

# **SCOTTISH HIGHER LEVEL APPRENTICESHIPS**

**A**

## **TECHNICAL APPRENTICESHIP**

**IN**

**INSURANCE**

**AT Level 4**

**(SVQ Level 4 SCQF Level 8)**

**FRAMEWORK DOCUMENT  
FOR SCOTLAND**

**Financial & Legal Skills Partnership**

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# Technical Apprenticeships in Scotland

## What are Technical and Professional Apprenticeships?

Technical Apprenticeships offer those aged over 16 paid employment combined with the opportunity to train for jobs at senior supervisory and management level.

## Who develops them?

Technical Apprenticeships are developed by Sector Skills Councils (SSCs). SSCs consult with employers and key partners in their sector to produce a training programme, which meets the needs of employers.

## Who are they for?

Technical Apprenticeships are available to employees aged 16 or over. Employees need to demonstrate to their employer that they have the potential to complete the programme.

## What's in a Technical and Professional Apprenticeship?

In Scotland, there are more than 70 different Apprenticeship Frameworks and they are all designed to deliver a training package around a minimum standard of competence defined by employers through SSCs. There are four different levels of Apprenticeship in Scotland: Modern Apprenticeships at SCQF 5 (SVQ 2) and SCQF 6/7 (SVQ 3), Technical Apprenticeships at SCQF 8/9 (SVQ 4) and Professional Apprenticeships at SCQF 10 (SVQ 5). They all contain the same 3 basic criteria:

- A relevant SVQ (or alternative competency based qualification), HN Qualification, Professional Qualification or other qualification at SCQF level 8 and above
- Career Skills (known as core skills for Frameworks at SCQF Levels 5, 6 and 7)
- Industry specific training

Details of the content of this specific Technical/ Professional Apprenticeship are given in the next section.

## Level 4 (SCQF Level 8) Technical Apprenticeship in Insurance

### **Insurance in Scotland – an overview**

The financial services sector remains one of the most important industries in Scotland and the rest of the UK. Financial services contributed £8.8 billion to the Scottish economy in 2010 – more than eight per cent of Scottish onshore economic activity.<sup>1</sup> The sector directly employs 85,000 people in Scotland and a further 100,000 indirectly – around seven per cent of total Scottish employment.<sup>2</sup> The UK is widely recognised as a global leader in financial services. Scotland's vibrant financial sector is an important contributor to this strong UK position, and also benefits from its global reputation.

The Skills Investment Plan (SIP) for Scotland's financial services sector has been developed with stakeholders and partners including Royal Bank of Scotland (RBS), Clydesdale Bank, Citi Group, Scottish Financial Enterprise, Skills Development Scotland (SDS), Unite the Union, BNP Paribas, Capital Credit Union, Lloyds Banking Group, Tesco Bank, AVIVA and Standard Life. It sets out the key skills needs priorities that will support the sector's future growth ambitions.

The development of the Skills Investment Plan for financial services in Scotland has been sector-led and facilitated by Skills Development Scotland (SDS). This process was fully aligned with, and informed by, the strategy refresh led by Scottish Enterprise. Based on robust evidence from, and engagement with the financial services sector, the SIP sets out a clear statement of the sector's skills needs, highlights the skills priorities that need to be addressed to support the sector's future growth ambitions. It also provides a framework for aligning public and private sector investment to meet these needs.

***“The key purpose of the Skills Investment Plan (SIP) is to support delivery of the Scottish Government's Economic Strategy and Skills Strategy in relation to the financial services sector and to take forward the skills component of the refreshed Strategy for the Financial Services Industry in Scotland”.*** Source:- 1 A Strategy for the Financial Services Industry in Scotland (2005).

<http://www.scotland.gov.uk/Resource/Doc/37428/0024784.pdf>

The Skills Investment Plan is developed by employers in the financial services industry who have requested a need for Technical Level Apprenticeships to offer as an additional entry point into the business and a progression route for existing Level 2 and 3 Modern Apprenticeships on page 10 of the plan. On Page 15, the plan states a lack of higher level MA provision in key technical skills. Therefore A lack of higher level MA provision in key technical skills and on Page 18 is states the action for Modern Apprenticeships Develop higher level MAs in key technical areas - e.g. providing financial services, business services for March 2014, these are these frameworks and they address these gaps –

[https://www.skillsdevelopmentscotland.co.uk/media/936042/financial\\_services\\_sip-nov13.pdf](https://www.skillsdevelopmentscotland.co.uk/media/936042/financial_services_sip-nov13.pdf)

The insurance industry makes a huge contribution to the Scottish economy<sup>3</sup>.

Over one percent of Scotland's working population is employed in the insurance sector, accounting for 24 percent of the UK-wide insurance industry workforce.

<sup>1</sup> [https://www.gov.uk/government/uploads/system/uploads/attachment\\_data/file/200491/scotland\\_analysis\\_financial\\_services\\_and\\_banking\\_200513.pdf](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/200491/scotland_analysis_financial_services_and_banking_200513.pdf)

<sup>2</sup> All data from *Regional Contribution of UK Financial and Professional Services*, The City UK, January 2013 - <http://www.thecityuk.com/research/our-work/reports-list/key-facts-about-uk-financial-and-related-professional-services/>

<sup>3</sup> <http://www.sfe.org.uk/facts.aspx>

The Scottish insurance sector provides a full range of services including general insurance, life assurance and pensions and deals with a UK wide customer base.

