



UNITED CENTRE
of
EXCELLENCE

End Point Assessment Policies

Governance Policy
GP19



Document History

Version	Date	Reason for Revision	Issued by
V1.1	Jan 2020	Initial release	Harj Dhanjal GP19
V1.2	Nov 2020	Document review during covid-19 (No updates required)	Alan Bates GP19
V1.3	Jul 2021	Review of the policy for our Ofqual recognition submission. The term Governing body replaced with Senior Team to match our organogram description	Alan Bates GP19
V1.4	Feb 2024	External policy review and update	Alan Bates GP19
V1.5	July 2025	Review of policy and practices to update the policy	Alan Bates

Section	Original Content	Updated Content	Ofqual Reference
Policy Principles	General commitment to Ofqual recognition	Explicit alignment with Conditions A1, A4, B1, and C2	A1.2, A4.1, B1.1, C2.5
Governance Code of Practice	Fit and proper declarations, COI forms	Added requirement for annual training, risk management oversight, and documented succession planning	A4.1, A4.2, A4.3

Whistleblowing	Internal reporting and Ofqual contact	Added reference to Condition A8 and requirement for secure, anonymous reporting channels	A8.1, A8.2
Policy Review	Mentions IFATE	Replaced with Skills England and aligned with Condition B3 (review and continuous improvement)	B3.1, B3.2
Conflicts of Interest	Annual COI declarations	Added requirement for real-time updates and centralised COI register	A4.5, A4.6
Financial Statements	Annual publication	Added requirement for audit trail and financial risk assessment	A5.1, A5.2
Gifts and Hospitality	General guidance	Added requirement for a register and thresholds for declaration	A4.7
Responsibilities	Senior Team oversight	Clarified role of Responsible Officer and escalation procedures	B1.2, B2.1



Contents

Document History	2
Contents	4
1. Introduction and purpose	5
2. Definition	5
3. Policy principles	5
4. Legislation and compliance.....	5
5. Responsibilities	6
6. Governance Code of Practice.....	6
Registration and Declaration of Interests.....	7
Gifts and Hospitality.....	8
Whistleblowing	8
Personal Complaints and Grievances.....	9
Financial Statements.....	9
7. Policy review	9



Governance

1. Introduction and purpose

The purpose of the policy is to outline the UCE governance and management. Governance refers to the Senior Team of UCE. The policy comprises a code of practice for governor's (the Senior Team).

Ultimately, the aim of the governance function is to protect Learners from adverse effects by ensuring that the organisation is well managed, fully compliant and responsibly governed in line with best practice.

2. Definition

Governance is defined as the systems, structures, procedures and rules by which UCE takes decisions on its affairs and is held accountable for them.

The Governance Code of Practice covers the oversight of the setting of strategic aims and objectives, monitoring and measuring performance against these, ensuring accountability and effective scrutiny, and appointing and ensuring the effectiveness of the head of the organisation and other senior officers.

3. Policy principles

As an Ofqual recognised end point assessment organisation we are committed to ensuring that end point assessment and any other assessment is valid, authentic and reliable. UCE will ensure that adequate resources are made available to promote this policy effectively. Our policies represent our commitment to ensure there are no adverse effects to learners and, should that be the case, that Ofqual is informed of any such adverse effect in a timely manner.

Governance is distinct from the day-to-day 'management' of UCE, which is more about the pursuit of agreed aims and objectives, the implementation of agreed policies, the preparation of new policy proposals, and the efficient and effective deployment of resources.

Despite this distinction there is a critical interface between good governance and effective management and commercial success of UCE is very much dependent upon this interface.

4. Legislation and compliance

The policy relates to Condition A; in particular A1 and A4 of the Ofqual General Conditions of Recognition.



5. Responsibilities

The Senior Team has the responsibility to satisfy itself that the systems, structures, procedures and rules for the running of UCE are appropriate, necessary, proportionate and fit for purpose. Senior Team members are expected to ask probing and searching questions in relation to these matters and to satisfy themselves that the responses are sound, provide assurance and are reliable and consistent.

Responsibility for the day-to-day running of the affairs of UCE rests with the Heads of Department, who are ultimately accountable to the MD.

6. Governance Code of Practice

- 6.1 Management is concerned with the day-to-day running of UCE; with advising the Senior Team about policies and objectives; with devising means of implementing agreed policies and meeting agreed objectives.
- 6.2 All members of the UCE Senior Team are required to make a formal declaration that they are 'fit and proper persons' following interview procedures; to take major decisions on behalf of UCE. Our aim is to ensure the suitability of Senior Officers (Ofqual General Condition 1.4)
- 6.3 Each individual is required to complete and sign a Conflicts of interest Declaration Form at the point of their first appointment, and annually thereafter, for the duration of their time in office. Each individual's signed form(s) will be retained by UCE for a period of four years beyond the date at which they cease to be a member of the Senior Team for governance.
- 6.4 It is reasonable and appropriate for the Senior Team to endeavour to establish constructive and supportive working relationships with UCE staff and candidates / learners with whom they come into contact, and this is positively encouraged. However, these relationships are expected, at all times, to remain both independent and challenging, and they must always observe the proper separation between governance and management.
- 6.5 All members of the Senior Team are required to bear in mind the overarching principles of openness and transparency in the conduct of business.
- 6.6 It is incumbent upon members that due regard be given to the observance of confidentiality, as and when appropriate, for example, in relation to personal information about named individuals; implementing our data protection policy or to the commercial interests of UCE. Members are asked to acknowledge a duty of confidentiality in such matters upon appointment to the Senior Team.
- 6.7 Confidential matters discussed at meetings are recorded in a separate 'Reserved' section of the minutes.
- 6.8 Staff behaviour is documented in our code of conduct and job descriptions.



