



End Point Assessment procedures

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1. Introduction

- 1.1 The International Association of Maritime Institutions (IAMI) undertakes assessment services on behalf of its members to assist them to complete the final end point assessment (EPA) of apprentices completing their apprenticeship. This process will ensure that the EPA is independent of the employer wanting the assessment, by utilising the skilled assessor workforce of other IAMI members.

This assessment procedure has been developed to guide both apprentices and employers in the roles and responsibilities of all parties involved in the assessment process.

This document should be regarded as a controlled document and considered a part of the nominated employer and/or training provider's Quality Management System.

- 1.2 The following apprenticeship standards can be assessed by IAMI within these procedures:

ST0274	Deck Rating
ST0307	Port Operative
ST0400	Small commercial vessel crewmember
ST0427	Marine Pilot
ST0428	Port Marine Operations Officer
ST0621	Boatmaster
ST0765	Harbour Master
ST0842	OOW (near coastal - NC)
ST0875	Small vessel chief engineer
ST0952	Fisher
ST1333	Ship's Master (<500 gt, NC)

- 1.3 This procedure will be provided to all member organisations that engage IAMI to undertake the EPA of their apprentices.

2. Definitions

The following definitions are used in this document:

Assessor	Person contracted to IAMI to write and undertake EPA's
Employer	Person/s who employ the apprentice and who are also IAMI members
Training Provider	Person/s who train the apprentice and who are also IAMI members

National Workboat Association (NWA) www.workboatassociation.org/

A national Trade Association who act as the association for the owners and operators of workboats. They are members of the Maritime Skills Alliance www.workboatassociation.org/members/

Ports Skills and Safety <https://www.portskillsandsafety.co.uk/>

The membership organisation for the UK Ports network, and are also members of the Maritime Skills Alliance

Maritime Skills Alliance (MSA) <https://www.maritimeskills.org/>

The membership organisation for the wider maritime sector for training and education. They act on behalf of their members which are employers within the maritime sector. IAMI are members of MSA

The Maritime and Coastguard Agency (MCA).
<https://www.gov.uk/topic/working-sea/training-certification>

The UK maritime regulator who issues Certificates or Licenses to seafarers to enable them to serve onboard. The MCA do not have any role in the EPA process.

EPA Admin Team

The team administrating the day-to-day operation of the assessment system.

EPA auditor

Internal IAMI auditor that monitors the EPA activities against these procedures

3. Employer responsibilities

- 3.1 The employer of the apprentice undertakes the apprentice training as defined within the Trailblazer Standard. The Trailblazer Standard is the controlled document and can be downloaded from:

For ST0274 <https://www.instituteforapprenticeships.org/apprenticeship-standards/seafarer-deck-rating-v1-1>

For ST0307 <https://www.instituteforapprenticeships.org/apprenticeship-standards/port-operative/>

For ST0400 <https://www.instituteforapprenticeships.org/apprenticeship-standards/workboat-crewmember/>

For ST0427 <https://www.instituteforapprenticeships.org/apprenticeship-standards/marine-pilot/>

For ST0428 <https://www.instituteforapprenticeships.org/apprenticeship-standards/port-marine-operations-officer/>

For ST0621 <https://www.instituteforapprenticeships.org/apprenticeship-standards/boatmaster-v1-0>

For ST0765 <https://www.instituteforapprenticeships.org/apprenticeship-standards/harbour-master/>

For ST0842 <https://www.instituteforapprenticeships.org/apprenticeship-standards/officer-of-the-watch-near-coastal-v1-0>

For ST0875 <https://www.instituteforapprenticeships.org/apprenticeship-standards/small-vessel-chief-engineer-v1-0>

For ST0952 <https://www.instituteforapprenticeships.org/apprenticeship-standards/fisher-v1-0/>

These standards contain the Assessment Plan of which this EPA procedure is integrated.

- 3.2 The employer or training provider of the apprentice will contact IAMI once they are confident that their apprentice has met all the knowledge, skills and behaviours as set out in the standard. The employer or training provider will confirm to IAMI that the apprentice has all elements required in the EPA gateway process and is ready to progress to the end-point assessment. This declaration and request are received on the completed form IAMI B1 will be retained by IAMI.
- 3.3 The employer will also confirm that all the pre-requisites such as Professional Portfolio of evidence or Training Record Book (TRB), and all qualifications

listed in the appropriate standard have been completed, and that the TRB and certificates are available if requested by the EPA assessor.

- 3.4 The Portfolio of evidence or TRB must be submitted to the EPA as specified within the EPA plan. For most standards that IAMI is a registered EPAO this is at Gateway.
- 3.5 The employer will specify the preferred location of the EPA and a range of dates when the EPA can be undertaken, apprentices must be given at least two weeks notice prior to an EPA. To enable the assessor to complete the EPA two consecutive days are requested to complete the observation and professional review / examination as detailed in the assessment plan. The employer must confirm within the EPA request form B1 of the suitable venue they will provide for the examination and professional review. Once confirmed by both parties the assessor will liaise with the employer to ensure all practical facilities are available to complete the EPA. The assessment may be terminated if it is deemed that the venue does not fulfil the requirements of the EPA plan.
- 3.6 Where the EPA required a closed book written examination or multiple-choice assessment, then this assessment can be carried out at the employer's workplace or nominated Training Provider premises. The employer or Training Provider (who will be IAMI members) agree to act as the invigilator by the completion of IAMI form G1 (invigilation agreement) which details the named invigilators responsibilities.
- 3.7 Employers are encouraged to attend the annual EPA Assessor moderation meetings so that cross industry standards can be discussed and improved.
- 3.8 Employers will be contacted by IAMI to complete a survey to solicit their suggestions and comments on improvements to the EPA process for both them and their employees.

4. **Assessor responsibilities**

- 4.1 Assessors are contractors of IAMI through a signed contractual agreement.
- 4.2 The assessor must meet the occupational expertise outlined in the assessment standard, and this would be declared by the assessor when contractually engaged by IAMI by their completion of form IAMI A1 for each relevant standard. All assessors must complete their initial training to familiarise themselves with the EPA processes.
- 4.3 Assessors are commissioned by IAMI to undertake EPA at defined and designated premises of an apprentice employer. The assessor must not be employed by that employer, or engaged in any activity with the assessment workplace, or have prior knowledge of the apprentice. Reference to IAMI Policy on Conflict of Interest.

