



**BLANK PAGE**

**(INSIDE COVER)**



[**Version Control 3**](#_k7mxsnyuiqn9)

[**APPENDIX A: Centre Application for non-UK HE Centres 4**](#_b1jq8e6e8xlx)

[**APPENDIX B: Conditions of Confidence 16**](#_btbly7xxwoqk)

[**APPENDIX G: Diversity and Equality Declaration 17**](#_uqc41im4ihlj)

[**APPENDIX H: Special Considerations Declaration 18**](#_6zt89eokdf7t)

[**APPENDIX I: Reasonable Adjustment Declaration 19**](#_nzq6n01u8nv3)

[**APPENDIX J: Conflict of Interest Declaration 20**](#_rn2r92hvhvo)

[**APPENDIX K: Student Data Protection Declaration 22**](#_cx5zfxax86vw)

[**APPENDIX L: Recognition of Prior Learning Declaration 23**](#_9gg25hgsqz7d)

[**APPENDIX M: Malpractice and Maladministration Declaration 25**](#_m6wefdyfdsqw)

[**APPENDIX N: Complaints and Appeals Declaration 28**](#_gihwnt5mmemv)



#

| **Higher Education Partner Guide to Dual Accreditation Worldwide** |
| --- |
| Applies to | Higher Education (HE) Partners, CMI Staff and Associated Third Parties |
| Effective from and replaces all previous versions prior to  | 01 September 2023 |
| Owned by | Awarding Body Team |
| Reviewed and monitored by | Senior Quality Manager & Director of Awarding Body and Compliance |
| Document Location | Website & MyCMI, Internal AB Drive |
| Review frequency | Annually |

# Version Control

This application form aligns to Version 2 (September 2023) of the Chartered Management Institute (CMI) Higher Education Partner Guide to Dual Accreditation - Worldwide.



# APPENDIX A: Centre Application for non-UK HE Centres

Please complete the application form below and return to approvals@managers.org.uk

##

| **Full name of potential Higher Education Partner** |  |
| --- | --- |
| **Full postal address of potential Higher Education Partner, including country and area codes where appropriate** |  |
| **Preferred address for certificates or invoicing** |  |
| **Additional campus/s’ where the mapped programmes are to be delivered** |  |
| **Name of proposed CMI Programme Director at the proposed Higher Education Partner with their role and designation** |  |
| **Phone number and email address for proposed CMI Programme Director. Please note that email addresses must be centre-specific. Generic email addresses for example, Gmail, cannot be accepted.**  |  |
| **Name of Point of Contact should the Programme Director be unavailable** |  |
| **Name of the main point of contact at CMI. Please note this would normally be a CMI Relationship Manager.**  |  |
| **Contact address/ email for the in-country HE regulator who has approved the programmes to be mapped by CMI** |  |

##

|  | **Questions to be answered** | **Written answers** | **Document links in support of the answers given** | **Documents that can be reviewed during subsequent centre visits {CMI only}** |
| --- | --- | --- | --- | --- |
| **1** | **Are you able to access the CMI website?** Please note that this is required for access to ManagementDirect and to MyCMI for the CMI registration and moderation system.**Are you able to access Google drives set up by****people outside of your organisation?** For Centres outside the UK, please note that this is required so that you will be able to provide supplementary information for this application. |  |  | *For example, records of work-arounds* |
| **2** | **Does the programme you require mapping for have national approval by a Government body?****Who is the national Government body?****Does this body have a Memorandum of Understanding with QAA in the UK, international accreditation by QAA in the UK or accreditation by any other international HE quality organisations?** |  | *For example, links to the national register**or copies of issued**certificates from the national**regulator.**Link to national qualification**framework.**Link to memorandum* | *For example, contemporary evidence of external**scrutiny by the national regulator* |
| **3** | **Is the programme you require mapping for, currently****accredited with a qualification on the UK RQF framework by another Awarding Body?****See -** [**Ofqual register**](https://register.ofqual.gov.uk/)[**Qualifications in Wales**](https://www.qiw.wales/) |  | *For example, links to any further external approvals that the programme may have.* | *Check - Please note that CMI cannot dual accredited programmes already**accredited with a qualification on**the same framework at the same level.* |
| **4** | **Are you able to provide softcopies or URLs for policies in the following areas?**

| **Policies Required** |
| --- |
| **Conflict of Interest** |
| **Malpractice and maladministration** |
| **Appeals** |
| **Complaints** |
| **Recognition of prior learning** |
| **Reasonable adjustments** |
| **Special considerations** |