### **General insurance, life assurance and pensions**

The insurance industry in Scotland dates to the early 1700s and is famous for a long tradition of reliability and quality service.

Scotland is still recognised as an important centre for the industry today, offering a vibrant insurance sector and a wide range of services.

Scotland's insurance industry benefits from particular expertise in general insurance, life assurance and pensions.

Four major insurance companies have their headquarters in Scotland:

- Standard Life
- Scottish Widows
- AEGON UK
- Bright Grey

Other companies with similar operations in Scotland include Prudential while Aviva has opened two centres of excellence there.

### **Strengths of Scotland's insurance industry**

The strengths of the Scottish insurance industry are widely recognised:

- Insurance companies provide over 20 percent of financial services industry jobs in Scotland
- Scottish based operations service a UK-wide customer base
- 24 percent of all UK insurance industry employment is in Scotland
- Life assurance companies based in Scotland manage over £726 million of funds
- Scottish insurance companies also manage annuities, health insurance and investment products<sup>4</sup>

Scotland's working population is one of the best trained, most reliable and cost-effective in the world with Scottish universities producing thousands of high-quality graduates every year.

### **Scotland's insurance industry infrastructure**

The insurance sector in Scotland benefits from an active support network, with a community of providers, professional advisors and support services, including

- Specialist HR firms
- IT companies and consultants
- Business consultancy
- Outsourcing and legal services
- Risk management<sup>5</sup>

There is wide support for this new Technical Apprenticeship from employers in the Insurance sector, which will help employers recruit, train and retain staff in the sector. Employer letters of support can be found at the end of this document under Appendix A.

This Technical Apprenticeship framework has four pathways, and provides the skills, knowledge and

<sup>4</sup> [http://www.scottish-enterprise.com/~media/SE\\_2013/Knowledge%20Hub/Publication/financial%20services%20in%20scotland.pdf](http://www.scottish-enterprise.com/~media/SE_2013/Knowledge%20Hub/Publication/financial%20services%20in%20scotland.pdf)

<sup>5</sup> <http://www.sfe.org.uk/facts.aspx>

competence required to work in a wide range of job roles such as:

Claims Technician Pathway

To handle complex and/or specialist, and high value insurance claims and to provide technical expertise.

Broker Technician Pathway

To act as a link between clients and insurance companies towards achieving the most appropriate outcomes in the provision of insurance services.

Underwriting Technician Pathway

To assess risk and make decisions regarding the underwriting of complex and/or specialist, and high value insurance applications in line with organisational strategy, and to provide technical expertise.

Claims/Broking/Underwriting Team Leader/Supervisor Pathway

Manage teams gaining commitment and achieving results through the efficient and responsible use of resources in providing insurance services.

This framework is aimed at both new entrants and existing staff.

The Level 2 and 3 Providing Financial Services framework is aimed at junior roles in Insurance and Banking, whereas the Level 4 Technical Apprenticeship is aimed at Technicians and Supervisory roles in which those with Highers or equivalent in Scotland can go directly into. They are additional entry points into the business, like the existing graduate schemes.

The Regulator, the Financial Conduct Authority's statement on assessing employee competence is:

***"A firm must not assess an employee as competent to carry on an activity in TC Appendix 1 until the employee has demonstrated the necessary competence to do so and has (if required by TC Appendix 1) <sup>2</sup>attained <sup>2</sup>each module of an appropriate <sup>2</sup>qualification<sup>2</sup>. This assessment need not take place before the employee starts to carry on the activity."***<sup>6</sup>

Therefore, the qualifications within this Technical Apprenticeship can act as tool to assess competency as the Technical Apprenticeship includes qualifications that assess both the individual's knowledge and competence which stand alone qualifications cannot achieve.

<sup>6</sup> <http://fshandbook.info/FS/html/FCATC/2/1>

# Summary of Framework

Diagram showing the contents of the Level 4 (SCQF Level 8) Technical Apprenticeship in Insurance

## Mandatory outcomes

### SVQ/ CBQ/ HN Qualification/ Professional Qualification

- *The following must be achieved:*

- SQA Level 4 SVQ in Insurance at SCQF Level 8 - 56-121 Credits – GJ2C 24.

### Career Skills *(see Appendix 4 for full list)*

- Employer and individual to select the appropriate Career Skills units within the agreed thresholds

It is a completely free choice for training provider/ employer/ apprentice to choose the appropriate Career Skills. The Career Skills must be taken from Appendix 4 at the back of this document. Technical Apprentices should complete Career Skills units at SCQF Level 7 or above and achieve a minimum of 15 Credits.

### Enhancements

One of the following must be taken:-

- CII Level 4 Diploma in Insurance
- ILM Level 4 Diploma in Leadership & Management
- CMI Level 4 Diploma in Management

## Optional Outcomes

### Additional SVQ Units/Qualifications/Training

There is no requirement for optional outcomes in this framework.