Assessors will be provided with initial training and the relevant IAMI Policies and Procedures to enable them to discharge their assigned duties. Assessors can only commence their duties once this initial training has been completed.

- 4.4 The questions for the multiple-choice, professional review and/or written examination are created IAMI assessors for the sole purpose of EPA. These moderated questions are held in specific question banks and are available only to assessors from the secure portal at <https://epa.iami.info/>. The assessor will only use the assessment questions and specimen answers to determine the competence of the apprentice, in addition to the practical demonstration of apprentice skill and knowledge.
- 4.5 **Practical demonstration.** Most EPA's require the assessor to observe the apprentice demonstrate their ability, knowledge and skills in their expected workplace. Each EPA defines the task that each apprentice must complete to demonstrate their knowledge, skills and behaviour. The Assessor will guide the Apprentice with verbal and / or written instructions on the EPA tasks they must complete, and each EPA provides the expected timescale duration with +/-10% allowance. Assessors should not consider this maximum timescale as a definite limit and allow for unexpected delays due to external operational issues however the practical demonstration should be completed within the allowed limit plus 25%. The assessor observations and apprentice answers to supplementary questions must be documented by the assessor on the IAMI EPA portal, for future reference. All practical demonstrations are graded at either pass or fail, and this result is recorded as shown in 4.13. Professional discussions may be subject to audio and/or video recording for quality review purposes and such recordings will be retained for four (4) weeks in line with the relevant data retention requirements.

- 4.6 **Multi-choice questions.** Where the EPA requires a multi-choice assessment, then this test is created randomly from the moderated questions contained within the IAMI question bank. Each test is different for each apprentice and is completed on-line. The number of questions within the assessment matches the EPA requirement and therefore the time limit is set by the EPA and controlled via the on-line process. The employer is sent the access code to administer the test on behalf of the apprentice, following their agreement to invigilate the assessment as shown in 3.5. The multi-choice questions are marked by the system, and the grade assigned dictated by the EPA for each standard. The assessor has no responsibility to create or mark this assessment, although they can monitor the assessment completion at the EPA portal at <https://epa.iami.info/>
- 4.7 **Written examinations.** Where the EPA required a closed book examination, this is created by qualified and experienced assessors and the questions internally moderated. The randomly selected question paper is transmitted securely by the IAMI Admin to the employer or assessment centre nominated by them following their agreement to invigilate the assessment as shown in 3.5. The time allowance for each paper is printed on each examination paper and must be adhered to by the invigilator.
- 4.7.1 On completion of the assessment all examinations scripts will be sent on-line to the nominated assessor, together with the associated model answer and marking scheme.
- 4.7.2 The marking scheme guides the assessor (as assigned marker) on which answers are assigned what marks allocated to each paper, so that all credit worthy responses for that question are rewarded appropriately. This marking scheme is also used to determine whether a second marker is required.
- a. Each written exam will consist equally graded questions which the apprentice can achieve a maximum of 40 or 100 marks.
 - b. If the apprentice mark is between 40-50% of this maximum, then the paper will be second marked. Note if any of the EPA grading criteria for fail are present, then the assessor will identify that fail criteria in their feedback. The second marking will be carried out by another assessor assigned to that standard.
 - c. If the apprentice mark is below 40% and any of the EPA grading criteria for fail are present, then the assessment grade is marked as failed.
- 4.7.3 The assessment grade outcome should be determined by grading criteria stated in the EPA for the Fail, Pass or Distinction grade for the ST0427 Marine Pilot standard. The assessor is required to mark the written examination with five working days and complete the assessor

feedback specifically identifying each grading criteria within the <https://epa.iami.info/> portal.

4.7.4 The assessment grade outcome for the ST0765 Harbour Master standard shall be determined by the final summative mark for the total examination paper as stated in the EPA. The assessor is required to mark the written examination with five working days and complete the assessor feedback within the <https://epa.iami.info/> portal.

4.7.5 Where assessors are asked to mark a re-sit paper, then this can only be graded at either a pass or fail.

4.8 **Professional discussion.** The assessor will receive the portfolio / training record book prior to any assessment. If this portfolio is not received then the assessment will be deferred. The assessor assigned to the apprentice will be provided with 12 or 25 questions (and their answers) randomly selected from that standard's question bank to use in the professional review. Only these assigned questions must be used by the assessor. Each question must be marked individually using the range of specimen answers provided for that question, and these answers identifies whether a pass and distinction grade is to be awarded.

4.8.1 The assessor will review the portfolio sent to them prior to any assessment. The EPA plan for each standard defines the portfolio review process, and an overview is shown within Form B2. As a minimum all assessors will create three (3) questions to: verify the evidence submitted, query any incorrect statements, and/or expand on a demonstrated skill delivered during their training. The answers received are not graded, although the assessor should confirm this review has been completed by making a statement in the comments section of the professional discussion feedback

4.8.2 The Assessor will read out all questions as supplied to them. The assessor will not prompt the apprentice except to clarify any element of the question. Each EPA provides the expected professional discussion timescale and assessors can extend the maximum timescale where they are deciding on the final grade boundary within the allowed maximum limit plus 25%.

4.8.3 The moderated specimen answers provided with each question should be used to determine apprentice's range of K, S, B, and also to determine the apprentice grade. The assessor should record the apprentice's answer during their assessment which may be used in any assessment review (such as appeal or complaint) and to enable the assessor to complete their feedback listed in 4.13 to identify modifications to the question bank questions and answers. Professional discussions may be subject to audio and/or video recording for quality review purposes and such recordings will be

retained for four (4) weeks in line with the relevant data retention requirements.

