



UNITED CENTRE
of
EXCELLENCE

End Point Assessment Policies

Risk Management Policy
GP20



Document History

Version	Date	Reason for Revision	Issued by
V1.1	Jan 2020	Initial release	Harj Dhanjal GP20
V1.2	Nov 2020	Document review during COVID-19 (Continuity plan diagram added)	Alan Bates GP20
V1.3	Jul 2021	Review of the policy for our Ofqual recognition submission	Alan Bates GP20
V1.4	March 2024	Policy review, address change and run through Grammarly	Alan Bates
V1.5	July 2025	Review of policy and required practices to update the policy	Alan Bates

Area	Original	Updated	Ofqual Reference
Terminology	IFATE	Replaced with Skills England	N/A
Risk Governance	General internal control	Added structured escalation protocol, centralised risk register, and quarterly reviews	A6, B3
Training	Not specified	Annual risk training for all staff	B3.2
Audit	Annual internal audit	Bi-annual internal audits with governance reporting	C2



Strategic Planning	SWOT/PESTLE mentioned	Formalised as part of strategic risk planning	A6
Confidentiality	General mention	Explicit reference to safeguarding assessment materials	G4
V1.6	January 2026	Update of Office address	Amar Dhanjal

Email: info@UCE.org.uk
Telephone: 01332 480325
Post: UCE Assessment Team
 Regus Centre, 3 Centro Pl, Derby DE24 8RF



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RISK MANAGEMENT POLICY

Scope:

To ensure that risks are identified, mitigated, and managed in UCE.

Policy:

1. This risk management policy ('the policy') forms part of UCE's internal control and governance arrangements.

2. The policy explains UCE's underlying approach to risk management and documents the roles and responsibilities of the UCE senior team and other key staff. It also outlines key aspects of the risk management process and identifies the main reporting procedures.

3. It also describes the process used by the UCE to evaluate the effectiveness of the organisation's internal control procedures. Underlying approach to strategic risk management

4. This policy outlines how UCE seeks to exercise effective control against the possibility that a specific event or set of circumstances will adversely affect the achievement of its strategic objectives in the medium and longer term. It involves a systematic process for identifying and measuring risks and taking action to manage and control them. It helps to focus management attention on priority issues, aids strategic planning and the effective use of resources, and confirms UCE's commitment to good governance and accountability. It is also a demonstration of existing good management practice and enables risks to be taken deliberately in cases where the potential benefits of a new venture are worth pursuing but where there is a significant need for potential side effects to be controlled.

5. Risk is managed at all levels within UCE, with provisions to escalate risks where necessary. High-level risks will be identified and closely monitored regularly. The following vital principles inform UCE's approach to risk management and internal control:

- UCE's senior team has responsibility for overseeing risk management within the organisation as a whole;
- Quality Director has responsibility for understanding and mitigating Design, development and assessment risks;
- UCE adopts an open and receptive approach to solving risk problems;



- UCE makes conservative and prudent recognition and disclosure of the financial and non-financial implications of risks;
- Senior team members are responsible for encouraging good risk practice within UCE;
- Assessors are responsible for encouraging good risk management practices within their duties;

6. In discharging their responsibilities, all staff have fundamental roles to play in risk management. Their role is to a) set the tone and influence the risk management culture within the scope of their remit.

When looking at responsibilities, UCE has a fundamental role to play in the management of risk. Their role is to set the tone and influence the risk management culture within the scope of their remit. This includes:

- determining whether UCE is 'risk-taking' or 'risk averse' as a whole or on any relevant individual issue;
- determining what types of risk are acceptable and which are not;
- setting the standards and expectations of staff concerning conduct and integrity.

b) Determine the appropriate risk appetite or level of exposure for UCE in any given area of activity;

c) Approve major decisions affecting UCE's risk profile or exposure;

d) Monitor the management of significant risks to reduce the likelihood of unwelcome surprises;

e) Satisfy itself that the less significant risks are being actively managed, with the appropriate controls in place and working effectively;

f) Annually review UCE's approach to risk management and approve changes or improvements to critical elements of its processes and procedures. Role of the Quality Director. The key responsibilities of the Quality Director are to:

- Implement policies on risk management and internal control, ensuring that risk is widely understood and managed across all strategies and delivery plans;
- Identify and evaluate the significant risks faced by UCE for consideration by the governing body;
- Provide adequate information promptly to the governing body on the status of risks and controls;
- Undertake an annual review of the internal control system's effectiveness and provide a report to the senior team. UCE's internal control system incorporates several risk management elements that



together facilitate an effective and efficient operation, enabling UCE to respond to various operational, financial, and commercial risks. These elements include:

- Policies and procedures associated with significant risks are a series of policies and procedures that underpin the internal control process, which has been approved by the senior management team and widely disseminated. Including Conflicts of interest policy, data protection Policy, Safeguarding policy and Governance Policy.
- The senior team of UCE receive regular reports, enabling them to monitor key risks and their controls and to initiate corrective action as necessary. Decisions to address problems are made at monthly meetings of the Senior team.
- Strategic deployment: Strategic deployment is used by UCE to help facilitate the identification, assessment and ongoing monitoring of strategic risks significant to UCE. The document is appraised termly as part of the strategic planning. However, emerging risks are also reviewed as required; UCE uses a SWOT and PESTLE analysis to assist in identifying potential risks.
- Assessors must review risks by alerting the senior team to any local risks they consider to have the potential to develop into risks of strategic significance.
- Escalation of local risks arising outside the risk review process. The department heads must alert the senior team immediately to any local risks they consider to have the potential to develop into risks of strategic significance. The senior team must inform the CEO as appropriate.

