Institute for Apprenticeships website](#)

CMI recommends that the Apprentice, Employer and Training Provider familiarise themselves with these documents as they:

- Outline the key requirements for the apprenticeship.
- Set out the knowledge, skills and behaviours required for the Apprentice to be deemed competent.
- Capture information on the duration, level, entry requirements (including English and Maths) and on-programme learning activities.
- Include the assessment methods and grading criteria required for the EPA.

1.7 CMI EPA SUPPORT

CMI provides dedicated support to Training Providers, Employers and Apprentices as part of our EPA service from design to certification, and our:

Relationship and Engagement Managers	Are on hand to help navigate the wide range of services provided by CMI and support engagement with your staff and learners.
Apprenticeship Product Manager	Is able to provide detailed advice and guidance from the initial induction, and then through the on-programme phase right up to the EPA Gateway.
End Point Assessment Team	Are the first point of contact for all queries about CMI's EPA service and are responsible for the: <ul style="list-style-type: none"> ● day to day enquiries ● planning and processing of bookings ● administration of the assessments from Gateway to Certification ● online portal ● release of the results, feedback reports and certification reports
CMI Independent Apprenticeship Assessors (IAAs)	Are independent assessors that have been contracted by the CMI. All of our IAAs have relevant occupational and assessment experience, and have completed extensive in-house training to ensure they can carry out all aspects of the final synoptic assessment, use the online portal, and provide the EPA Team with results.
CMI Lead Independent Apprenticeship Assessors	Are experienced independent assessors that have been contracted by the CMI to manage and support the IAAs. They are responsible for the quality assurance of the assessment decisions through moderation, standardisation and sampling.

2 THE EPA JOURNEY

CMI's EPA service has been designed to provide the quality and support expected, and is underpinned by exceptional customer service from initial application through to results. This section will guide you through each stage of the EPA journey.

2.1 APPLICATION



This stage includes Programme Design and Business Development Support.

Apprentices – CMI’s EPA website has links to all of our delivery partners as well as information about each of the Apprenticeship Standards to help you make the right choice in this important step in your career as a Leader and Manager.

Employers – CMI understand there have been some significant changes when it comes to apprenticeships and are dedicated to supporting you with expert advice every step of the way. Our EPA Toolkit has information designed to help you identify your organisation’s needs, including the apprenticeship levy, your role in the apprenticeship and choosing a training provider.

Training Providers – CMI can help you map your existing programme to the Apprenticeship Standards and CMI qualifications. We also offer support in making sure you are ‘Apprenticeship-delivery ready’.

2.2 REGISTRATION



This stage includes Learner Registration, Contracting and Provisional Booking.

Apprentices – if you are studying for a CMI Level 3 or Level 5 Diploma as part of your apprenticeship then you will automatically be given CMI Affiliate membership. This professional membership enables you to have access to a community of managers, resources and development tools designed to help you in your qualification and apprenticeship journey, and includes our online resource portal ManagementDirect which has a dedicated Apprenticeship Learning Journey for each level, as well as articles, guides and reading materials designed to aid your learning and understanding.

Employers & Training Providers – Registering Apprentices with CMI is simple and quick. We offer a range of benefits that can provide the Apprentice with all of the information they need to succeed as well as a recognised professional development pathway to Chartered Manager status. CMI are committed to ensuring the best possible experience is provided for all Apprentices and have designed a range of extensive and flexible support packages.

Whilst CMI qualifications are not mandatory within the apprenticeships we believe, that subject to the funding rules, the qualifications are aligned so closely to the Apprenticeship Standards that by

delivering the training associated with the qualifications and offering your learners the support we provide means you may be eligible to use the apprenticeship levy to fund a CMI apprenticeship support package.