- 4.8.4 The apprentice will have deemed to have failed the individual question asked if they provide less than 50% of the range of specimen answers provided at the pass grade for that question. For example, if four (4) specimen answers are provided and the apprentice provide only one (1) or less of these model answers then they will have failed that question.
- 4.8.5 To achieve a pass grade for each question, then over 50% of the range of specimen answers provided at the pass grade for that question should be given by the apprentice **OR** 50% of the pass grade answers plus at least one answer from the distinction grade.
- 4.8.6 To achieve a distinction grade for each question, then 75% or over of the specimen answers provided at the pass grade plus 50% or over of the specimen answers provided at the distinction grade for that question should be given by the apprentice.
- 4.8.7 The final grade of all questions asked in the professional discussion is calculated by the EPA portal (and not by the assessor).

For information, the system applies the following grading criteria; where over 50% of the correctly answered questions contains answers at the distinction level, and 90% or over of the questions have a pass grade, then an overall distinction grade will be awarded.

For example: with an EPA with 12 questions: if 1 question is failed, 11 questions are passed, with 6 of these 11 answered at distinction level – final result is distinction. If 2 questions are failed, 10 questions are passed, and with only 4 of these 10 answered at distinction level – final result is pass.

- 4.8.8 Questions and their answers should be retained by the assessors and not given to the apprentice. Should a re-assessment be required, then a new set of random questions must always be downloaded and used.
- 4.9 **Project and presentation.** For this assessment two assessors are assigned to each apprentice. For the project IAMI will provide guidance to the apprentice on the scenario-based project report of 8,000 words that investigates a specific problem, recurring issue, and/or idea/opportunity for their employer.

On completion of the project report, each apprentice will present a 20 minute presentation on their project, then answer questions from the primary and secondary assessor.

Each assessor will attend the apprentice presentation, and each assessor will ask five (5) based on their review of the project report. These questions may be supplemented by an additional question derived from the presentation. This presentation will be recorded.

Each assessor will individually assess the project and the presentation against the EPA grading criteria for Fail / Pass / Distinction, identifying where each criterion has been met for specific K, S and B for each of three assessed areas. The assessor's marks will be collated by the assigned IAMI Moderator and a post presentation meeting arranged between the assessors to decide on the final grading.

- 4.10 Where any EPA can not be completed, and therefore no grade is awarded, then this must be brought to the attention of the IAMI Secretariat at secretary@iami.org.uk
- 4.11 Changes to the assessment process through "reasonable adjustments" to ensure equality of assessment opportunity to all apprentices will be notified to the assessor in writing by the IAMI Admin before the assessment and will follow current IAMI Equalities Policy.
- 4.12 If the assessor believes or suspects that the EPA assessment is compromised, by any of the following, then they are to bring this to the attention of the IAMI Secretary at secretary@iami.org.uk and halt any active assessment.
 - 4.12.1 substantial errors in assessment materials
 - 4.12.2 loss, theft, or a breach of confidentiality in any assessment materials
 - 4.12.3 issuing of incorrect results by IAMI
 - 4.12.4 malpractice or maladministration
 - 4.12.5 discrimination or bias towards the apprentice
- 4.13 Assessors are required to complete their assessor feedback within their secure assessor portal within 3 days of the EPA on the <https://epa.iami.info/>.

This assessor feedback is vital to correct errors and omissions in the question bank or IAMI processes and assists in maintaining assessment validity and consistency.

Alternatively, they can complete form IAMI D1 which can be downloaded from <https://iami.info/epa-documents/>.

The <https://epa.iami.info/> portal is compliant with current Data Protection Act 2018 and further reference is found at the IAMI Data Protection Policy.

Where an assessment has been subject to audio and/or video recording for quality review purposes and such recordings will be forwarded to IAMI and any copies on assessor devices deleted. IAMI will delete these recordings after the any appeal period and within four (4) weeks of the assessment date.

- 4.14 The assessment will be arranged between IAMI Admin and the assessor. The assessor should only contact an employer to check arrangements of a re-arranged or re-scheduled EPA due to operational issues. All communications between assessor and employer should be recorded and limited to the arrangements of the EPA itself.
- 4.15 Assessors should ensure that any EPA appeals or complaints are directed to the IAMI Secretariat and not dealt with by an assessor, who should remain independent of any such appeal by an apprentice or employer
- 4.16 To ensure assessors' industrial and EPA process knowledge is current, assessors are also required to maintain a CPD log of industry related activities, which could include, but are not limited to:
 - Work placements
 - External industrial visits
 - Achievement of new or updated training or qualifications
 - Attendance at Trade fairs and/or conferences
 - Attendance at the annual EPA moderation meeting arranged by IAMI
 - Completion of annual assessor refresher training presentation
 - On-line subscription to maritime industry updates
- 4.17 Assessors are reminded that when their employment status changes, that this should be reflected in their revised Conflict of Interest statement to IAMI.
- 4.18 Assessor payment for a completed EPA is made once the EPA is completed and the final report is uploaded to the IAMI secure website <https://epa.iami.info/> . This payment level is set within the Contract for Services signed by each assessor.

5. IAMI responsibilities

- 5.1 IAMI will maintain the procedures and policies to ensure that all EPA's are undertaken so they are fair, valid, reliable and consistent.
- 5.2 IAMI will issue formal contracts of service to assessors who meet the knowledge and experience requirements of the specific EPA assessment plan. Assessors will be recommended by the employer body, such as NWA or PSS and will remain independent of their main employer when engaged by IAMI for EPA purposes. New assessors are sent the "Training pack" which will include:

5.2.1 New assessor briefing presentation

5.2.2 Copies of the procedures and policies

- a) EPA procedures (this file)
- b) EPA portal guidelines
- c) Conflict of Interest policy
- d) Data Protection and Cyber Protection Policy
- e) Equalities Policy
- f) Malpractice Policy

- 5.3 IAMI will engage question writers through contracts to ensure that the number of moderated questions to be used for EPA professional discussion will exceed 30 at all times, and multiple-choice questions exceed 80 at all times. All professional discussion, multiple-choice and written examination assessments will be held on the secure IAMI website <https://epa.iami.info/> where access is given only to assessors and IAMI officials.

- 5.4 Assessment moderation. This is undertaken in accordance with the IAMI Internal Moderation Policy, which is part of this procedure.