**National laws****Health and Safety of staff and Learners****Data Protection of staff and Learners** |  | *For example, provide URLs or Soft copies of the**policies, alternatively sign**declarations at the end of**this document and refer to**them here.**●Complaints and appeals**See* [*Appendix N*](#_gihwnt5mmemv)*●Conflict of Interest See*[*Appendix J*](#_rn2r92hvhvo)*● Malpractice and**maladministration See*[*Appendix M*](#_m6wefdyfdsqw)*●Recognition of Prior**Learning (RPL or APEL)**See* [*Appendix L*](#_9gg25hgsqz7d)*●Equal opportunities See*[*Appendix G*](#_uqc41im4ihlj)*●Special Considerations**See* [*Appendix H*](#_6zt89eokdf7t)*Provide links to applicable national Health and Safety legislation that applies for staff and Learners.**Provide links to applicable national Data Protection legislation that applies for staff and Learners.* | *Check renewal dates and any changes to key documents* |
| **5** | **Have you signed a HE Regulatory Agreement?**A template is available from your CMI Quality Manager. This document meets Ofqual / Qualifications Wales / CCEA Regulation - Conditions of Recognition C2.2. |  | *Provide a signed copy of a HE Regulatory Agreement.* | *These documents have to be re-signed every 3 years.*  |
| **6** | **Do delivery staff and assessment staff and local****administrators have an English language qualification equivalent to IELTS 6?** **Can all assignments and assessment documentation****be provided in English for mapping and moderation****purposes?** |  | *Please state the**level of English qualification, external validation or**equivalent experience.*  |  |
| **7** | **CMI requires that assignments be retained for 3 years. Please confirm that your HE organisation is able to accommodate this requirement.** | *Statement required here****.***  |  |  |
| **8** | **CMI will be an overseas accreditor for you. Are there****any local restrictions on overseas accreditation?****Do you need to seek further national approval to advertise and offer CMI qualifications on a dual****accreditation basis?****Do you need to seek further national approval to advertise and offer CMI qualifications on a direct delivery basis?** CMI qualifications are not academic qualifications but are professional qualifications. This should be taken into account when advertising locally. CMI qualifications are not equivalent to professional qualifications but are comparable as they are at the same level on a different framework. Should you decide to offer CMI qualifications bydirect delivery in addition to dual accreditation you will need to state in all advertising that CMI is the Awarding Body for its own professional qualifications based on a UK framework. You may need to seek national approval to advertise CMI qualifications for direct delivery.  | *Statement required here****.*** *Statement required here****.*** *Statement required here****.***  | *Link to restrictions**Link to national approval required**Link to national approval required* | *Check advertising -* *Clarity on who the awarding body is**Clarity of comparability not equivalence**Progress with any national approvals needed* |
| **9** | **Can Learners be registered with CMI by the Higher Education Partner within 6 weeks of starting their accredited programme at the HE Partner?** | *Statement from HE Partner**Please describe how your current process will**accommodate this.* | *State any mitigating circumstances that might prevent registration of learners with CMI within 6 weeks of enrolment.*  | *Check registration and start dates of Learner list* |
| **10** | **Successful moderation by CMI triggers certification. CMI requires that it be allowed to moderate student work remotely and will pick a random sample of Learner work to do so. The Centre will need to claim for moderation via CMI’s moderation system once student results for mapped modules are confirmed via your exam board/committee.** (Ofqual / Qualifications Wales / CCEA Regulation - Conditions of Recognition - G5)**Are assessments retained by tutors or kept centrally?****Please state when exam boards occur throughout the year for programmes to be mapped.****How will you ensure that there is an appropriate range of student assignments available for review by CMI Moderators after exam boards?**(Ofqual / Qualifications Wales / CCEA Regulation - Conditions of Recognition E4.2 (e)) | *Statement from HE Partner**Statement from HE Partner**Statement from HE Partner* | *For example, exam board procedures.* |  |
| **11** | **CMI requires that in addition to moderation, the****centre participates in a yearly centre visit. Please****confirm that this can be facilitated.**(Ofqual / Qualifications Wales / CCEA Regulation - Conditions of Recognition - CASS, C2.3) | *Statement from HE Partner* |  |  |
| **12** | **Can the following data be made available for all teaching, assessing and administration staff?****● Name and date of birth and email****● CV (not required for administrators)****● Role - deliver/assess/admin****● Permission required on the CMI HUB system -****Reports/Assessment/Quality assurance/management Direct /membership required****● Whether access to ManagementDirect is required** | *Statement from HE Partner* |  | *To be completed within 2 months of centre approval.**CMI requires that tutors that deliver and or assess must be approved by CMI to ensure appropriate competence and expertise in the subject mapped. All staff information must be entered and approved on the CMI HUB***.** |