# The Framework

The mandatory and optional content of the Level 4 Technical Apprenticeship in Insurance is as follows:

## Mandatory Outcomes

### SVQ(s)/ CBQs/ Other Qualifications

Each apprentice is required to achieve the following Qualification:

- SQA Level 4 SVQ in Insurance at SCQF Level 8 - 56-121 Credits - GJ2C 24.

Scottish Vocational Qualifications (SVQs) are work-based qualifications, which are based on National Occupational Standards of competence drawn up by representatives from each industry sector. SVQs are made up of units – normally between six and ten – which break a job down into separate functions reflecting the different kinds of activities of a job. When someone has achieved an SVQ, there is a guarantee that they have the skills and knowledge needed to do their job. Technical and Professional Apprenticeships involve either SVQs, alternative competency based qualifications or appropriate Higher National or Professional qualifications. All Scottish Technical and Professional Apprenticeships must contain a relevant SVQ, equivalent competency based qualifications, HN qualification or Professional qualification.

### Career Skills

Career Skills for Technical Apprenticeships were developed in response to employer demand that “core skills” at a higher level must reflect the work-based requirements of jobs within the workplace. A ‘pick and mix’ approach has been introduced to ensure that candidates gain the right mix of Career Skills (see Appendix 4).

A wide range of pan-sector SVQ units at SCQF 7 and above has been identified and these have been listed in Appendix 4 of the Guidance document). Candidates and employers should select between two and five of the units from the Career Skills list (from any section), within the following parameters:

- A threshold of 15 SCQF credits for Technical Apprenticeships must be achieved
- Technical Apprenticeships must include Career Skills Units at SCQF 7 or above

Note: The Career Skills units selected should NOT be the same as any of the mandatory components.

It is a completely free choice for training provider/ employer/ apprentice to choose the appropriate Career Skills. The Career Skills must be taken from Appendix 4 at the back of this document. Technical Apprentices should complete Career Skills units at SCQF Level 7 or above and achieve a minimum of 15 Credits.



## Enhancements

Each apprentice is required to achieve one enhancement.

Enhancements in the financial services sector are generally professional qualifications which are offered by industry recognised professional bodies which provide the apprentice with the relevant knowledge required for the Technical Apprenticeship and their job role.

One of the following must be taken:-

CII Level 4 Diploma in Insurance  
ILM Level 4 Diploma in Leadership & Management  
CMI Level 4 Diploma in Management

## Optional Outcomes

There is no requirement for optional outcomes in this framework.

## Registration and certification

This Scottish Technical Apprenticeship in Insurance is managed by Financial & Legal Skills Partnership. The SSC is the first point of contact in Scotland for any enquiries in relation to the Framework. Contact details:

Skills for Justice on behalf of Financial & Legal Skills Partnership  
Distington House  
26 Atlas Way  
Sheffield  
S4 7QQ

Tel:- 0114 261 5800  
Email:- [Certification@sfjuk.com](mailto:Certification@sfjuk.com)

The SSC will register all Scottish Technical and Professional Apprentices undertaking this Framework. **All Apprentices must be registered with the SSC within 4 weeks of starting their apprenticeship.** Registration can be made by completing the Sample Training Plan and Sample Training Agreement in Appendix 3 and sending these to the above address or completing the online registration system (MA Online, [www.maonline.org.uk](http://www.maonline.org.uk)). In the case of Technical and Professional Apprenticeships which receive funding, it is acceptable for the Skills Development Scotland Training Plan to be used on the condition that it includes all relevant information as set out in the Training Plan.

The SSC will issue an Apprenticeship Certificate of Completion to those Technical and Professional Apprentices who have completed the mandatory outcomes of the Framework. Before a certificate is issued, training providers must submit evidence to the SSC that the mandatory outcomes have been achieved. This will normally be in the form of photocopies of certificates from awarding bodies.

Requests for registration and certification should be made to the SSC at the address above.

### SSC Service level

The SSC undertakes to confirm the registration of candidates in writing within 4 weeks of receipt of the relevant Training Plan and Training Agreement. Each candidate will be issued with a unique registration number.

The SSC also undertakes to issue Certificates of Completion within 4 weeks of receipt of the appropriate evidence that a candidate has completed the outcomes as stated in the Training Plan.

## Recruitment and selection

The recruitment and selection of Technical and Professional Apprentices is primarily the responsibility of the employer. However, the following guidance is given:

- Employees may enter a Technical Apprenticeship from the age of 16. There is no upper age limit.
- The Technical Apprenticeship is designed to attract high quality people to the industry. Achievement of academic qualifications is one way of assessing the suitability of applicants. However it should be stressed that no persons should be deterred from applying for a Technical Apprenticeship because of a lack of formal educational qualifications. As well as traditional qualifications such as Standard Grades and Highers, employers should also be aware of newer vocational qualifications or vocational activity undertaken outwith an academic institutions, such as volunteering activity.
- The following factors may also influence the selection process:
  - performance during a formal interview process
  - references
  - relevant work experience
  - trial observation period.
- Employers should be aware of the nature, relevance and quality of foreign qualifications and make appropriate allowances concerning entry requirements.
- In order to promote and maintain the high status of the Apprenticeship Programme within the industry all literature distributed for recruitment purposes should emphasise the high standards of achievement expected of the candidate.
- Employers may wish to contact the SSC for advice and guidance on recruitment and selection.