The written examinations are moderated by the IAMI moderator who will review both the specimen answer and the moderator's answer to ensure alignment with the EPA K,S,B criteria. All written examinations require specimen answers with a marking scheme to ensure consistent marking.

The professional review questions are internally moderated by the IAMI moderator to check that the question matches the EPA K,S,B criteria, is written to ease apprentice's comprehension, and that a competent apprentice could provide an answer within 5 minutes.

The multiple choice questions are internally moderated by the IAMI moderator to check that the question matches the EPA K,S,B criteria, has only one correct answer, and that a competent apprentice could provide an answer within 2 minutes.

Once moderation is completed all the questions are placed on the secure IAMI website under each standard's resources

5.5 IAMI will receive and record all appeals and complaints related to the EPA assessment. Assessors will inform all apprentices and employers of the written process to submit appeals and complaints during the EPA.

5.5.1 A **complaint** is defined as an irregularity in the provision of the EPA assessment. Apprentices may wish to submit a complaint if they believe that there was a defect(s) in the provision of the assessment which materially altered their performance. This may or may not alter the outcome of the EPA. Complaints must be written on form C1 and sent by the apprentice, within 2 working days of the EPA.

Within five working days the IAMI Secretary acknowledge the receipt of the complaint and commence an investigation.

The investigation will be carried out by either the IAMI Secretary or another independent Director who has no Conflict of Interest (declared or not) and commercial or employment links with the employer, apprentice and/or training provider. This investigation should include if appropriate:

- (i) Form IAMI C1
- (ii) The evidence of any assessment taken by the apprentice.
- (iii) Evidence from the employer where the apprentice is employed
- (iv) Whether any equality issues have influenced the assessment process, whether or not these have been raised by the apprentice previously

The investigation into the complaint should be completed within five working days and the result notified in writing to the apprentice and their employer. Records of all complaints and their outcome are reported to the IAMI Board of Directors within the annual EPA report.

If the complainant is dissatisfied with the investigation outcome or if they wish to make a complaint about the IAMI Board of Directors, then they will be referred to the complaints procedure at Ofqual at

<https://www.gov.uk/government/organisations/ofqual/about/complaints-procedure>

5.5.2 An **appeal** refers to a request by the apprentice for a review of a Fail outcome from their assessment. Trainees have a right of appeal against the decision made by the assessor where they feel there was an irregularity in the conduct of the EPA or in the decision-making process which, had it not occurred, would have materially altered the outcome for their assessment. Appeals will only be considered if substantiated with relevant and suitable evidence.

Appeals cannot be made against the academic judgement of the assessor. Appeals must be written and sent by the apprentice on form C1 within 10 working days of receiving the EPA outcome.

Within five working days the IAMI Secretary will acknowledge the receipt of the appeal and convene an Appeals Panel. This Panel shall consist of at least two independent people including a) an independent IAMI Director not associated with the EPA process, and b) an EPA assessor contracted to assess the same EPA standard under appeal.

The Appeals Panel shall meet on-line or via telecom to review the evidence made available from the IAMI Secretary, consider whether further information is required and act accordingly. The following should be included where available:

- (i) The evidence of the specific assessment carried out by the apprentice
- (ii) Form IAMI C1.
- (iii) Evidence from the employer where the apprentice is employed
- (iv) Evidence from a second marker if the appeal is for a written examination
- (iv) Whether any equality issues have influenced the original assessment, whether or not these have been raised by the apprentice within their submission

When all necessary information is assembled the panel members will meet remotely to consider the case. No new documentary evidence will be accepted subsequently unless it is agreed by all parties.

The panel must reach a decision within five (5) working weeks of the notice of appeal and send their findings to the IAMI Secretary. The IAMI Secretary will inform the apprentice and their employer in writing.

Records of all appeals and their outcome are reported to the IAMI Board of Directors within the annual EPA report. As this appeal policy is for an academic assessment irregularity only, it can only be referred to, or overturned by, an external review.

- 5.6 Following the reporting of the appeal outcome in 5.5.2 to the apprentice and employer, they can request a second review of their appeal. This second and final review will be undertaken by an independent reviewer who are listed with the Federation of Awarding Bodies <https://awarding.org.uk/consultants/> , and who will act as an external and independent reviewer. The evidence complied in 5.5.2 will be forwarded to them for their review. They will be asked to report:

- a) In their opinion if the appeal process was undertaken correctly
- b) In their opinion, whether the appeal should be upheld, and the candidate assessment was flawed and should be repeated
- c) In their opinion, where the appeal should be upheld, and the assessment recorded as a pass.
- d) Following the external review, the apprentice will be informed by the IAMI Secretary.

- 5.7 IAMI will apply for the final certification of the EPA once all elements of assessment are completed. All data for assessment is stored within the EPA portal <https://epa.iami.info/> and the IAMI EPA Portal Guidance provides detailed information on how final assessment is graded and the certificate claimed.
- 5.8 IAMI will moderate the EPA assessment process by undertaking several dual observations of actual professional reviews and/or practical demonstrations each year. The target is that 10% of all assessments are moderated each year to highlights issues and improvements.
- 5.9 If any employee or contractor of IAMI believes or suspects that any EPA assessment is compromised, then an Investigation will be undertaken by either the IAMI Secretary or an independent Director not involved in any way with the EPA process will be set-up. This two-stage investigation process will follow the EPA malpractice or maladministration policy guidelines. Examples of such a compromise could be any of the following;
- 5.9.1 substantial errors in assessment materials, that would influence the final assessment result
 - 5.9.2 loss, theft, or a breach of confidentiality in any EPA assessment materials
 - 5.9.3 failure in EPA delivery, rather than a postponement of delivery
 - 5.9.4 issuing of incorrect results or certification by IAMI
 - 5.9.5 any EPA malpractice or maladministration by IAMI contractor or IAMI employee
 - 5.9.6 IAMI is named as a party in any criminal or civil proceedings or an IAMI Director is a party to criminal proceedings, subject to any action for disqualification as a company director, or is subject to disciplinary proceedings by any professional, regulatory, or government body.
- 5.10 This investigation in 5.9 will report to the IAMI Directors and also to Ofqual via an Event Notification that a possible Adverse Effect has occurred. This adverse effect is defined as any action, omission, event, incident, or circumstance which might:
- 5.10.1 negatively impact learners and their EPA, or
 - 5.10.2 limits the ability of the EPAO to develop or deliver the EPA, or
 - 5.10.3 damage public confidence in the EPA