Initially, all CMI Apprentices need to be registered, via our online portal The Hub, and this will enable them to access the support materials within the Toolkit and CMI Website. As part of this registration we require the Training Provider to provide a provisional EPA booking date, specifying the names of the Apprentices and expected date for Gateway and End Point Assessment (please contact CMI's Customer Service Team, on 01536 207349, if you need access to the Hub.) An EPA contract covering each Apprentice and their respective employer will be issued by CMI confirming that we will provide End Point Assessment services and a provisional date for Gateway.

Then, usually about 6 months prior to the end of the apprenticeship programme, CMI will arrange for one of our EPA Relationship Managers to complete a "health-check" with our registered customers to ensure they, and the apprentices, are ready for EPA. As the Apprentice approaches Gateway it is the responsibility of the Training Provider to update CMI so we can finalise the booking process and schedule the End Point Assessment Day.

(Note: It is the responsibility of the Training Provider and Employer, to review the funding rules and ensure that the eligibility requirements are met in order to utilise the apprenticeship levy or any other funding for the CMI support package. We would remind you that decisions you make in respect of funding are ultimately yours and CMI accept no liability in respect to funding the CMI support package and have no liability to the Employer or Training Provider, whether in contract, tort (including negligence), breach of statutory duty or otherwise, for any loss of profit, or for any indirect or consequential loss arising under or in connection with the funding of the support package.)

2.3 PRE-END POINT ASSESSMENT



This stage includes On-Programme Delivery, Gateway and Final Booking.

On-Programme Delivery:

CMI's EPA Toolkit has on-programme support materials available for:

- Apprentices – including mock interview and knowledge test questions, portfolio guidance and how to prepare for your EPA Interview.
- Employers – including performance review templates, a Gateway checklist and guidance on how to support your apprentice as they prepare for the EPA.
- Training Providers – including sample Individual Learning Plans, supporting content in ManagementDirect including Learner Journeys.

Gateway and Final Booking:

The Employer will make the decision as to when the Apprentice is ready for Gateway, based on their competence and performance in their role. This decision will be supported by input from the Training Provider. Where CMI is conducting the EPA, the Employer and Training Provider must confirm this on the CMI online portal system.

2.4 END POINT ASSESSMENT



This stage looks at the 3 stages of the End Point Assessment.

Once a final EPA booking has been made, CMI processes have been designed to ensure that the timescale for End Point Assessment (Gateway to publication of results) is expected to take no more than two months. *(Note: This timescale enables the Apprentice to have one re-sit of the knowledge test, where the standard requires it, without a detrimental impact on the final EPA date.)*

The CMI End Point Assessment process involves three stages:

Stage 1 – Gateway Submission

CMI’s Toolkit is designed to ensure the Apprentice arrives at the Gateway ready for their End Point Assessment and are able to proceed with confidence and at their convenience.



The Training Provider and Employer are required to complete the Gateway checklist, using the online portal, as well as confirming that the Apprentice has:

- completed the portfolio and work based project
- a Level 2 equivalent in English and mathematics

Stage 2 – Submission and Remote Assessment of the Apprentice’s Portfolio, Work Based Project and/or CPD Log/Activity

The following table shows what documents are required to be submitted and uploaded onto CMIs online portal at Gateway. Once received our CMI Approved Independent Assessor will assess and mark these documents ahead of the Apprentice’s End Point Assessment Day.

Documents to be submitted at Gateway &	Standards & EPA			
	L3	L5	L6	L7

Assessed Prior to EPA Day				
Portfolio of Evidence	✓	✓	✓	*
Work Based Project & Report		✓	✓	**
CPD Activity/Log	✓	✓		

* A Portfolio of Evidence is required to be submitted at gateway for the L7 Senior Leader Masters Degree Apprenticeship. This will then be reviewed by a CMI Independent Apprenticeship Assessor ahead of the Professional Discussion.

** The Apprentice is required to submit their Project Report for L7 Senior Leader Masters Degree Apprenticeship within one month of Gateway and prior to their project showcase.

Stage 3 – End Point Assessment by a CMI Independent Apprenticeship Assessor

Pre-EPA Day Assessments

If the Apprentice is required to complete an online knowledge test as part of their End Point Assessment then this will be undertaken as soon as possible after Gateway. The Apprentice must successfully pass this stage of their End Point Assessment in order to move onto the EPA Day.

