

# **EPA INCIDENT REPORTING PROCEDURE (EXTERNAL)**

March 2023

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<b>EPA Incident Reporting Procedure</b>	
<b>Applies to</b>	Employers, Training Providers, CMI Apprentices, and Associated Third Parties
<b>Effective from and replaces all previous versions prior to</b>	12 February 2021
<b>Owned by</b>	Awarding Body Team
<b>Reviewed and monitored by</b>	Head of Awarding Body and Compliance & Senior Quality Manager (EPA)
<b>Document Location</b>	CMI Website, EPA Toolkit and Partner Portal
<b>Review Frequency</b>	Annually

## Version Control

This is version 1 of the Chartered Management Institute (CMI) EPA Incident Reporting Procedure for individuals external to CMI. This version replaces all previous ones, and it is each training provider/employer's responsibility to ensure that all employees involved in the provision of CMI apprenticeships familiarise themselves with this version of the document.

This document is subject to revision and is maintained electronically. Electronic copies are version controlled. Printed copies are not subject to this control.

<b>History</b>			
<b>Page No.</b>	<b>Chapter Title</b>	<b>Amendments Made</b>	<b>Date Amended</b>
Whole Procedure	Whole document	Thorough review and update	11/02/2021
Whole Procedure	Whole document	Annual Review - no amendments made	30/1/23

# EPA Incident Reporting Procedure

## 1. Introduction

This procedure provides clear arrangements for reporting End Point Assessment Incidents for all Apprenticeship Standards where CMI is engaged as the End Point Assessment Organisation (EPAO)

## 2. Purpose

This document sets out the procedure to follow in order to report an incident in relation to End Point Assessment provision

## 3. Definitions

### Definition of an Incident

An incident is something that occurs which has not been foreseen. Incidents could include:

- Fraud
- Plagiarism
- Malpractice
- Failure of technology
- Data breach (e.g. breach of confidentiality or security of assessment materials)
- Issues with delivering a published assessment plan - for example, any error in assessment materials which could compromise relevance or reliability, or cause inaccuracies, or compromise fairness and consistency.
- Failure of the EPAO to deliver assessment in compliance with the published assessment plan - for example, not delivering the EPAO in accordance with the plan, not employing appropriately qualified or trained personally or assessors not having appropriate occupational experience and awareness.
- Any other risk to the independence of the assessment

Any incident needs to be quickly assessed in order to determine its severity and whether there is a risk of an Adverse Effect. By ensuring incidents are remedied as quickly and effectively as possible, the risk to the quality of assessment is minimised, encompassing statutory regulatory action and enforcement.

A **serious incident** is defined as one with potential for detriment to apprentice(s), risk of service delivery failure or reputational damage to the quality of assessment.

Incidents may concern a number of different types of organisation, be identified through a number of sources, and occur at any stage of the end point assessment process. Having a clear process allows CMI to deal with issues quickly and effectively and to learn from particular cases in order to continuously improve operations and develop best practice.

## 4. CMI Incident and Event Notification Procedure

CMI takes all reasonable steps to identify and mitigate against any risks that could have an Adverse Effect on CMI end point assessment activities. However, CMI recognises from time to time incidents could occur that have not been foreseen and this procedure has been developed to identify the potential risks and to manage them in an effective manner, to safeguard apprentices. Once identified to CMI, each incident will be reviewed quickly to decide on its level of severity, potential risk and the action required.

CMI procedure for incidents will involve the following actions:

1. Report the incident to CMI using the email address [epa.absupport@managers.org.uk](mailto:epa.absupport@managers.org.uk), or by letter to: CMI, Management House, Cottingham Road, Corby, Northamptonshire, NN17 1TT. Please provide as much detail as possible about the potential incident to allow CMI to start the initial review.
2. CMI's Awarding Body Support Team will acknowledge receipt of the email within 48 working hours and provide timescales for a response, as well as ensuring the Incident and timescales are logged in compliance with CMI's internal data recording requirements.
3. CMI's EPA Quality Manager (or designated and appropriate substitute) will start the initial review to determine the risk and potential impact. Should additional information or detail be required, the EPA Quality manager will request this directly from the reporter of the incident via email or telephone. The initial review will be concluded within 5 working days.
4. Should the incident be considered to have a high risk of an Adverse Effect, CMI's Head of Awarding Body and Compliance (or nominated Senior Quality Manager representative) will inform Ofqual as the Regulator, using Ofqual's Notification Process on the Ofqual Hub.
5. The EPA Quality Manager (or their designated and appropriate substitute) will conduct a full investigation within the established timescales, following CMI's Internal Incident Management Procedure.
6. The Head of Awarding Body and Compliance (or their nominated Senior Quality Manager representative) will monitor the progress of the investigation and review the outcomes of the investigation once it is concluded. The outcome report will also be made available to both the Senior Management Team within CMI, and CMI's Regulatory Compliance Committee. If the Incident has been notified as an Event, Ofqual will be kept informed of progress and notified of findings by the Head of Awarding Body and Compliance, or the nominated Senior Quality Manager. Ofqual may also request specific actions or information and CMI will cooperate with them.
7. The outcome of the investigation will be provided to the reporter of the incident in writing by the Head of Awarding Body and Compliance (or their nominated Senior Quality Manager representative) within the timescales. Any delay to CMI's ability to meet the timescale will be shared, with reasons given.
8. The incident will be closed.

CMI will act quickly, fairly and robustly to review incidents, liaise with appropriate bodies and recommend a course of action. As part of its oversight role, CMI's Regulatory Compliance Committee will be informed of all issues undergoing investigation and may discuss courses of action with Ofqual. It is possible that during the course of any investigation, CMI informs other Awarding Organisations or End Point Assessment Organisations about the incident if that is deemed necessary and appropriate as a Notifiable Event.

## **9. Policy Review Arrangements**

We will review this policy annually as part of our self-evaluation arrangements and revise it in line with any feedback from customers, apprentices, regulatory authorities or external agencies, or changes in our practices.

## **10. Contact Us**

If you have any queries about the contents of the policy, please contact our Awarding Body Team via email at mail to: [epa.absupport@managers.org.uk](mailto:epa.absupport@managers.org.uk) or via post to:

Chartered Management Institute  
Management House  
Cottingham Road, Corby  
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