5.11 IAMI Admin will collate and retain all EPA reports submitted by assessors. The annual EPA report to IAMI Directors will include:

- Number of EPA undertaken
- Number of successful EPA, split by employer, assessor, apprentice gender, age, and ethnicity
- Number of F/P/D grades awarded, split by employer, assessor, and standard
- Number of EPA appeals
- Number of EPA complaints
- Profile of the oral questions grading (Fail/pass/distinction)
- Number of reasonable adjustments made
- Number of moderated professional review questions held for EPA purposes for each standard
- Number of multi-choice examinations available for each standard
- Number of final written examinations available for each standard
- Number of questions removed from the assessment question bank
- Number of assessment observations undertaken each year, and compared to the target of 10%
- Feedback from the annual internal moderation meeting of assessments and identify areas of improvement and concern.

5.12 IAMI will undertake an annual moderation meeting/s of assessors, so that common issues are addressed, and improvements identified. During this annual meeting/s, the annual report within 5.10 will be distributed, and the meeting will:

5.12.1 Identify and develop new questions for the professional review to ensure a minimum of 30 professional discussion and 80 multiple choice questions exists for each standard (where applicable), as well as ensuring 10% of the questions are changed (refreshed) each year.

5.12.2 Identify and develop new written examinations to replace one of the minimum four papers that are always available.

5.12.3 Identify common issues with the assessment process

5.12.4 Discuss grading criteria issues

5.13 IAMI will annually issue refresher training to all assessors. This will ensure that assessors are informed of any new process or policy relating to their role, plus provided feedback from the assessments undertaken in the previous year. This refresher training will form one element of the assessor CPD record.

5.14 Maintain the EPA Records within the secure and password entry portal at <https://epa.iami.info/>, which will record:

- a) EPA requested by each Trailblazer standard
- b) All IAMI policies and procedures, including document version control

- c) Personal details of all apprentices and their subsequent assessment results
- d) Number of assessors that have been engaged for each Trailblazer standard
- e) EPA Conflict of Interests Register which records for each assessor which employers / training providers that they cannot carry out assessments due to possible conflicts of interest.

5.15 IAMI are required to submit the Annual Statement of Compliance to Ofqual, and the Board of Directors will refer to the internal audit/s carried out within the previous 12 months. This Annual Statement will

- 5.14.1 Be completed on any date as may be notified to IAMI by Ofqual,
- 5.14.2. Be accurate and relate to recorded events and audits
- 5.14.3 Be formally approved by the IAMI Board of Directors, and
- 5.14.4 Be signed on behalf of the Board by the Chair and the Responsible Officer (IAMl Secretary)

6. **Policy Review**

The effectiveness of this policy will be reviewed every three years considering experience and best practice. This mechanism recognises that changes as a result of experience may prompt a review of the policy before the end of the three-year period.

Form A1 – Assessor declaration

Assessors are required to meet the pre-requisites of professional standards including assessment experience.

Date:	Click here to enter text.
Assessor name:	Click here to enter text.
Assessor DoB	
Assessor NI number	
Assessor home address	
Assessor email address:	Click here to enter text.
Apprenticeship standard:	ST0
List all employees with whom I am unable to assess due to possible conflict of interest:	Click here to enter text.
I have received and read the IAMI Policy on Data Protection:	Click here to enter text.
I have received and read the IAMI Policy on Conflict of Interest	Click here to enter text.
I have received and read the IAMI Policy on Equalities	Click here to enter text.
I have received and read the IAMI Policy on Malpractice	Click here to enter text.

Statement of relevant professional qualifications and assessment experience, such as Certificate of Competency, Voluntary Towage Endorsement Assessor, Pilotage licence, role as a mentor or senior officer, etc:

[Click here to enter text.](#)

Statement of occupational expertise and knowledge in the maritime sector, especially in the occupational areas they are requesting to assess:

[Click here to enter text.](#)

I have received the apprentice standard and have a hard copy of the EPA plan :

[Click here to enter text.](#)

Name

Signed

Date

Form B1 – EPA request form

Employers wishing to request an EPA for their employee, are required to complete the attached form and submit to secretary@iami.org.uk . Please provide 2-3 months' notice for the EPA unless IAMI have been previously informed and agreed an assessment date.

Date:	Click here to enter text.
Employer name	Click here to enter text.
Employer email address	Click here to enter text.
Apprentice full name:	Click here to enter text.
Apprentice date of birth	Click here to enter text.
Apprentice email address:	Click here to enter text.
Apprentices ULN (Unique learner number)	
Apprenticeship standard:	ST0
Start date of apprentice training programme	Click here to enter text.
Employer confirmation that professional portfolio or TRB is completed:	Click here to enter text.
Employer / Training Provider confirmation that all qualifications have been completed (state courses completed):	Click here to enter text.
Employer confirmation that all sea service has been completed (or known date when this will be achieved):	Click here to enter text.
Employer confirmation that academic Level 2 qualifications have been completed (or date of final assessment):	Click here to enter text.