| **13** | **CMI will adhere to its own policies in managing****ongoing quality assurance of its qualifications at the****centre. Please confirm that this is understood.****See:**[**https://www.managers.org.uk/education-and-learnin**](https://www.managers.org.uk/education-and-learnin)[**g/partners-and-centres/policies/**](https://www.managers.org.uk/education-and-learnin)  | *Statement from HE Partner* |  |  |
| **14** | **The HE Partner will need to identify staff members responsible for Learner registration, CMI achievement tracking, making moderation claims (including collating quality documentation and samples), and certification management.** (Ofqual / Qualifications Wales / CCEA Regulation - Conditions of Recognition G5)Please state who will have these responsibilities. | *Who?**Registration of Learners with**CMI for each programme**mapped:**CMI achievement tracking:**Making CMI moderation**claims:**Certificate management:* | *Provide links to processes that will cover these activities.*  | *Check that all staff are approved on the CMI HUB.* |
| **15** | **How will you ensure that student records and details****of achievements are accurate, kept up to date, securely stored and available for verification and auditing by CMI at Centre visits?**(Ofqual / Qualifications Wales / CCEA Regulation - Conditions of Recognition - H2) | *Statement from HE Partner* | *For example, a link to a Learner Management System or links to relevant procedures or processes.*  | *Audit tracking process against CMI Reports for random learners on each**mapped programme.**Learner status may be the following: normal progress, referral, deferral,**lapse, change of programme,**confirmed student malpractice, RPL/APEL, grade transfer/exemption/condonement.**Changes to status should be**reported to**partnership@managers.org.uk* |
| **16** | **Will learner fees be collected before registration with CMI?** Please note that once learners have been registered with CMI and have completed the required mapped modules, certificates cannot be withheld for financial reasons by CMI. Claims should not be made for learners with financial issues until such issues are resolved by the Higher EducationPartner. | *Statement from HE Partner* |  |  |
| **17** | **Are all teaching and assessment staff employees holding contracts of employment or contractors holding service contracts?****Are there existing agreements with contractors and****employees to ensure that all policies and requirements referred to in this Agreement are Enforceable?****Are there any agreements with third parties (separate organisations) for the development, delivery or assessment of the programmes to be mapped? For example, are there any partnership or TNE relationships?** | *Statement from HE Partner**Statement from HE Partner**Statement from HE Partner* |  | *Check a random staff member’s contract of employment.**Check the status of third-party relationships and whether satellite or multisite approval is required.* |
| **18** | **CMI has a ‘Digital First’ policy which means that all****certificates are issued in digital form directly to****registered learners following successful moderation unless paper certificates are specifically requested.** **A report is produced for the Centre by CMI advising****the Centre of which certificates have been issued. This****is the most efficient method in terms of time and cost.****Please indicate whether digital certificates are acceptable or whether paper copies are required.****Please note that printing and mailing fees and tariffs****will apply for paper copies.****If paper copies are required please name the person to whom certificates must be sent and describe how certificates will be logged and distributed to Learners.** | *Statement from HE Partner* |  | *Prior to Centre visit, CMI will audit the completed learner list as to whether learners have received their digital or paper certificate.* |
| **19** | **Learners on CMI dual accredited programmes have a direct right of complaint and appeal to CMI for mapped modules only. This would only apply to CMI moderation decisions and not the assessment decisions of the university. CMI would expect a student to exhaust a centre's procedures before exercising the direct right of appeal or complaint to CMI.**(Ofqual / Qualifications Wales / CCEA Regulation - Conditions of Recognition 2.3(i))**Please acknowledge the student’s direct right of****appeal or complaint in these circumstances.** | *Statement from HE Partner* |  | *Check any appeals or complaints for mapped modules.* |
| **20** | **Does the Centre have appropriately qualified teaching / assessing staff for the programmes to be****Mapped?****Have staff qualifications been verified?****Is there evidence for this activity that can be shared with CMI at centre visits?**(Ofqual / Qualifications Wales / CCEA Regulation - Conditions of RecognitionA5.2 (a)) | *Statement from HE Partner**Statement from HE Partner**Statement from HE Partner* |  | *Check staff list on the CMI HUB with Centre.* *Check university criteria for teaching staff. CMI would expect staff to be qualified at the level they teach in a**subject relevant to the CMI module syllabus. Assessment staff should have a teaching qualification or professional teacher status.**Assessment staff should have an assessment qual, 5 years experience of assessment or be working in a team with that experience.* |
| **21** | **Is there an induction process for new staff that can be adapted to include induction to CMI, induction to registration and moderation procedures, mapping documentation and quality procedures around maintaining accreditation?**(Ofqual / Qualifications Wales / CCEA Regulation - Conditions of Recognition D8.1) | *Statement from HE Partner* | *Example of induction plan/ checklist* | *Check relevant meeting agendas for accreditation issues.*  |
