End Point Assessment Policies

External Audit Policy
GP18

Document History

Version	Date	Reason for Revision	Issued by
V1.1	July 2019	Initial release	Harj Dhanjal
V1.2	Nov 2020	Document review during covid-19 (No Changes required)	Alan Bates
V1.3	July 2021	Review of the policy for our Ofqual recognition submission	Alan Bates

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External Audit Policy

Scope:

The purpose of this policy is to ensure UCE maintain and develop with our External Quality Assurance Organisation (EQAO) partner a Quality Management System (QMS). The QMS is externally audited by the EQAO in an open and productive method to ensure compliance and standardisation across different End Point Assessment Organisations (EPAO) and the EQA Framework with an aim of delivering an outstanding experience for our customers.

Responsibility:

The Directors of UCE are responsible for maintaining the documents, requests and uploads to the EQAO's Portal.

UCE are responsible for assessing Institute for Apprenticeships and technical education (IFATE) regulated standards to the end point assessment plans set out by the IFATE.

General conditions

The General Conditions of Recognition require UCE to ensure their EPAO:

- Have adequate systems and physical and human resources in place to support the delivery and assessment of its standards;
- Fully understand the requirements of its standards end point assessment plans, and the processes and procedures which support its quality assurance activities;
- Ensure that the interests of candidates, training providers and employer are protected at all times;

To this end UCE's will be approved by an external quality assurance organistaion (EQAO) that sets out to confirm the EPAO's ability to comply with these responsibilities.

UCE will work with the EQAO to establish the readiness to deliver assessment plans by uploading the requested documentation through a secure portal.

As part of the Approval process, UCE will be required to take part in Monitoring visits. The EQAO will carry out a monitoring visit to ensure the EPAO has sufficient resources to deliver UCE assessment plans.

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To be fully approved, UCE must have:

- Provided all center and staff information requested
- Policies, procedures and documents
- Met all the requirements provided in a Monitoring Visit Report
- Attended training for the relevant standardisation events, where required.

CENTRE APPROVAL DOCUMENTS

GP06 Fair Access Policy: UCE will maintain a process that states how UCE ensures fair access to assessment for all candidates. Reference may need to be made to the Appeals Policy which candidates would need to refer to if they felt that fair access had not been available.

GP07 Internal Quality Assurance Policy inc. Moderation: This is a key document for UCE, as internal moderation is a core element of our moderation procedures. This document will detail UCE's approach to internal moderation, how often it is carried out and how it is documented.

GP03 Prevent Safeguarding Equality Policy: This policy will be in keeping with the Equality Act 2010 and demonstrate how UCE ensures that it is meeting the requirements of that act.

GP08 Appeals Policy: This document will outline UCE's procedure for appeals for candidates who believe they have not been treated fairly in relation to assessment outcomes, or any other aspect of the UCE's delivery of qualifications, including who to contact in this situation.

GP02 Malpractice and Maladministration Policy: This policy will demonstrate that the UCE takes any instance of malpractice very seriously, has robust procedures for preventing it happening and for mitigating the effect if it does. It must show that the UCE understands that both staff and candidate malpractice can occur.

GP15 EPA Delivery Policy inc. Staffing Procedure: This procedure will maintain a Contacts listed of staff and must be kept up to date. The Staffing Update must be renewed annually and each time there is a change.

GP13 Health and Safety Policy: Any Health and Safety policy must show evidence of undertaking risk assessments of the learning environment and the resources to be used.

 GP11 Data Security Policy: This policy demonstrates how the UCE is meeting its responsibilities under the GDPR.

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The Monitoring visits

A UCE representative will bet responsible for communications with the EQAO to arrange a suitable date for its visits. An External Quality Assurer (EQA) who is a suitably experienced and trained member of the EQAO will conduct the visit.

The EQA will work with UCE to confirm that they have supplied requested information

1. Organisation Chart
    a. This should include a diagram showing management functions / duties, illustrating clear lines of accountability. The name of the person responsible for each function and the job title must be included.