Please provide 3 consecutive dates when the practical observation is possible (these dates will be confirmed within 2 weeks of the actual EPA)

[Click here to enter text.](#)

Please indicate the location of the practical observation and if the Professional Review is to be held away from the practical observation, please indicate the location (note that the assessment may be terminated if the location is not deemed sufficient for the fulfilment of the EPA plan).:

[Click here to enter text.](#)

For EPA standards with either a multi-choice or written examination, please confirm the following details:

- Assessment room location
- Named invigilator who will administer the examination, recording start and end time, and security of the examination before, during and after the assessment
- That the invigilator has read the instructions to securely conduct the examination

[Click here to enter text.](#)

Please provide the contact details (email, telephone and mobile) of the person who will coordinate the final EPA arrangements :

[Click here to enter text.](#)

Form B2

Portfolio / Training Record Book Review

Portfolio/TRBs v Standards

Standard	Type	Submission	EPA notice	Method
Fisher	Portfolio	Gateway		To inform the professional discussion. 'EPAOs should review the portfolio of evidence in preparation for the professional discussion'
Harbourmaster	Portfolio	Gateway		used to inform professional discussion, questions from bank or informed by portfolio review
Marine Pilot	Portfolio	Submitted at least 1 month prior to professional discussion,	2 weeks	Forms the basis of the professional discussion – 'Oral examination based on a portfolio of evidence' 'Having reviewed the Portfolio of Evidence submitted in advance, EPAOs must develop 'test banks' of sufficient size to mitigate predictability and review /refresh them regularly to ensure they are fit for purpose.'
PMOO	Portfolio	Submitted at least 1 month prior to professional discussion	2 weeks	Forms the basis of the professional discussion- 'Having reviewed the Portfolio of Evidence submitted in advance, the independent assessor (IA) will build a set of at least 20 interview questions sufficient to be able to reach an overall decision on competence.'
Port Operative	Portfolio	Gateway - Submitted at least 2 weeks prior to professional discussion	2 weeks	Forms the basis of the professional discussion – apprentices can use the portfolio to help answer questions in the interview.
Boatmaster	Portfolio	Not stated	2 weeks	Professional discussion 1 and 2 underpinned by portfolio of evidence although no further guidance on this.
Deck Rating	Training record book	Assessor must have 5 working days to review	2 weeks	Assessment method 1 and 2. Interview underpinned by TRB. 'The training record book is not directly assessed by the EPAO or MCA approved training provider. It underpins assessment method 1 and therefore should not be marked by the EPAO. It also underpins assessment method 2 and therefore should not be marked by the MCA approved training provider.'

				<p>The apprentice may use their training record book to exemplify their response. The training record book is not directly assessed</p> <p>The independent assessor may ask follow-up questions generated by themselves to either probe replies further and/or to seek clarification on rationale</p>
OOW (NC)	Training record book	Gateway (to assessor at least 1 week before).	2 weeks	<p>Professional discussion underpinned by training record book.</p> <p>Must also be submitted to MCA. Not marked by EPAO or MCA.</p>
Workboat (small commercial vessel crewmember)	Training record book	Gateway – assessor must have 2 weeks to review documentation	2 weeks	<p>The EPAO should not assess the TRB directly as it underpins the interview. The independent assessor should review the TRB to prepare questions for the interview. The apprentice can refer to and illustrate their answers with evidence from their training record book.</p>
Master NC				In development
Small Vessel Chief Engineer	Project and report	Title and scope agreed at gateway by submission of a project summary	16 weeks to submit report	<p>For the project report and presentation with questions, the project's title and scope must be agreed with the EPAO and a project summary submitted</p>

Form C1 – Complaints or Appeal of an EPA

You should submit the completed form, together with all evidence that supports your submission, to secretary@iami.org.uk

For complaints, submit within 2 working days of your assessment

For appeals, submit within 10 (ten) days of receiving your assessment outcome

It is your responsibility to retain a copy of all documentation.

Date of EPA:	Click here to enter text.
Apprentice name:	Click here to enter text.
Apprentice email address:	Click here to enter text.
Apprenticeship standard:	Click here to enter text.

Nature of the Complaint or Appeal:

Click here to enter text.

Evidence to support your complaint or appeal:

Click here to enter text.

Form D1 – Assessment report

Assessors are required to submit their feedback on the IAMI EPA portal within three (3) working days of the EPA.

Form E1 – Specimen question submission (professional discussion)

Each question should be answerable by a competent apprentice within 5 minutes

Assessment area within Knowledge, Skill, Behaviour of EPA:	Click here to enter text.
Reference to Training Record Book:	Click here to enter text.
Assessor name:	Click here to enter text.
Assessor email address:	Click here to enter text.
Apprenticeship standard:	Click here to enter text.

Assessment question:

Exemplar: You are on duty and observe a small fire in a public area. Outline what your response to this emergency should be

Specimen answer from a competent apprentice:

Exemplar: To gain a pass grade the apprentice must indicate that they will: a) Raise the alarm, b) Report to the duty officer what you have observed, c) report to their duty station wearing the appropriate safety equipment

Specimen answer from a competent apprentice graded with distinction:

Exemplar: To gain a distinction grade, the apprentice can supplement the information for the pass grade with one (or more) pieces of this additional information: 1. They may consider tackling the small fire with an appropriate fire extinguisher, 2. If serving on a vessel with passengers they can assist the public move safely to their designated area, 3. They may know that each vessel has an emergency procedure, 4. They may be aware that the emergency may escalate and therefore be prepared to modify their response following new orders from the duty officer

Source: Response plan of Humber Port Authority

Form E2 – Specimen question submission (multiple choice)

Assessment Area (K,S,B from EPA)	
Assessors Name	
Assessors E Mail Address	
Apprenticeship Standard	

Assessment Question:

The basis of health and safety law in the United Kingdom is the ...

Possible answer:

- A. Health and Services at Work etc. Act 1974
- B. Wellbeing and Safety at Work etc. Act 1974
- C. Health and Safety at Work etc. Act 1974
- D. Health and Safety at Work etc. Act 1985

Correct answer is: (A / B / **C** / D)

Source: Health and Safety Executive. Health and Safety Regulations. A short guide (HSC 13), Page 1 of 7.

The document sets out the general duties which employers have towards employees and members of the public, and employees have to themselves and to each other.

Form F1 – Request for modification to access arrangements and / or reasonable adjustments

Tailored arrangements for the EPA may be made for apprentices with disabilities or additional needs by means of requested access arrangements or reasonable adjustments using the form below.

Date:	Click here to enter text.
Apprentice name:	Click here to enter text.
Apprentice email address:	Click here to enter text.
Apprenticeship programme:	Click here to enter text.
Scheduled EPA assessment date:	Click here to enter text.
Employer name:	Click here to enter text.
Employer email address:	Click here to enter text.
Workplace address:	Click here to enter text.