| **22** | **How does the university support and record the****Continued Professional Development of teaching and****assessing staff in terms of subject knowledge and****good practice in teaching and learning?**(Ofqual / Qualifications Wales / CCEA Regulation - Conditions of Recognition D8.1 ) | *Statement from HE Partner* | *For example, CPD policy* | *Check current types of activities* |
| **23** | **GDPR and local data privacy legislation - How is the****personal data of individual learners protected?****Your Learners will be required to give their consent to****allow you to share their data with CMI. How will this****be done?****Please note that CMI will use student data in accordance with its own****Privacy Policy:**[**https://www.managers.org.uk/policies/privacy-policy**](https://www.managers.org.uk/policies/privacy-policy)**In registering your Learners with CMI their data will be used in the way stated.**  | *Statement from HE Partner**Statement from HE Partner* | *For example, Data Privacy Policy, enrollment forms, registration forms* | *For mapped programmes, check enrolment form clauses or consent form, and check evidence of consent for a random learner.* |
| **24** | **Does the university have an effective process for****recognition of prior learning for 1) Entry to the****programme, 2) Exemption, grade transfer or APEL C****for individual mapped modules?****Please describe processes in place for 1) and 2) so****that we may review whether evidence will be****sufficient and available for CMI moderation.**(Ofqual / Qualifications Wales / CCEA Regulation - Conditions of Recognition E10) | *Statement from HE Partner on*1. *Process for entry to the programme*
2. *Processes for Exemption / grade transfer or APEL C*
 | *For example, policies in areas 1) and 2).*  | *Check whether there have been any changes to 1) or 2).*  |
| **25** | **How does the centre intend to consult with learners,****staff and other stakeholders, for example, External****Examiners, as part of a programme review process?**(Ofqual / Qualifications Wales / CCEA Regulation - Conditions of Recognition A5.2, D3) | *Statement from HE Partner on*1. *Consulting with learners*
2. *Consulting with staff, clients, employers, other stakeholders*
 | *For example, proof of feedback forms or consultation events* | *Check how the feedback was used.*  |
| **26**  | **Is there adequate provision of physical resources to****support learning and assessment and what are they?****Is there adequate provision of virtual resources to****support teaching and learning and what are they?****For the programmes mapped, what is the predominant mode of delivery? Face-to-face, online blended (synchronous), online blended (asynchronous), 100% Distance learning.**(Ofqual / Qualifications Wales / CCEA Regulation - Conditions of Recognition A5.2) | *Statement from HE Partner on*1. *The platforms used*
2. *The pedagogy of teaching for each programme.*
 | *For example, link to programme validation document or module specifications.* | *If online**blended (synchronous), online blended**(asynchronous), 100% Distance learning, check the learner experience of the system.* |
| **27** | **Is there support for Learners to avoid plagiarism at 1) Induction; 2) Assessment submission?**If software is used please indicate which one. Please indicate whether it is used formatively (multiple attempts) or summatively (one attempt). **How does the HE Partner deter the buying-in of assignments?** **How does the HE Partner advise learners on the use of Artificial Intelligence (AI) for completion of assignments?**  | *Statement from HE Partner on*1. *Advice given at induction*
2. *Advice given at assessment submission*
3. *Deterring buy-in assignments*
4. *Deterring misuse of AI*
 | *For example, link to applicable policies* | *Check for incidents of malpractice based on plagiarism, collusion and misuse of AI* |
| **30**  | **Are there clearly defined assessment procedures****across all assessors, locations, and modules?**(Ofqual / Qualifications Wales / CCEA Regulation - Conditions of Recognition E5.1) | *Statement from HE Partner* | *For example, link to applicable policies* | *Check CMI moderation feedback* |
| **31** | **CMI will moderate based on the information provided****to produce the mapping.** **How will you verify that the module assessments will provide evidence for the stated LOs in your programme validation documents and the mapping document?**(Ofqual / Qualifications Wales / CCEA Regulation - Conditions of Recognition D1,2, E4.2 ) | *Statement from HE Partner* | *For example, policies and procedures relating to the internal quality assurance of assessments.*  | *Check External examiner feedback.**Check CMI moderation reports* |
| **32** | **Will there be regular team meetings to discuss****external accreditation issues?****Which particular committees and meetings discuss****changes to module content, changes to module****assessments, quality issues, and standardisation of****delivery and assessment?**(Ofqual / Qualifications Wales / CCEA Regulation - Conditions of Recognition D3) | *Statement from HE Partner* | *For example, terms of reference, policies and procedures relating to the control of programme content and assessments.*  |  |
| **33** | **How will the centre maintain the confidentiality of its****own assessment material?**(Ofqual / Qualifications Wales / CCEA Regulation - Conditions of Recognition G4) | *Statement from HE Partner* | *For example, policies and procedures relating to the internal quality assurance of assessments.*  |  |