There are no formal entry requirements for this Framework. However many employers will expect a high standard of literacy and numeracy e.g. good grade Standards / Nationals or Highers or a proven ability to work at this level, such as experience gained through employment or voluntary work.

It is essential that there is a rigorous initial assessment process. Whilst the FLSP does not prescribe the use of any particular assessment and diagnostic tools, those used must be fit for purpose with regard to measuring literacy and numeracy skills.

Furthermore, assessing an applicant's suitability for working within the sector with regard to personal attitudes, attributes and behaviours is recommended.

Good practice in initial assessment has identified that it must include as a minimum:

- diagnosis of individuals' abilities and support needs in basic and core skills;
- assessment of abilities and support needs in relation to knowledge qualifications;
- occupational/aptitudinal assessment;
- attitudinal assessment;
- assessment of prior experience and qualifications.

In addition, it must include discussions with individuals about their ambitions and motivations.

As a guide, the industry feels that those wishing to become apprentices require the following skills and attributes:

- self motivation to succeed within the industry;
- self discipline and enthusiasm;
- initiative;

- capacity to develop organisational skills;
- potential to complete the qualifications;
- willingness to learn and apply that learning in the workplace;
- willingness to work with due regard to health and safety;
- willingness to adapt to different work roles;
- capacity to cope in busy conditions;
- willingness to communicate with a range of people;
- numeracy and literacy.

Successful recruitment practices will ensure that apprentices with the potential to complete the framework are placed on the programme. Where this potential has not been demonstrated they should be placed on pre-entry programmes.

The FLSP encourages providers and employers to accept alternatives to qualifications when entering onto this Apprenticeship to ensure equality of access for people with learning difficulties. These alternatives include volunteering, employment, portfolio of evidence and non-accredited courses.

## Equal opportunities

Technical Apprenticeships should ensure that there is equality of opportunity for all and any barriers (real or perceived) are addressed to support anyone seeking to enter employment to undertake the Technical and Professional Apprenticeship.

All Technical Apprentices supported by Skills Development Scotland must conform to any contractual requirements on equal opportunities. All employers of Technical Apprentices should have an Equal Opportunities policy statement.

## Health and Safety

All aspects of health and safety at work must be recognised within the delivery of this Technical Apprenticeship Framework and all statutory requirements be adhered to.

It is a key aspect of the induction period of the Technical Apprenticeship that apprentices are fully informed both of the regulations and that they and their employers are bound by these regulations. Technical Apprentices should be made aware of their rights and duties with regard to health and safety.

All Technical Apprentices supported by Skills Development Scotland will be required to satisfy the adequacy of SDS's Health and Safety policy and systems.

## Contracts

The following three contracts are essential to the successful outcome of the Technical Apprenticeship programme:

1. Contract of employment signed by the employer and the Technical Apprentice.
2. SSC Training Agreement - this agreement outlines the basis of the Technical Apprenticeship, refers to the contract of employment and includes Health and Safety responsibilities.
3. SSC Training Plan - this plan outlines the selected outcomes and the expected duration of the apprenticeship. In cases where funding is offered by a SDS area office, the SDS Training Plan will be sufficient on condition that it contains all relevant information as set out in the Training Plan at Appendix 2. Training Plans may be modified to reflect changing circumstances, however it is essential that the SSC is notified of any changes.

## Employment status of Technical Apprentices

It is important that the sector offers genuine employment and career prospects to those people it wishes to attract through Technical Apprenticeships. Accordingly, **all apprentices must be employed.**

## Terms and conditions of employment

In order to compete with other sectors offering Technical Apprenticeships, attractive packages will need to be developed by employers in the sector. The terms and conditions of employment for individual Technical Apprentices will be agreed between the employer and the apprentice and should form the contract of employment.

## Training and development

### Delivery

Training delivery can take many forms under the Technical Apprenticeship system. Some organisations may become approved Assessment Centres; others may join a consortium or use peripatetic assessors. Some large employers will be able to complete all the training and development in-house, but most employers will find that some of the training and development will have to take place away from the normal workplace. In particular the underpinning knowledge requirements are often more suited to delivery by outside training providers which might include:

- private training organisations
- colleges / universities
- other employers

Such knowledge could be delivered through training courses or through open/distance learning packages.

The option of sharing training and assessment resources amongst a cluster of employers (or across the divisions of a larger employer) will be particularly appealing to those firms which do not have the resources to provide all of the training and development. Assessment can be provided by these bodies, but the assessors and the training centre must be approved by the awarding bodies for the SVQ and Career Skills where appropriate.