2. Staff Recruitment / Induction / Development Policy / Statement
    a. UCE must confirm they will ensure that they have sufficient staff with the appropriate assessing and qualifications / experience to deliver UCE end point assessment plans, and that staff will be supported to maintain the currency of their experience and skills.
    b. UCE must show how we will ensure that staff keeps up to date with the EQA requirements.

3. Procedure for Internal Moderation
    a. Internal moderation is the quality assurance process whereby samples of candidate work are moderated to confirm the assessment decisions made are consistent across all assessors and meet the required standards. Completion of this process must ensure that the requirements of UCE's assessment plans are followed.
    b. UCE are required to have a procedure indicating how internal moderation is carried out.
    c. UCE does not allow internal moderators to internally moderate their own assessments. This process must be independent of any original assessment decisions made.
    d. Internal moderators must be fully aware of UCE's external moderation procedures, mandatory documentation and the requirements to keep internal moderation records.

4. Access to Fair Assessment
    a. UCE must be aware that it is their responsibility to provide certain adjustments for their candidates during the delivery and internal assessment of assessment plans.
    b. Staff are aware of UCE's policy on Access Arrangements and Special Consideration and will need to follow UCE's procedures for making any such requests.

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5. Procedure for dealing with Complaints • UCE will show how they would handle complaints from candidates and staff and include:

   a. how candidates and staff are made aware of the complaints procedure o appropriate timescales for dealing with them;

   b. method by which a complaint should be made;

   c. to whom an initial complaint should be made;

   d. next steps if the complaint is not resolved i.e. to whom is the complaint then referred;

   e. if still unresolved name an independent party who could make an independent judgement about the complaint. In certain circumstances this may be the EQA.

6. Candidate Enquiries and Appeals

   UCE must have an enquiries and appeals procedure available to candidates. For internal assessment decisions UCE procedure must:

   a. identify the person with whom the candidate should lodge an initial enquiry or appeal: this would usually be the candidate's tutor or assessor;

   b. state the method by which an appeal should be made;

   c. if unresolved, state what the next steps should be: this should include submission to the person responsible for internal quality assurance;

   d. if still unresolved, state what the next steps should be: this may include submission to the Directors, or to other persons who are independent of the internal assessment decision making process;

7. Malpractice and Maladministration

   a. Any actions UCE defines under malpractice will be any acts of dishonesty or any practice which compromises or threatens to compromise the validity of the assessment process and which brings the reputation of UCE and the award of its End point assessments into disrepute. (See GP02 Malpractice and Maladministration Policy)

   b. Any actions UCE defines under maladministration will be any failure to adhere to UCE policies and procedures in relation to assessment or to comply with UCE's Quality Assurance requirements.

   c. UCE are required to have robust procedures in place for preventing and investigating incidents of malpractice or maladministration. UCE must promptly notify the EQA of any incidents in line with our policy and procedures for malpractice and maladministration.

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8. Equality and Diversity
    a. UCE will show that they are clearly committed to supporting equality and diversity for candidates by ensuring open access to qualifications and assessments irrespective of age, gender, ethnic origin, religious beliefs, employment status, nationality, sexual orientation, marital status or disability.
    b. UCE will ensure that their policy meets the requirements of the Equalities Act 2010.

9. Conflicts of Interest
    a. It is recognised that there may be a risk that a business interest in the outcome of assessments may have a conflict of interest when determining the achievement of learners.

    To mitigate this risk UCE have in place, and to apply, sufficient and robust quality assurance procedures to safeguard the integrity of UCE end point assesments. This will include how UCE manages conflicts of interest and how the assessment process is protected from any potential adverse effect.

    Definition: A conflict of interest in this context can be defined as a situation that has the potential to undermine the impartiality of a tutor, assessor, and internal moderator because of a person's self-interest, professional interest or public interest.

10. Data Protection and Privacy (Fair Processing) Notice
    a. Data Protection is a legal requirement to handle personal data properly and securely.
    b. UCE will show how they comply with the requirements of GDPR legislation and any other current and appropriate data protection laws in relation to all Learner data and ensure all candidates are aware of UCE's security policy. The data collected and personal candidate information will not be disclosed to any unauthorised person or body.

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