



UNITED CENTRE
of
EXCELLENCE

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 GP18
V1.2	Nov 2020	Document review during COVID-19 (No Changes required)	Alan Bates GP18
V1.3	July 2021	Review of the policy for our Ofqual recognition submission	Alan Bates GP18
V1.4	March 2024	Policy review, change of address and run through Grammarly for clarification.	Alan Bates
V1.5	July 2025	Review of policy and practices to upgrade the policy in line with current requirements.	Alan Bates

Area	Update
Ofqual Compliance	Aligned with Conditions B3 (Record Keeping), G1 (Compliance), E4 (Monitoring), and I1 (Cooperation with Ofqual).
Skills England	All references to IfATE replaced with Skills England and aligned with their EQA Framework.
Audit Readiness	Introduced audit calendar, pre-mapped evidence, and internal pre-audit reviews.
Evidence Mapping	Policies and records mapped to Ofqual Conditions with version control and access logs.



Regulatory Engagement	Proactive communication with Skills England and Ofqual, with response tracking.		
IQA Best Practices	Sampling of assessment records, staff logs, and moderation reports included in audit prep.		
V1.6	January 2026	Update of Office address	Amar Dhanjal

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Contents

Document History	2
Contents	4
Scope:.....	5
CENTRE APPROVAL DOCUMENTS	6
The Monitoring visits	7



External Audit Policy

Scope:

This policy ensures that UCE maintains and develops a quality management system (QMS) with our External Quality Assurance Organisation (EQAO) partner. The EQAO externally audits the QMS in an open and productive method to ensure compliance and standardisation across different End-Point Assessment Organisations (EPAO) and the Skills England External Quality Assurance Framework, with the aim of delivering an outstanding customer experience.

Responsibility:

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

UCE is responsible for assessing Skills England (Skills England) regulated standards according to the end-point assessment plans set out by Skills England.

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 employers are protected at all times;

To this end, UCEs will be approved by an external quality assurance organisation (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 participate in Monitoring visits. The EQAO will carry out a monitoring visit to ensure the EPAO has sufficient resources to deliver UCE assessment plans.



To be fully approved, UCE must have:

- Provided all centre 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 it ensures fair access to assessment for all candidates. Candidates may need to refer to the Appeals Policy if they feel that fair access has not been available.

GP07 Internal Quality Assurance Policy Inc. Moderation: This is a crucial 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 comply with the Equality Act 2010 and demonstrate how UCE ensures that it meets its obligations under that act.

GP08 Appeals Policy: This document will outline UCE's procedure for appeals for candidates who believe they have not been treated fairly regarding 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 and has robust procedures for preventing it from happening and for mitigating the effect if it does. It must show that the UCE understands that malpractice can occur for both staff and candidates.

GP15 EPA Delivery Policy Inc. Staffing Procedure: This procedure will maintain a Contact list of staff and must be kept up to date. The Staffing Update must be renewed annually 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 meets its GDPR responsibilities.



The Monitoring visits

A UCE representative will be responsible for communicating 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 the 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 that it will ensure that sufficient staff with the appropriate qualifications/experience 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 keep staff updated with the EQA requirements.
3. Procedure for Internal Moderation
 - a. Internal moderation is the quality assurance process whereby candidate work samples are moderated to confirm the assessment decisions made are consistent across all assessors and meet the required standards. Completing this process must ensure that the requirements of UCE's assessment plans are followed.
 - b. UCE must have a procedure indicating how internal moderation is carried out.
 - c. UCE does not allow internal moderators to moderate their own assessments internally. This process must be independent of any original assessment decisions.
 - d. Internal moderators must be fully aware of UCE's external moderation procedures, mandatory documentation, and the requirements for keeping internal moderation records.
4. Access to Fair Assessment
 - a. UCE must be aware that they must 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 to make any such requests.



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 or 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 the complaint is still unresolved, name an independent party who could make an independent judgment 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, the 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 that compromises or threatens to compromise the validity of the assessment process, which brings the reputation of UCE and the award of its endpoint assessments into disrepute. (See GP02 Malpractice and Maladministration Policy)
 - b. Any actions UCE defines as maladministration will be any failure to adhere to UCE policies and procedures regarding assessment or to comply with UCE's Quality Assurance requirements.
 - c. UCEs must have robust procedures to prevent and investigate incidents of malpractice or maladministration. UCE must promptly notify the EQA of any incidents that align with our policy and procedures for malpractice and maladministration.



8. Equality and Diversity

- a. UCE will show that it is 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 its 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 learners' achievement.

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

Definition: A conflict of interest in this context can be defined as a situation that can potentially 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 correctly and securely.
- b. UCE will show how they comply with the requirements of GDPR legislation and any other current and appropriate data protection laws regarding 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.

Enhancements for 2025 Ofqual Recognition Compliance:

- Audit Readiness: UCE will maintain an audit calendar and ensure all documentation is pre-mapped to Ofqual Conditions B3 (Record Keeping), G1 (Compliance), E4 (Monitoring), and I1 (Cooperation with Ofqual).

- Evidence Mapping: All policies, procedures, and assessment records will be mapped to relevant Ofqual Conditions and stored securely with version control and access logs.



- Regulatory Engagement: UCE will proactively engage with Skills England and Ofqual, responding to audit requests within required timeframes and maintaining a log of regulatory communications.
- Compliance Assurance: UCE will conduct internal reviews prior to external audits to ensure alignment with Ofqual's General Conditions and Skills England's expectations.
- IQA Best Practices: External audit preparation will include sampling of assessment records, staff training logs, and moderation reports to demonstrate robust internal quality assurance.