The following training providers will seek approval to deliver the Technical Apprenticeship in Insurance for Scotland:-

Limelight Careers  
City College Norwich  
Microcom Training  
Learndirect  
Capita  
BPP  
Kaplan  
In Training

## The SSC training plan

The plan is required to identify:

- 1 The selected Framework outcomes
- 2 The selected Career Skills units
- 3 A summary of the Technical Apprentices' accredited prior learning
- 4 A timetable for achievement of the selected Framework outcomes, linked to regular progress reviews.

The Training Plan should take into account any relevant previous training and development, education or work experience. Not all Technical and Professional Apprentices need have different plans, but many will vary. Moreover as reviews take place and circumstances change so the plan itself can be modified.

However any changes must:

- be subject to the quality provisions of Skills Development Scotland (if the apprenticeship is being financially supported)
- comply with the stipulations of this Framework
- meet the needs of the employer and apprentice.

A sample Training Plan is provided at Appendix 3 of this document, however, for those Technical Apprentices funded by SDS it is sufficient to submit the SDS Training Plan on condition that it covers the same information required in the Training Plan.

## Consultation Process

Employers that were involved in the development of the framework and the credit and levelling of the qualification include:-

- AON;
- AXA Insurance;
- Lloyds Banking Group;
- Bluefin Insurance;
- Cunningham Lindsay and
- RSA.

The consultation that took place as part of this framework was the notification to all of the following stakeholders and their membership of employers in Scotland:-

- Skills Development Scotland
- SQA Accreditation
- SQA Awarding Body
- Scottish Colleges
- Scottish Training Federation
- Scottish Trades Union Congress (STUC)
- Scottish Investment Operations
- Scottish Financial Enterprise
- Scottish Government's Financial Service Advisory Board
- Chartered Insurance Institute

A notice was provided to these bodies to inform their membership of the review by including the notice in their newsletter or on their website. There was also a notice regarding the review on the FLSP website.

The National Occupational Standards (NOS) that underpin the SVQ were developed in 2012 and the credit and levelling against the SCQF of the Insurance NOS were completed in October 2013. The SVQ was approved by SQA Accreditation in November 2013.

We also consulted with the following people from the Unions in the sector direct via email:-

- Unite Research Officer with responsibility for the finance sector)
- Unite National Officer for the Finance and Legal Sector and trade union representative on the FLSP Strategic Advisory Board)

## Career progression

Following the completion of the Technical Apprenticeship, candidates should be able to achieve positions in areas such as:

On completion of the Level 4 Technical Apprenticeship in Insurance, individuals can progress onto the following Professional qualifications:-

- CII Level 6 Advanced Diploma in Insurance
- MSc in Insurance and Risk Management

Technicians and Supervisors can progress onto managerial and client facing roles within the Insurance sector.

For a more in-depth look at careers within the Accounting, Finance and Financial Services sector, please look at our careers website [www.directions.org.uk](http://www.directions.org.uk)

# Appendices

## APPENDIX 1

### Stakeholder Responsibilities

Many organisations and individuals share the responsibility for ensuring that the Technical Apprenticeship programme is implemented to the highest possible standard. They include:

- Awarding Bodies
- Employers
- Modern/ Technical/ Professional Apprentices
- Modern Apprenticeship Group (MAG)
- Sector Skills Councils (SSCs)
- Skills Development Scotland
- Training Providers

### Role of the Sector Skills Councils

SSCs are responsible for developing Modern, Technical Apprenticeship Frameworks and are required to work with employers in their sectors to ensure that all Frameworks meet the needs of employers in their sectors.

For details on your sector's SSC, follow the link to the Alliance of Sector Skills Councils' website <http://www.sscalliance.org>

### Role of Skills Development Scotland (SDS)

Modern, Technical Apprenticeship frameworks are used by employers as part of their workforce development to train new employees and up-skill existing members of staff. They can be (and often are) used regardless of whether financial support is available from the delivery body who currently provides a 'contribution' towards the cost of delivery. However, only approved Modern, Technical Apprenticeship Frameworks will be eligible for funding support from SDS who should be contacted to establish the availability and level of support for each Framework.

Skills Development Scotland provides advice and guidance to individuals on the range of Technical Apprenticeships and training providers available. Individuals are signposted to opportunity providers who offer training in the vocational areas of interest.

Responsibilities include:

- Supporting the Apprentice with ongoing Career Planning advice
- Signposting candidates to suitable vacancies
- Promoting Modern, Technical Apprenticeship routes on the Skills Development Scotland website

Further information is available from: <http://www.skillsdevelopmentscotland.co.uk/our-services/modern-apprenticeships.aspx>

### Role of the Awarding Bodies

A significant proportion of the Technical Apprenticeship is based on the assessment of the apprentice against SVQs/ CBQs/ HN Units or SVQ units. These qualifications are accredited by the SQA Accreditation and the Office of the Qualifications and Examinations Regulator (Ofqual) and are offered by Awarding Bodies.

It is the responsibility of the Awarding Bodies to ensure that centres are approved, that assessors and verifiers are suitably qualified, trained and monitored, and that all of the assessment criteria of qualifications and qualification units are fully met.



## Role of the Training Provider

The role of the training provider is important to the success of the Technical Apprenticeship. A training provider can be a further education college, a private or voluntary training company or in some cases the employer themselves or employer partnerships.