Evidence of any disability or additional need that may affect the apprentice's performance in, or access to, their EPA:

(Copy of evidence/s requested to be attached to this form)

The apprentice should identify what modification to the EPA access arrangements they consider to be relevant to their needs.

IAMI will consider the apprentice's evidence and request for access arrangements, and notify the apprentice which of their requests can be accommodated and for any reason those that they cannot;

Request for reasonable adjustment to be made to the scheduled EPA:

Examples of reasonable adjustments

- a) Change the location of the written examination assessment centre (from employer premises to local training provider or visa versa).
- b) Use of appropriate simulation facilities for the practical demonstration and assessment, following confirmation that the apprentice/s are familiar and experienced with the facilities, and that the proposed simulation exercise can measure the expected EPA outcomes for the practical demonstration of K, S and B (Knowledge, Skills and Behaviours).
- c) Undertake the professional discussion on-line using MS Teams or Zoom, where the discussion is recorded, and ID check completed.
- d) Use of an IAMI assessor to read and record the apprentice's response to their multi-choice assessment.
- e) Additional assessment time to compensate for a sudden injury or illness, but only where this request is supported by medical evidence.

IAMI will consider the apprentice's request for reasonable adjustments to their EPA and notify the apprentice and/or employer which of their requests can be accommodated and any reasons that they cannot.

Form F2 – notification of mitigating circumstances

This form records the information that will be considered by the EPA assessor concerning any mitigating circumstances that the apprentice believes may have affected their performance in the EPA. The completed form should be submitted, together with the supporting evidence, to IAMI as soon as possible or within 2 working days of the end of the EPA.

APPRENTICE NAME : [Click here to enter text.](#)

CONTACT (phone / email): [Click here to enter text.](#)

SECTION OF EPA COMPONENT TO WHICH ANY MITIGATING CIRCUMSTANCES

APPLY: [Click here to enter text.](#)

DATE: [Click here to enter text.](#)

Please complete either a) medical circumstances or b) non-medical circumstances section below:

F2 a) MEDICAL CIRCUMSTANCES

(To be completed by a medical practitioner or accompanied by medical certifications. Continue on blank sheet as necessary).

Please state the nature and severity of the apprentice's medical condition and describe any consequences of the illness and/or treatment that may be relevant.

Please provide the dates when the illness started and when the apprentice was/will be fit to work.

[Click here to enter text.](#)

Signature of Medical Practitioner _____ **Date:** _____

(if appropriate)

Medical Practitioner's official Stamp:

F2 b) NON-MEDICAL CIRCUMSTANCES

(To be completed by the apprentice. Continue on blank sheet if necessary)

Please give a brief description of the circumstances that you believe affected your EPA performance, accompanied by supporting evidence. Please state the dates on you were affected and an explanation of how the situation affected your performance.

[Click here to enter text.](#)

Signature of Apprentice _____ **Date** _____

Form G1 – EPA invigilation agreement (ver 4)

a) Centre agreement

Employers or Training Providers who are IAMI members wishing to undertake assessments on their premises for their employee/s are required to complete the attached form and submit to secretary@iami.org.uk

Apprentice full name:	
Apprenticeship standard:	
Main contact named person	
Main contact email address	
Address of assessment centre	
Name of nominated invigilator:	

- a) Where the EPA requires a closed book examination or multiple-choice assessment, this assessment can be carried out at the employer's workplace or nominated Training Provider premises under their strict supervision. The employer (or named training provider) may undertake the duties and role of invigilation **ONLY** for the specific assessments of:
- On-line multi-choice assessments for the ST0307 Port Operative standard
 - On-line multi-choice assessments for the ST0428 Port Marine Operations Officer standard
 - Written examination for the ST0427 Marine Pilot standard
 - Written examination for the ST0765 Harbour Master standard
- b) All employers or training providers are expected to support IAMI to fulfilling their role as an Awarding Organisation under Ofqual General Conditions of Recognition, section C2.3 <https://www.gov.uk/guidance/ofqual-handbook/section-c-third-parties> . Suffix in italics show mapping against section 2.3.
- c) All employers or training providers must understand their roles and responsibilities (*Section 2.3a*), which are detailed within the enclosed IAMI assessment regulations that must be followed at all times, specifically:
- Security of assessment materials, pre and post assessment – section 2.4 a) and 4.6

- ii. The conduct and control of the assessment under their invigilation control – section 2 to section 6
 - iii. Checking, authentication and recording of the apprentices under assessment – section 2.3 c) and 2.4 f)
 - iv. Reporting any malpractice or maladministration observed or reported during the assessment process to IAMI Admin – this will be investigated within the IAMI Malpractice and maladministration policy
 - v. Inform all apprentices or candidates that any appeal and/or complaint are to be forwarded direct to IAMI Admin at secretary@iami.org.uk for further investigation under current IAMI policies. (*Section 2.3i*)
- d) Where there are any deviation/s from these assessment regulations then the IAMI Secretary must be informed before the assessment results are issued, and within two (2) working days
- e) IAMI reserve the right to inspect or observe any invigilation carried out on its behalf, and/or request the record of the invigilation process to be made available to the IAMI auditor (or Ofqual) on request. (*Sections 2.3b, 2.3c*)
- f) Failure to comply with these procedures will result in an investigation by IAMI Admin. This investigation can impose any/all of the following sanctions (following confirmation by the IAMI Board of Directors) (*Section 2.3e*):
- i. Suspension of the employer and/or training provider from holding any subsequent invigilation role.
 - ii. Render any apprentice assessment taken to date null and void. This will require that all assessments taken to date will need to be repeated by the candidate/apprentice.
 - iii. Removal of the employer and/or training provider from being an IAMI member, and hence they would be unable to access any future IAMI EPA or other assessment services.
- g) The employer or training provider representative agrees by signing that they will always implement these stated duties and responsibilities.

Signed by IAMI member (Employer or Training provider)

.....

Date

.....