On The Day

Depending on the level being undertaken the Apprentice is expected to be ready to present to and answer questions from the Independent Apprenticeship Assessor in a professional and business-like manner.

The Independent Apprenticeship Assessor will carry out the agreed assessment activity, either remotely or in person as dictated by the relevant Assessment Plan. They will take care to provide the Apprentice with a supportive, professional experience that allows them to showcase their knowledge, skills and behaviours. The Independent Apprenticeship Assessor will manage the assessment activities, involving panel members as required, and will be responsible for making the final decision about the Apprentice's overall competence, once all elements of End Point Assessment have been completed.

If a panel presentation is required as part of the Standard then the Independent Apprenticeship Assessor will be supported by a representation from the Employer and the Training Provider. *(For more details see the links to standards in the useful information section at the end of this document.)*

Reasonable Adjustments

CMI is committed to ensuring our qualifications and assessments are accessible to all learners and that those who wish to achieve them are able to do so. Some examples of what is reasonable include:

- difficulty in reading and understanding written material where this is in the person's native language (for example because of a mental impairment, a learning difficulty or a sensory or multisensory impairment)

- persistent distractibility or difficulty concentrating
- difficulty understanding or following simple verbal instructions

Should an Apprentice require a reasonable adjustment to be made as part of the End Point Assessment process then this will need to be advised to CMI at least 15 working days, prior to the scheduled EPA day and using the EPA notification checklist sheets which are sent to the Apprentice, the Training Provider, the Employer and the Independent Apprenticeship Assessor.

Cancellation of EPA

The CMI is mindful that there are circumstances outside of the control of the Training Provider, and/or the Employer/Apprentice, which could result in an EPA cancellation.

In such circumstances CMI will liaise with the Training Provider or Employer to discuss the rescheduling of this assessment day.

CMI's Independent Apprenticeship Assessor may also cancel or ask to reschedule the assessment, on the day, if they feel that there is a safety or security issue, and/or:

- there is a problem with accessing the system
- there is a concern over the identity of the Apprentice
- the Apprentice is unable to complete the assessment
- the required panel members are not present
- there is a concern regarding malpractice

Re-sits

Where an Apprentice receives a referral for one or more elements of their EPA then a resit will be required. Details of the resit elements and their costs are as follows:

Re-sit Element	Minor or Major Issue *	Cost to Training Provider/ Employer
Knowledge Test - resit #1		Free
Knowledge Test - resit #2 <i>(After further development has been undertaken.)</i>		Free
Knowledge Test - resit #3		Free
Portfolio and/or Project - reassessment #1	Minor	Free <i>(within first 15 days)</i>
Portfolio and/or Project - reassessment #2	Minor	£50.00
Portfolio and/or Project - reassessment	Major	£100.00
Remote EPA reassessment		£50.00

Face to face EPA reassessment		£250.00 for half day
		£500.00 for full day

*Minor or Major Issue:

A minor issue is understood to be one that can be solved within seven working days and results in the EPA date as remaining unaltered. Examples include:

- A missing evidence document that has been referred to within the portfolio
- A review document that has not been signed by all of the appropriate stakeholders

A major issue is understood to be one that is expected to take longer than eight working days and will result in the EPA day having to be rescheduled. Examples include:

- Insufficient evidence that the Apprentice's learning has been applied and/or unable to demonstrate all of the skills, knowledge and behaviours within the Standard
- The work based project is incomplete and is missing three or more elements
- The evidence within the portfolio has not been appropriately signposted to the relevant learning outcomes within the Standard

2.5 RESULTS



This stage includes Overall Grading, Apprenticeship Certificates and CMI's Apprentice Feedback Report.