### Training Providers are responsible for:

- Confirming an appropriate Technical Apprenticeship programme for candidates
- Agreeing the training needs of the candidates
- Agreeing roles and responsibilities for on the job training
- Agreeing where off the job training will be required and defining roles and responsibilities for this with relevant parties
- Ensuring trainee/candidate has access to the best quality training opportunities available
- Ensuring that the Technical Apprentices and employers fully understand the principles and processes of competence-based assessment
- Registering of Apprenticeship candidates with the relevant SSC (and Skills Development Scotland if appropriate).
- Compiling and agreeing assessment schedules/assessment plans
- Judging performance evidence
- Completing assessment records
- Reviewing candidates progress at regular intervals
- Submitting records and evidence for moderation
- Advising the Technical Apprentice who to approach for support, advice, encouragement and in case of complaint

## Role of Modern Apprenticeship Group (MAG)

MAG is an independent group drawn from key stakeholders involved in the management and delivery of the Apprenticeship programme in Scotland.

### MAG is responsible for:

- Approval and re-approval of Technical Apprenticeship Frameworks
- De-approval of Technical Apprenticeship Frameworks
- Encouraging best practice across Technical Apprenticeship Frameworks and sectors

## Role of the Employer

Employers' responsibilities include:

- Paying all Technical Apprentices in accordance with company policy and in line with current legislation
- Agreeing roles and responsibilities for on the job training
- Agreeing where off the job training will be required and define roles and responsibilities for this with relevant parties
- Highlighting opportunities for the Technical Apprentice to demonstrate competence
- Meeting with Trainers, Assessors, Verifiers and the Technical or Professional to review progress
- Witnessing candidate performance and verifying evidence
- Releasing Technical Apprentices for college/off-the-job training in line with training plan
- Ensuring the experience, facilities and training necessary to achieve the outcomes of the training plan.
- Supporting and encouraging Professional Apprentices and rewarding achievement
- Taking responsibility for the Health & Safety of Technical Apprentices.

## Role of the Technical Apprentice

Technical Apprentices have the same responsibilities to their employer as any other employee. In addition they have a range of commitments to their training programme.

### Technical Apprentices' responsibilities include:

- Observing the company's terms and conditions of employment
- Agreeing a training/development plan with all parties involved
- Undertaking development in line with agreed training plan
- Attending meetings with trainers, assessors and verifiers as required
- Attending college/off-the-job training where required
- Providing evidence of competence
- Developing a collection of evidence (portfolio) and retain ownership of this throughout
- Behaving in a professional manner throughout

## APPENDIX 2

### Modern Apprenticeship Centres (MACs)

Technical Apprentices may only be registered through organisations approved by the SSC to deliver this Framework. Such approved organisations are called Modern Apprenticeship Centres (MACs)

The MAC may be the employer of the apprentice or a separate organisation such as a training provider, further education college, a private or voluntary training company or in some cases the employer themselves or employer partnerships.

In order to be approved, organisations must make a formal application to the SSC, seeking approval and establishing that the centre satisfies the following criteria:

#### Either

1 be approved by an appropriate Awarding Body as a centre for the assessment of the relevant qualification and Career Skills Units

or

2 be capable of demonstrating a contractual relationship with another approved centre for the assessment of those units for which the MAC does not have approval from an appropriate Awarding Body.

#### In addition

The SSC will maintain a database of MACs for the delivery of the Framework within Scotland, which will be available to employers and others.

Organisations wishing to become MACs who have yet to obtain the necessary Awarding Body approval for assessment should first contact the Awarding Body direct.

Organisations wishing to be accredited with SQMS (or other appropriate quality system) should contact Skills Development Scotland.

In addition to the assessment of the Modern, Technical or Professional Apprentice against the relevant standards set by the selected Framework outcomes, the MAC has responsibility for:

- Entering into a formal training agreement with the employer and Apprentice
- Registering Technical Apprentices as candidates for the relevant qualification and other selected units with the appropriate Awarding Body
- Registering Technical Apprentices with the SSC
- Applying for the final 'Certificate of Completion' on behalf of Technical Apprentices
- Informing the SSC of any material alterations to Technical Apprentices' training plans or desired changes to the selected Framework outcomes.

### APPENDIX 3: TECHNICAL SAMPLE TRAINING AGREEMENT



This Training Agreement is entered into by:

<b>Name of Employer:</b>	
<b>Name of Technical/ Professional Apprentice:</b>	
<b>Name of Modern Apprenticeship Centre:</b>	

The **Employer’s responsibilities** are to:

- 1 employ the apprentice subject to the employer’s usual terms and conditions of employment;
- 2 provide the apprentice with the facilities, training and work place opportunities necessary to achieve the selected Framework outcomes specified in the apprentice’s personal training plan;
- 3 pay the apprentice an agreed salary which meets National Minimum Wage criteria, reflects the obligations of the employer and the opportunities for the apprentice;
- 4 in the event of the employer becoming unable to retain the apprentice after completion of the apprenticeship, to use reasonable endeavours to secure employment elsewhere;
- 5 in the event of the apprenticeship being terminated prematurely by either the employer or apprentice for any reason other than dismissal for unsatisfactory performance or misconduct, to use reasonable endeavours to secure employment and continuation of this apprenticeship elsewhere;
- 6 operate a formal Health and Safety policy and undertake the necessary legal and contractual responsibilities for health and safety of the apprentice; and
- 7 operate an Equal Opportunities policy which meets all legal requirements.

