



# QH Supplement AP5: End Point Assessment Conflict of Interest Policy

## 1. Introduction

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**Impartiality and independence are essential to ensuring integrity and trust in the assessment decision.**

- 1.1 This document describes the policy of the University in relation to actual and perceived conflicts of interest for End Point Assessments (EPA) of apprenticeships to ensure that all EPAs that are conducted in line with regulatory guidelines including those pertaining to the Institute for Apprenticeship and Technical Education (Ifate) EQA Framework, and the Office for Students (OfS) EQA readiness and monitoring checks.
- 1.2 Conflicts which are not managed effectively may jeopardise the University's public standing and may cause damage to the reputation of the University and of the individuals concerned.

## 2. Scope

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- 2.1 This policy primarily applies to all University employees involved in EPA and, as such, the obligations are expressed accordingly. However, the principles of this policy should also apply to the work of any other persons authorised to act on behalf of the University to carry out EPA.
- 2.2 The University's Conflict of Interest Policy and Procedure (available [here](#)) describes the policy of the University in relation to actual and perceived conflicts of interest with regards to all other activities.
- 2.3 The Staff and Student Personal Relationship Policy (available [here](#)) provides the University's position on intimate relationships between employees and students.
- 2.4 In the context of this policy, a Personal Relationship is defined as a familial relationship, intimate relationships (other than between employees and students), close friendships or a business/commercial relationship.

- 2.5 It is the responsibility of each individual to recognise situations in which they have a conflict of interest, or might reasonably be seen by others to have a conflict, to disclose that conflict to the appropriate person and to take such further steps as may be appropriate, as set out in more detail under the procedure below.

### 3. Recognising and identifying conflicts of interest

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- 3.1 A conflict of interest arises where the commitments and obligations owed by an individual employee to the University or to other bodies are likely to be compromised, or may appear to be compromised, by:
- a. that person's personal gain, or gain to immediate family (or a person with whom the person has a Personal Relationship), whether financial or otherwise; or
  - b. the commitments and obligations that person owes to another person or body.
- 3.2 There may be situations where a conflict of interest is perceived by others even when no conflict exists. It is important that all employees, when faced with a situation that could be perceived by others as a conflict of interest, take reasonable measures to ensure that no conflict could arise.
- 3.3 No party who has been involved in the management or training of the apprentice can be involved in the EPA. This includes assessors and invigilators.
- 3.4 The appointment of individual end point assessors is the responsibility of Schools. All appointments must be approved by the Apprenticeship Portfolio Sub-Committee (ApSC).
- 3.5 End Point Assessors must not be appointed where this will establish a reciprocal arrangement with another End Point Assessment organisation.
- 3.6 Schools must inform those involved in EPA as assessors or invigilators of the names and relevant details of the apprentices put forward for EPA.
- 3.7 Individual staff members involved in EPA as assessors or invigilators must declare any potential conflicts of interest and must not be involved in the EPA of that apprentice or group of apprentices.
- 3.8 Risks are identified through the appointment process which is designed to screen out applications where there will be a significant and ongoing conflict. Conflicts of interest for specific cohorts will be identified through a declaration on form AA1 which each individual involved in EPA must sign to confirm that no conflict of interest exists, or to declare any conflicts.

#### Further information

- Management and training includes any aspect of an apprentice's experience including delivery, assessment, progress reviews and line management.

## 4. Managing and monitoring conflicts of interest

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- 4.1 Where a conflict of interest is identified, the School is responsible for taking measures to ensure that the assessment of that apprentice or group of apprentices can be carried out fairly and impartially. The action taken to manage the conflict must be recorded on form AA1.
- 4.2 Conflicts of Interest are centrally logged by the Apprenticeships Portfolio Sub-Committee (ApSC) on behalf of the University's Academic Standards and Quality Committee (ASQC).
- 4.3 Policy and procedures for identifying, managing and monitoring conflicts of interest are reviewed on an annual basis by ApSC.
- 4.4 Examples of conflicts of interest include:
  - a. Where an individual is undertaking the end-point assessment of an apprentice or apprentices whom they have previously trained, managed or assessed during the 'on-programme' phase of their apprenticeship.
  - b. Employees with a personal, familial or friendship relationship with a student or a student's family who may be involved in assessment decisions.
  - c. An apprentice is employed by a company in which an assessor or invigilator has a financial interest or position.
  - d. A reciprocal arrangement is established, whereby a member of NTU staff is appointed as an end point assessor for an apprenticeship Standard at another institution, and a member of staff from that same institution is appointed as the end point assessor to the same Standard for NTU apprentices.

<b>Policy owner</b>
CADQ - Apprenticeships

<b>Change history</b>			
<i>Version:</i>	<i>Approval date:</i>	<i>Implementation date:</i>	<i>Nature of significant revisions:</i>
Sept 2019	11.09.19	11.09.19	New Supplement
Sept 2020	16.09.20	1.10.20	None
Sept 2021	07.09.21	01.10.21	None
Sept 2022	22.09.22	01.10.22	None
Sept 2023	14.09.23	01.10.23	Updated to reflect that ApSC now consider assessor appointments, not EEAP.
July 2024	04.07.24	04.07.24	Refreshed to acknowledge changes in governance and oversight.
Sept 2024	19.09.24	01.10.24	None

<b>Equality Impact Analysis</b>		
<i>Version:</i>	<i>EIA date:</i>	<i>Completed by:</i>