Internal Audit

- Internal audit is an essential element of the internal control process. Apart from its regular work programme, internal audits are responsible for aspects of the annual review of the effectiveness of the internal control system within the organisation. The internal auditors will report annually to the Senior team on the effectiveness of overall governance procedures.

External Audit

- External audit provides feedback to the Senior team on the operation of the internal financial controls reviewed as part of the annual audit. External audits include financial audits and Ofqual audits
- review the previous year and examine UCE's track record on risk management and internal control within the Quality management annual report.
- consider the internal and external risks of the coming year and consider if current internal control



arrangements are likely to be effective.

In coming to a view on the effectiveness of UCE's risk management procedures, The senior team will consider the following aspects: Control environment:

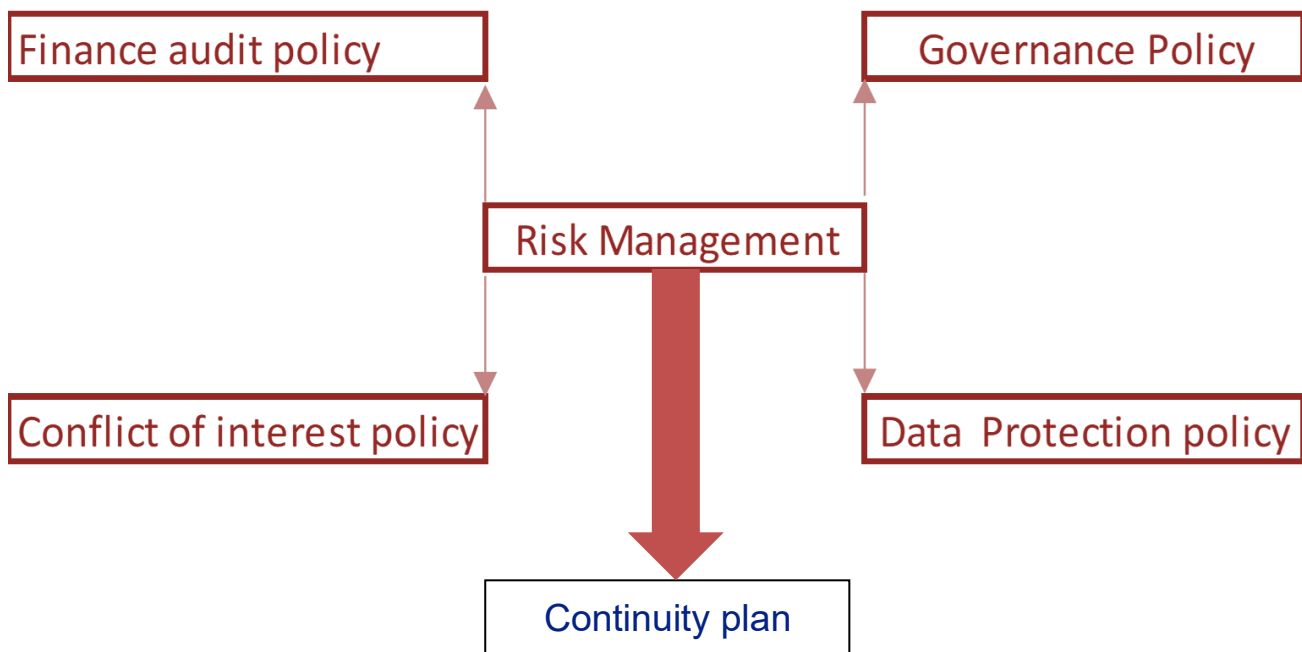
- UCE's objectives and its financial and non-financial targets;
- organisational structure and caliber of the senior management team;
- culture, approach, and resources concerning the management of risk;
- delegation of authority;
- public reporting. On-going identification and evaluation of significant risks:
- timely identification and assessment of significant risks;
- prioritisation of risks and the allocation of resources to address areas of high exposure. Information and communication:
- quality and timeliness of information on significant risks;
- ability of UCE to learn from its problems;
- commitment and speed with which corrective actions are implemented. The Risk Management Policy is delivered through UCE's procedures and policies as the best means of embedding a risk management culture within the organisation. A risk management approach informs many of the management, monitoring, planning, and policy-making activities routinely undertaken within UCE.

Appendix 1

Associated policies

- Data protection policy
- Conflict of interest policy
- Finance audit Policy
- Risk management
- Governance Policy

Overview of associated policies for risk management





Alignment with Ofqual General Conditions of Recognition

This policy has been updated to align with the following Ofqual General Conditions of Recognition:

- Condition A6: Identification and management of risks to the integrity of assessments
- Condition B3: Review and continuous improvement of risk controls
- Condition C2: Arrangements with third parties and risk mitigation
- Condition G4: Maintaining confidentiality of assessment materials

Best Practices in Internal Quality Assurance (IQA) for Risk Management

The following IQA practices have been incorporated to strengthen risk governance:

- Establish a centralised risk register reviewed quarterly by the Senior Team.
- Ensure all staff receive annual training on risk identification and mitigation.
- Implement a risk escalation protocol with clear thresholds and responsibilities.
- Use SWOT and PESTLE analysis to inform strategic risk planning.
- Conduct internal audits bi-annually and report findings to the governance board.