The **Technical Apprentice’s responsibilities** are to:

- 1 work for the employer in accordance with the agreed terms and conditions of employment;
- 2 undertake training, attend courses if required, keep records, and take assessments to be determined by the employer and/or Modern Apprenticeship Centre, and carry out such work as may be required in order to achieve the selected Framework outcomes specified in the apprentice’s personal training plan;
- 3 be diligent, punctual, behave in a responsible manner and in accordance with the requirements of Health and Safety legislation relating to the apprentice’s responsibilities as an individual; and
- 4 promote at all times the employer’s best interests.

The **Modern Apprenticeship Centre’s responsibilities** are to:

- 1 agree the content of the apprentice’s personal training plan as confirming that the selected Framework outcomes and training plans meet the criteria of this apprenticeship
- 2 contract with the employer to provide the training and assessment necessary to enable the apprentice to achieve the selected Framework outcomes specified in the apprentice’s personal training plan; and
- 3 use its best endeavours to ensure that the employer provides the apprentice with the facilities, training and work place opportunities necessary to achieve the selected Framework outcomes specified in the apprentice’s personal training plan.

This agreement to be signed by all parties:

<b>Employer</b>		<b>Date:</b>
<b>Technical/ Professional Apprentice</b> <i>(or Parent/Guardian, if under 18)</i>		<b>Date:</b>
<b>Modern Apprenticeship Centre</b>		<b>Date:</b>



**TECHNICAL APPRENTICESHIP TRAINING PLAN**

**The Modern Apprenticeship Centre**

Name:
Address:
Telephone:
Contact:

**The Technical or Professional Apprentice**

Full name:
Home address:
Work address:
Date of birth:

**The Employer**

Name:
Address:
Telephone:
Contact:

**Skills Development Scotland office**

Name:
Address:
Telephone:
Contact:

**Framework selected outcomes**

**Mandatory outcomes**

<b>Qualification Level (please identify level)</b> <i>(List mandatory and optional units)</i>		<b>Tick units being undertaken</b>	<b>SCQF Level</b>	<b>SCQF Credit Points</b>
<b>Qualification level (please identify level)</b> <i>(List mandatory and optional units)</i>				
<b>Enhancements</b>				

<b>Career Skills</b> <i>(Include details of the minimum level required)</i>		<b>Tick units being undertaken</b>	<b>SCQF Level</b>	<b>SCQF Credit Points</b>
1	(full name and code)			
2	(full name and code)			
3	(full name and code)			
4	(full name and code)			
5	(full name and code)			

**Optional outcomes**

<b>Additional units (if any)</b> <i>These are optional and should reflect the individual training needs of the Apprentice</i>		<b>Tick units being undertaken</b>	<b>SCQF Level</b>	<b>SCQF Credit Points</b>
	(specify unit)			
	(specify unit)			
	(specify unit)			
	(specify unit)			

**Summary of Technical/ Professional Apprentice’s accredited prior learning:**

***If you require assistance in completing this form, please contact:***

Financial & Legal Skills Partnership  
51 Gresham Street  
London  
EC2V 7HQ

T – 0845 257 3772  
F – 0845 257 3770  
E – [info@financialskillspartnership.org.uk](mailto:info@financialskillspartnership.org.uk)  
W – [www.financialskillspartnership.org.uk](http://www.financialskillspartnership.org.uk)

## APPENDIX 4: Career Skills Units for Technical and Professional Apprenticeships

Technical Apprentices should complete Career Skills units at SCQF Level 7 or above and achieve a minimum of 15 Credits in total. Professional Apprenticeships should complete Career Skills units at SCQF Level 8 or above and achieve a minimum of 20 Credits in total. The units have been grouped under four headings:

- Business Administration
- Management, including Business Continuity Management and Governance
- Enterprise
- Customer Service

Unit Title	SCQF Level	SCQF Credit	SSC/B NOS Code
<b>Business Administration</b>			
Implement, monitor and review change	9	6	CFABAA116
Plan change across teams	9	6	CFABAA115
Chair meetings	8	4	CFABAA413
Evaluate and solve business problems	8	6	CFABAG128
Implement and evaluate innovation in a business environment	8	6	CFABAA113
Manage and evaluate information systems	8	6	CFABAD122
Monitor and evaluate contracts	8	6	CFABAF121
Negotiate in a business environment	8	7	CFABAG123
Plan, run and evaluate projects	8	10	CFABAA152
Prepare, co-ordinate and monitor operational plans	8	6	CFABAA1110
Manage an office facility	7	6	CFABAA118
Manage budgets	7	5	CFABAA532
Manage communications in a business environment	7	3	CFABAA616
Supervise a team in a business environment	7	6	CFABAG1212
<b>Management</b>			
Build and sustain collaborative relationships with other organisations	11	6	CFAMLD17
Develop a strategic business plan for your organisation	11	14	CFAMLB3
Ensure an effective organisational approach to health and safety	11	12	CFAMLE7
Improve organisational performance	11	11	CFAMLF12
Manage risk	11	12	CFAMLB10
Promote equality of opportunity, diversity and inclusion in your organisation	11	12	CFAMLB12
Promote knowledge management in your organisation	11	7	CFAMLE13
Promote the use of technology within your organisation	11	12	CFAMLE4
Provide leadership for your organisation	11	13	CFAMLB7
Manage the development and marketing of products/services in your area of responsibility	10	9	CFAMLF16
Put the strategic business plan into action	10	9	CFAMLB4