Once the Apprentice has completed all of their assessments, the CMI Independent Apprenticeship Assessor will review all of the results and provide feedback within the online portal. They will then recommend an overall grade, for the End Point Assessment, and this will be submitted to the Education and Skills Funding Agency (ESFA) who will issue the apprenticeship completion certificate. The certificate from the ESFA will confirm that the Apprentice has successfully completed their apprenticeship programme and also provide them with their overall grade, of Pass, Merit or Distinction.

CMI will also collate all of the End Point Assessment results into a feedback report and the document will be made available to the Apprentice to download from the online portal.

2.6 POST RESULTS



This stage looks at CMI Membership, Chartered Manager and Appeals.

CMI Membership

More and more managers are choosing CMI for no-nonsense support to help them make better, faster, smarter decisions. As a member of CMI, you automatically benefit from a comprehensive range of products and services, to help you to continue to develop into a better performing manager capable of making a greater impact within your organisation. *(Further details on the benefits of being a member of CMI can be found on our [website](#).)*

Chartered Manager

CMI are the only organisation that can award Chartered Manager status and we have embedded this assessment into our End Point Assessments for Levels 5, 6 and 7. Apprentices that successfully complete the L5 Operation/Department Manager, the L6 Chartered Manager Degree or the L7 Senior Leader Masters Degree Apprenticeship, and who have the relevant experience, will automatically be awarded Chartered Manager status and can use the post nominals CMgr MCMi after their name. *(Further details of the benefits of being a Chartered Manager can be found on our [website](#).)*

Appeals

CMI recognises that as part of the regulatory body requirements, Apprentices should have access to fair and reliable assessment and should therefore have a right to appeal against end point assessment decisions which are unclear or seem unfair. If an Apprentice is unhappy with their result then they may appeal against the outcome of the End Point Assessment, which should be addressed to CMI as the independent EPAO and clearly state the grounds for appeal.

CMI's Apprentice Appeals process has 5 stages and each stage must be exhausted before proceeding to the next one. Appeals must be made within 20 working days of the receipt of the results, and may be sent by post to Chartered Management Institute, Management House, Cottingham Road, Corby, Northamptonshire, NN17 1TT, or via email to apprenticeship@managers.org.uk.

CMI will then confirm, in writing, acknowledgement of receipt of the appeal within 10 working days and arrange for the Lead Independent Apprenticeship Assessor to complete an initial review the documentation relating to the results. Apprentices are advised to keep their own copies of all the documents used in the Apprentice Appeals Procedure. *(For full details of CMI's Apprentice Appeals Procedure please see copy policy document in the Useful Information section of this guidance.)*

3 QUALITY ASSURANCE

As an independent EPAO, CMI acknowledges the hard work and dedication needed by the Apprentice to complete their on-programme learning and EPA. We are committed to ensuring our EPA process is a quality offering, is conducted professionally and provides a meaningful assessment of the Apprentices skills, knowledge and behaviours.

Any recommendation made by a CMI Independent Apprenticeship Assessor is subject to scrutiny. Moderation is completed by one of our Lead Independent Apprenticeship Assessors and the process has been designed to ensure that the highest standards are not only maintained but also consistently applied.

External Quality Assurance of the Management and Leadership Standards will be undertaken by the Institute for Apprenticeships and CMI ensures that the EPAs we deliver meet all of the requirements and conditions to satisfy this.

4 USEFUL INFORMATION

Links to standards

[Level 3 Team Leader / Supervisor](#)

[Level 5 Operation / Departmental Manager](#)

[Level 6 Chartered Manager Degree Apprenticeship](#)

[Level 7 Senior Leader Masters Degree Apprenticeship](#)

Links to CMI policies

[Appeals Policy](#)

[Complaints Policy](#)

[Conflict of Interest & Whistleblowing](#)

[Equality & Diversity](#)

[Malpractice & Maladministration](#)

[Reasonable Adjustments](#)

[Safeguarding](#)

Links to external organisations

[Institute for Apprenticeships \(fA\)](#)

[Education and Skills Funding Agency \(ESFA\)](#)

[Gov.UK - Apprenticeships](#)