# APPENDIX B: Conditions of Confidence

**Condition of confidence 1**

If the centre approval process confirms organisational compliance and recognition at the national level, there is an MOU between the country’s QA agency and our own For example, QAA, or another external scrutiny body and Ofqual CoR can be met, and there is a mapping outcome, then normal QA and moderation would apply as per CMI’s CASS strategy.

NB - Declarations as defined in Appendices G-N may be signed by the prospective partner if policies are missing or only available in languages other than English.

Yearly audit applies.

**Conditions of Confidence 2**

If there is some level of external QA scrutiny, for example, AACSB or another professional or awarding body but not necessarily the national body; if Ofqual CoR can be met, and there is a mapping outcome, then there should be assessment checking prior to delivery, interim moderation with assistance from the HE Moderator in the first year. CMI’s CASS strategy applies.

NB – AACSB does not cover all Ofqual requirements but does share the ethos of demonstration of all LOs in assessments. Other professional bodies allow the interpretation of LOs in other ways and therefore standardisation of moderation and validity of the qualification would be in question without additional CMI activity.

NB - Declarations as defined in Appendices G-N may be signed by the prospective partner if policies are missing or only available in languages other than English.

Yearly audit applies.

**Conditions of Confidence 3**

If there is no external scrutiny, or some scrutiny but not necessarily at the course/module level, the centre should be considered at level 3. Dual accreditation should not be offered. A registered or recognised centre route should be considered



# APPENDIX G: Diversity and Equality Declaration

**National or local laws**

*(Add a list of relevant local and national laws if applicable. If none exist write “Not Applicable)*

I, (name and job role) confirm on behalf of (organisation name) that Diversity and Equality and a commitment to ensure that unlawful or unfair discrimination, whether direct or indirect is eliminated both in access to, and assessment of, its qualifications. This is promoted and enshrined in its policies and procedures.

**Signature:**

**Date:**

**CMI Statement**

CMI is committed to ensuring that equality and diversity aspects are considered at all times in the design, development and delivery of its qualifications. Dual accreditation is one mode of delivery of its qualifications and hence this ethos translates internationally.

Where it is reasonable and practical to do so, it will endeavour to address identified inequalities or barriers that may arise within the constraints of national and local laws internationally.

**END**



# APPENDIX H: Special Considerations Declaration

**National or local laws**

*(Add a list of relevant local and national laws if applicable. If none exist write “Not Applicable)*

I, (name and job role) confirm on behalf of (organisation name) that Special Considerations is enshrined in its policies and procedures and / or national or local laws in the ways listed below.

**Signature:**

**Date:**

**Definition**

The HE Partner’s Definition must concur with the following:

The term “special consideration” is a temporary experience that prevents the Learner from being able to demonstrate his or her full capability in an assessment. For example, this could be disruption or adverse conditions during the assessment or a very recent event such as bereavement. Special Consideration is only required if the Learner’s ability is impaired at the time of the assessment; therefore it cannot be planned for. For example, if the Learner cannot attend the assessment due to being on holiday, this is not a Special Consideration.