Develop and implement marketing plans for your area of responsibility	9	5	CFAMLF4
Encourage innovation in your area of responsibility	9	12	CFAMLC2
Lead change	9	15	CFAMLC4
Manage business processes	9	15	CFAMLF3
Manage knowledge in your area of responsibility	9	4	CFAMLE12
Plan change	9	15	CFAMLC5
Recruit, select and keep colleagues	9	12	CFAMLD3
Develop and implement operational plans for your area of responsibility	8	11	CFAMLB1
Implement change	8	11	CFAMLC6
Manage finance for your area of responsibility	8	14	CFAMLE2
Manage physical resources	8	9	CFAMLE8
Manage the environmental impact of your work	8	4	CFAMLE9
Promote equality of opportunity, diversity and inclusion in your area of responsibility	8	10	CFAMLB11
Provide leadership in your area of responsibility	8	9	CFAMLB6
Allocate and monitor the progress and quality of work in your area of responsibility	7	14	CFAMLD6
Build and manage teams	7	8	CFAMLD9
Communicate information and knowledge	7	3	CFAMLE11
Ensure health and safety requirements are met in your area of responsibility	7	11	CFAMLE6
Manage your own resources and professional development	7	8	CFAMLA2
Provide leadership for your team	7	9	CFAMLB5
<b>(Business Continuity Management)</b>			
Develop a Business Continuity Management (BCM) strategy	10	10	CFABCM201
Design Business Continuity Management (BCM) procedures	8	8	CFABCM101
Manage incident response teams	8	5	CFABCM301
Assist in the design of Business Continuity Management (BCM) procedures	7	4	CFABCM102
Assist with the development of an organisational Business Continuity Management (BCM) strategy	7	5	CFABCM202
Lead a response team	7	4	CFABCM302
Operate incident response procedures	7	4	CFABCM303
Communicating during an incident	7	5	CFABCM401
<b>(Governance)</b>			
Define the responsibilities, powers and tasks of the governing body	12	13	CFA 501
Define the organisation’s strategy and structure	12	13	CFA 502
Determine the organisation’s purpose, vision, values and ethical behaviour	12	13	CFA 503
Ensure effective functioning and performance of the governing body	12	14	CFA 504
Ensure effective governing body decision making and delegation	12	14	CFA 505
Evaluate organisational and managerial performance to ensure effective compliance and control systems	12	15	CFA 506

Exercise accountability and engage effectively with key stakeholders	12	12	CFA 507
<b>Customer Service</b>			
Apply technology or other resources to improve customer service	8	11	CFACSD18
Build and maintain effective customer relations	8	8	CFACSB15
Champion customer service	8	10	CFACSA17
Develop a customer service strategy for a part of an organisation	8	11	CFACSD16
Follow organisational rules, legislation and external regulations when managing customer service	8	10	CFACSF6
Plan and organise the development of customer service staff	8	9	CFACSD15
Plan, organise and control customer service operations	8	10	CFACSB13
Review the quality of customer service	8	8	CFACSB14
Apply risk assessment to customer service	7	10	CFACSC6
Build a customer service knowledge set	7	7	CFACSA16
Demonstrate understanding of customer service	7	6	CFACSF3
Gather, analyse and interpret customer feedback	7	10	CFACSD12
Manage customer service performance	7	7	CFACSD20
Promote continuous improvement	7	7	CFACSD9
Use customer service as a competitive tool	7	8	CFACSA14
<b>Enterprise</b>			
Evaluate an existing business opportunity	9	6	CFABD9
Get support for a creative idea	9	9	CFABD10
Explore overseas markets	9	14	CFAWB6
Carry out a review of the business	8	8	CFABD4
Make deals to take your business forward	8	6	CFAEE3
Find innovative ways to improve your business	8	8	CFAEE4
Plan how to let your customers know about your products and services	8	8	CFAWB2
Advertise your products and services	8	5	CFAWB4
Sell your products or services	8	7	CFAWB5
Bid for work	8	5	CFAWB9
Win and keep customers	7	7	CFAEE2
Manage cash flow	7	3	CFAMN4
Review the skills the business needs	7	4	CFAOP1
Check what your customers need from the business	7	5	CFAWB1
Plan how you will sell your products or services	7	4	CFAWB3
Make presentations about your business	7	4	CFAWB10
Delegate work to others	7	4	CFAYS6