2. Examination invigilation preparations

- 2.1. The employer or training provider conducting the assessment must be current IAMI members.
- 2.2. The employer or training provider will nominate a named employee/s who will act as an invigilator/s for each of the specific assessments listed in 1a)
- 2.3. For the multiple-choice assessments,
 - a) the employer or training provider will request the EPA (using form IAMI B1). This assessment is carried out on-line using the procedures detailed within IAMI End Point Assessment (EPA) guidance for IAMI EPA portal section 5-11, where a one-time access code is issued to the employer and candidate.
 - b) the employer or training provider will confirm that each apprentice can access an individual desktop / laptop supplied by them, and is connected to the Internet and is capable of receiving the assessment so that the apprentice can complete their assessment (IAM I will **NOT** allow the use of the apprentice's own IT equipment)
 - c) the employer or training provider will carry out an ID check of photographic evidence, such as company pass, driving license or passport
 - d) the employer or training provider will only apply a Reasonable Adjustment, as listed within IAMI Equalities Policy when instructed in writing to do so by the IAMI Admin (*Section 2.3h*)
- 2.4. For the written examinations
 - a) the employer or training provider will request the EPA (using form IAMI B1)
 - b) the question paper will be transmitted securely by IAMI Admin (with password protection) to the named employee nominated by the employer or training provider. This examination paper must be held securely and only printed out for the candidate to complete on the day of the assessment
 - c) All examinations should be held in a suitable room set aside for examination purposes. The room should be laid out in such a way as to avoid any possible collusion between apprentices. The seating arrangements must be such as to prevent apprentices overlooking, intentionally or otherwise, the work of others.

- d) Wall charts, maps or any other display material likely to be of assistance to an apprentice should be removed or covered prior to any examination. Due attention must be paid to such matters as heating, lighting, ventilation and the level of extraneous noise. A reliable clock must be visible to each apprentice.
- e) The nominated and named invigilator should be in the examination room at least 10 minutes before the start of the examination and ensure that the room is properly prepared.
- f) The invigilator should be in possession of an apprentice register. The register should be completed before commencement of the examination. Every apprentice shall provide photographic proof of identity in the form of a valid passport, company photo ID or driving license.
- g) the employer or training provider will only apply a Reasonable Adjustment when instructed in writing to do so by the IAMI Admin. This will include any additional assessment time claimed by the candidate for dyslexia.

2.5. Where more than six (6) apprentices are sitting their assessment at one time, then a second invigilator will be required.

3. Starting the Written Examination

- 3.1. An examination is deemed to be in progress from the time the apprentices enter the room until the time that all scripts have been collected.
- 3.2. The invigilator is required to:
 - a) Record the assessment start time,
 - b) Check and confirm the security of the examination room
- 3.3. Before apprentices are permitted to start work the invigilator shall:
 - a) ensure that only the named apprentices are present
 - b) inform the apprentices that they are now under examination.
 - c) warn apprentices that any unauthorised material must be handed in.
 - d) check that apprentices have all the necessary material (such as pens, pencils, rules, etc) listed on the front of examination paper to enable them to complete the examination.
 - e) issue the examination papers to apprentices.
 - f) draw to the apprentices' attention the instructions printed on the front of the written examination question paper
 - g) advise the apprentices doing the written examination that;

- i. unless instructions are given to the contrary on the question paper, all work, including rough work, must be done on the paper provided. Any rough work should be neatly crossed through but not obliterated, as it will be all be forwarded to the IAMI Examiner;
- ii. correcting fluid/correcting pens must not be used;
- iii. Announce clearly to the apprentices when they may begin to write their answers, specifying the total time allowed for the paper;
- iv. The invigilator shall remind apprentices that they are forbidden to communicate in any way with, seek assistance from or give assistance to another apprentice whilst they are in the examination room.

4. Conduct of Written Examination

- 4.1. Apprentices must ensure that they are present in the appropriate examination room at least 5 minutes before the start of the examination.
- 4.2. An apprentice who becomes ill during the examination and is obliged to leave the room then they will be permitted to return to the examination provided they are supervised during the entire absence. The question paper and answer paper script shall remain in the examination room.
- 4.3. An apprentice wishing to abandon the written examination may leave after the first hour but must not remove the question paper and script.
- 4.4. Apprentices must not bring into an examination any books, notes or other aids other than those specifically mentioned on the question papers. Possession of such unauthorised items will render the apprentice liable to disqualification
- 4.5. The maximum time allowed is shown on the examination paper. The start and finish time must be recorded on each examination scripts by the invigilator.
- 4.6. All completed examination scripts are to be returned to the IAMI Administrator, both in scanned format and also the actual examination paper sent by post.

5. Irregular behaviour within written examination

- 5.1. Where an apprentice is found to be in possession of unauthorised material or is suspected of copying, their script must be withdrawn from them.
- 5.2. Any unauthorised material should also be confiscated, and together with a full report of the circumstances be sent with the withdrawn script to the IAMI Secretary.

6. Conduct the on-line assessment

- 6.1 An on-line assessment is deemed to be in progress from the time the apprentice enters the access code until all elements of the multi-choice assessment is completed.
- 6.2 Before apprentices are permitted to start work the invigilator shall:
 - a) Ensure that each apprentice is completing their assessment on an individual PC terminal
 - b) Record the assessment start time,
 - c) Check and confirm the security of the assessment room
 - d) Ensure that only the named apprentices are present
 - e) Inform the apprentices that they are now under examination conditions.
 - f) warn apprentices that any unauthorised material must be handed in
- 6.3 An apprentice who becomes ill during the on-line assessment may leave the room, and the time is to be noted by the invigilator.
- 6.4 The maximum time allowed is controlled by the PC time clock and can not be changed. On-line assessments may be repeated on request from the employer / training provider following the submission of a new request IAMI form B1 detailing why the on-line assessment is being repeated.
- 6.5 For multiple choice assessments, the apprentice completes the assessment once all sections are answered. There are no scripts to hand-in as the assessment is marked on-line
- 6.6 The invigilator to record and report any IT issues that may influence the assessment of the apprentice to IAMI Admin