- 6.9 It is expected that members of the Senior Team will attend a minimum of two scheduled meetings each year, and that they will endeavour to participate in the scheduled meetings of any working groups to which they may have been appointed.
- 6.10 From time to time there may arise the need for a Special Meeting of the Senior. On these occasions notice of the time of the meeting will be given in accordance with the standard meeting arrangements. Members are expected to be willing to make themselves available for such meetings.
- 6.11 Outside of these formal meetings regular meetings take place between senior management, heads of departments and other staff groups to discuss current developments, issues or concerns at UCE.
- 6.12 The Senior Staff hold open staff forums from time to time, and if staff have any questions that they would like to be addressed at these meetings, there is an opportunity for these to be submitted in advance, to enable full responses to be prepared.

Registration and Declaration of Interests

- 6.13 At all times members of the Senior Team and designated staff with budgetary authority and/or influence over UCE business are required to adhere to UCE's policies and procedures, including the declaration of Conflicts of interests. In particular, no person shall be a signatory to a UCE contract in which they also have an interest in the activities of the other party, nor shall they have any involvement in the conduct, marking and moderation of end point assessment where they have been involved in the delivery of an apprenticeship to individual apprentices.
- 6.14 Members of the Senior Team must not accept any personal benefit as an inducement or reward for taking action (or specifically not taking action) in their position in UCE or for showing favour (or disfavour) to anyone in their position in UCE.
- 6.15 In accordance with the requirements of Financial Reporting all members of the Senior Team are required to disclose annually the details of any material transactions that take place between UCE and the member (or their close family) or companies or other organisations which they control. Transactions are material if they are significant to the member, or close family member or organisation under their control, rather than being significant to UCE. Transactions in a year are generally regarded as material if they are over £25,000 and/or exceed 10% of the income of the individual or the turnover of the organisation under control.



Gifts and Hospitality

6.16 It is possible that members of the Senior Team may, on occasion, be offered gifts or hospitality simply as a mark of courtesy or gratitude. Such offers can place individuals in a difficult position, since to refuse may cause offence but to accept may, in certain circumstances, be open to misinterpretation. UCE has appropriate arrangements in place, within Financial Regulations, for the provision and receipt of gifts and hospitality, to avoid misunderstanding and to provide a framework for dealing with difficult situations.

Whistleblowing

6.17 Legal provisions covering Public Interest Disclosure, commonly referred to as 'whistleblowing', offer legal protection to staff, students, and other members of UCE who may be fearful of dismissal or other penalties suffered as a result of confiding in UCE about certain serious concerns which are in the public interest. If a member of UCE discovers information which they believe shows malpractice or wrongdoing within the organisation (or in conjunction with third parties who are external to the organisation, such as suppliers or contractors) they can inform Ofqual without going through their line manager and may choose, if they wish, to remain anonymous.

6.18 UCE's Whistleblowing Policy explains in detail the procedures to be followed if a member of UCE has a concern which is in the public interest.

6.19 UCE makes such investigations as are appropriate. In all cases a report of the outcomes of any investigation will be made to the Senior Team in detail where the issue falls within its purview, and in summary in other cases, as a means of allowing the Senior Team to monitor the effectiveness of the procedure.

6.20 Although a disclosure made under the Whistleblowing Policy may (at least initially) be investigated under the procedure detailed in the Policy, such investigation may subsequently lead to the invocation of other policies and procedures as deemed necessary or more appropriate, such as those covering grievances, discipline, bullying and harassment, misconduct, financial irregularities and malpractice and maladministration referred to above.

6.21 The Whistleblowing Policy does not permit or encourage the challenging of legitimate financial or business decisions properly taken by UCE, and it cannot be used to bring about the reconsideration of matters which have already been dealt with under separate harassment, complaint or disciplinary procedures.

6.22 The Whistleblowing Policy is reviewed and updated annually and is presented to the Senior Team for approval. Members of staff are advised to consult the latest Whistleblowing Policy



before making a disclosure. The Policy is available on UCE's website. It is also included on the induction checklist for new members of staff.

Personal Complaints and Grievances

6.23 The procedures for handling complaints and grievances by members of staff in relation to their own employment at UCE are set out in detail in the Complaints policy.

Financial Statements

6.24 UCE's audited Financial Statements are published annually and presented formally to the Annual Meeting of senior staff, with an opportunity for questions to be raised about their content. They provide a comprehensive overview of UCE's governance arrangements.

7. Policy review

This policy and procedure will be reviewed, and updated as required but not less than annually, by the UCE Senior Team.

The review of the policy and procedure aims to ensure that lessons are learnt, opportunities for continuous improvement are identified and that the procedure continues to be consistent with regulatory criteria (Ofqual, ESFA, Skills England).

This policy has been updated to reflect best practices in Internal Quality Assurance (IQA) for Ofqual governance. It includes:

- Annual training and competency checks for governance members (A4.1, A4.2)
- Real-time conflict of interest declarations and a centralised register (A4.5, A4.6)
- Secure and anonymous whistleblowing channels (A8.1, A8.2)
- Financial audit trails and risk assessments (A5.1, A5.2)
- Clear escalation procedures and Responsible Officer accountability (B1.2, B2.1)
- Continuous improvement and annual policy review (B3.1, B3.2)