

Conflict of Interest Policy for End-Point Assessment.

DRAFT

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EXAMPLE

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1. Why we have this policy

The purpose of this policy is designed to protect our integrity and to identify, manage and mitigate any conflicts of interest, both potential and actual, when engaging individuals in the delivery of End-Point Assessment.

2. Who this policy applies to

This policy applies to all End-Point Assessment Staff and Assessors.

It is the responsibility of the Quality Assurance Manager to ensure that this policy is reviewed annually and updated when necessary in line with feedback or regulatory requirements.

The Quality Assurance Manager will also monitor the adherence and compliance of this policy on a regular basis through internal quality assurance checks.

3. Overview of this policy

This policy sets out the different types of conflicts of interest which could occur.

4. The Policy itself

For the purposes of this policy a conflict of interest may be defined as an individual having conflicting interests or loyalties. In the case of an individual, a conflict of interest could compromise their decisions if it were not to be properly managed.

5. Potential Conflict of Interest Scenarios, this is not an exhaustive list.

Relates to: -	Potential Conflict of Interest Scenarios	Permitted	Not Permitted
Assessors or IET Trainers	Conducting Workshops.	During workshops, the IET representative may only give general contextualised advice.	The deliverer of the workshop is <u>not</u> permitted to dictate what the apprentice should write in their submission or say during a viva.
Assessors or IET Trainers	Conducting assessments.	During assessments, Assessors may only give general advice to clarify the process or the points they are trying to establish.	Closed questioning that includes the information being tested and can be answered by a yes or no response.
Assessors (IET or Employer)	The Assessor works for the same company as the apprentice.	It is permitted for the assessor to assess an apprentice so long as they are not directly involved in the delivery of that apprentice's apprenticeship.	Someone involved in the delivery or assessment of an apprenticeship cannot perform EPA for any apprentice on the scheme while they were involved. Assessor

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Relates to: -	Potential Conflict of Interest Scenarios	Permitted	Not Permitted
			cannot be in the management line of the apprentice or in the same department where they would have a pre-existing view of the apprentice's performance.
Assessors (IET or Employer)	Assessor is related to or close friends with an apprentice.	N/A	Assessor is not permitted to carry out the assessment.
Assessors (IET or Employer)	An EPA assessor has previously conducted a Professional Registration assessment on an apprentice.	N/A	The EPA assessor should declare the conflict and not assess the apprentice.
Assessors (IET or Employer)	Accreditation and Approval. EPA Assessors may also be volunteer apprenticeship accreditation and approval assessors.	Apprentices from IET Accredited or Approved Programmes are permitted to be assessed by the IET.	Assessors involved in the current Accreditation or Approval of an Apprenticeship must not assess apprentices for organisations that they have assessed.
IET Assessors or staff	Where an IET Staff or an IET Assessor has a current position of authority or has current paid or unpaid interests in an organisation seeking EPA.	Assessors may conduct EPA depending on the nature of the links at the discretion of the Apprenticeship Assessment Manager providing the potential for conflict is declared.	Assessors may not conduct assessments without the permission of the Apprenticeship Assessment Manager and where the EPA outcome would enhance their position.

6. Disclosure of actual or perceived conflicts of interest

As required by the assessor contract on recruitment and during the course of employment all individuals working within the delivery of End-Point Assessment are required to disclose any actual or potential conflicts of interest via submission of the Conflict-of-Interest Disclosure Form (FOR-COI-0005A) to the EPA Operations Manager email epa@theiet.org.

When a disclosure form is received by the EPA Operations Manager, the EPA Operations Manager will review the form and decide if any further information is required. Once additional information has been collected. The Apprenticeship Assessment Manager will then decide on the action to be taken.

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In instances, where a conflict of interest has not been disclosed during the EPA delivery, this will be investigated by the EPA Operations Manager with a view to resolving the conflict. If the conflict of interest is not able to be resolved by the EPA Operations Manager, this will then be escalated to the Apprenticeship Assessment Manager for further advice and a decision to be taken on the next steps.

7. Recording of Conflicts of Interest

For each assessment carried out the Assessor or Assessors must state that there is no known conflict of interest. This to be recorded on the assessment reports.

All conflicts of interest will be recorded on a conflicts of interest register (REG-COI-0005B) and will be reviewed on a quartley basis at the EPA Steering Group Meeting.

All records regarding the identification of potential or actual conflicts of interest and mitigating actions are required to be available for audit purposes and will be retained for business needs in line with the IET Retention Policy.

8. Enforceable Action

Failure to declare actual or perceived conflicts of interest or to comply with this policy for managing the disclosed conflict will be considered a serious matter and may lead to disciplinary action being taken against the individual(s) concerned.

The assessor contract outlines the assessor's responsibility to identify and raise conflicts of interests with IET staff and explains that this can lead to the termination of a contract in serious cases

9. Training

EPA Staff and Assessors will undertake training on a regular basis which will include Conflict of Interest.

10. Supporting Information

This policy should be used in conjunction with the following supporting documentation:

Reference	Name of Document
PRO-COI-0005	Conflict of Interest Process
FOR-COI-0005A	Conflict of Interest Disclosure Form
REG-COI-0005B	Conflict of Interest Declaration Register
POL-COM-0004	Complaints Policy
PRO-COM-0004	Complaints Process
N/A	Consultancy Agreement for Company/ Individual
N/A	IET Retention Policy

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11. Regulatory Requirements

Under the regulatory requirements of Ofqual we are required to establish and comply with the conditions and criteria as set out in the [Ofqual Regulations General Conditions of Recognition](#). This policy specifically applies to Condition A4 Conflict of Interest.

12. Related Legislation

[The Bribery Act 2010](#)- this act places specific responsibility on organisations to have in place appropriate procedures to prevent bribery and corruption taking place.

[The Data Protection Act 2018](#)- this act covers that any information which is provided under this policy will be processed in line with the data protection principles.

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Control Sheet

Sponsor: Head of Accreditation and Awards
Document reviewer: Quality Assurance Manager
Document adopted on: 1 January 2021
Next review date: 1 January 2023

Review/change history

Date of Review/Change	Summary of changes	Version no.
January 2021	New policy for handling conflicts of interest for end-point assessment	1.0
May 2021	Tweaked policy to include a statement on Assessors not being in the line management of the apprentice or in the same department where they would have a pre-existing view of the apprentice's performance.	2.0
October 2022	Update made to review date of document to January 2023.	3.0