**Policies and procedures**

The Centre will review the information provided by the Learner or the Learner’s representative and will make a judgement upon whether Special Consideration will be applied. The Centre will gather evidence from the Learner to support their claim for Special Consideration.

The HE Partner must report any special consideration arrangements it has made for individual Learners to CMI at the time of CMI moderation.

**END**



# APPENDIX I: Reasonable Adjustment Declaration

**National or local laws**

*(Add a list of relevant local and national laws if applicable. If none exist write “Not Applicable)*

I, (name and job role) confirm on behalf of (organisation name) that Reasonable adjustment of student assessments is enshrined in its policies and procedures and / or national or local laws in the ways listed below.

**Signature:**

**Date:**

**Definition**

The HE Partner’s Definition must concur with the following:

The term Reasonable Adjustment refers to an adjustment of the delivery and/or assessment of a CMI qualification in order to alleviate or remove the effects of a substantial disadvantage for a Learner.

Some examples of what is reasonable could be;

* difficulty in reading and understanding written material where this is in the person’s native language, for example, because of a mental impairment, a learning difficulty or a sensory or multisensory impairment;
* persistent distractibility or difficulty concentrating;
* difficulty understanding or following simple verbal instructions.

Reasonable adjustments could include:-

* Changing standard procedures, such as delivery or assessment procedures;
* Adapting the programme, modifying teaching delivery or providing alternative forms of assessment;
* Adapting facilities, such as IT facilities;
* Providing additional services, such as a sign language interpreter or learning materials in alternative formats;
* Providing rest breaks or practical support;
* Training staff to understand their responsibilities;
* Altering the physical environment to make it more accessible. However Centres must be mindful that any adjustment made must not:-
* Disadvantaging other Learners, if the adjustment made results in an unfair advantage;
* Changing the LOs or assessment criteria within the qualification which would undermine the validity of that qualification;
* Affecting the quality assurance processes and decisions of internal and external assessors; The key to reasonable adjustment is that it must never affect the validity or reliability of assessment, influence the outcome of the assessment or give the Learner(s) in question an unfair assessment advantage.

**Policy and Procedures**

The Centre will review the information provided by the Learner or the Learner’s representative and will make a judgement upon whether Reasonable Adjustment will be applied. The Centre will gather evidence from the Learner to support their claim for Reasonable Adjustment.

The HE Partner must report any Reasonable Adjustment it has made for individual Learners to CMI at the time of CMI moderation.

**END**



# APPENDIX J: Conflict of Interest Declaration

**National or local laws**

*(Add a list of relevant local and national laws if applicable. If none exist write “Not Applicable)*

I, (name and job role) confirm on behalf of (organisation name) that Conflicts of Interest in its staff are identified and mitigated and this principle is enshrined in its policies and procedures in the ways listed below.

**Signature:**

**Date:**

**Definition**

The Prospective Partner’s definition must concur with the following:

Conflict of Interest - a conflict of interest exists in relation to CMI or its centres where –

● Actual conflicts which relate to the HE Partner as an organisation – “That is, situations where activities carried out by the HE Partner itself (or on its behalf, or by a related company) might impair its ability to make objective, unbiased decisions about how best to develop, deliver or award its qualifications.

● Actual conflicts which relate to individuals (a ‘personal interest’) connected to any part of the development, delivery or award of CMI qualifications. “That is, situations where a particular individual’s interests might impair their ability to make the objective, unbiased decisions that are necessary to ensure the HE Partner can develop, deliver and award its qualifications in line with the Conditions”. This will include internal conflicts and will include all CMI staff and contractors acting in any capacity for the HE Partner, whether full-time, part-time, contracted staff or in any other capacity involved in CMI qualifications

● Perceived conflicts (which may relate to the HE Partner or individuals) where an observer would perceive that a HE Partner or individual has such a competing interest.

Adapted from CMI Policy V8, (2021) [Conflict of Interest Policy and Procedure Sept 2021 V8](https://www.managers.org.uk/wp-content/uploads/2020/03/Conflict-of-Interest-Policy.pdf) last accessed 01/09/2023

There are a number of potential conflicts of interest, but some common examples could include:

* A member of staff has a relative that is undertaking a qualification with the HE Partner
* A member of staff of the Centre undertaking a CMI qualification at that Centre
* Internal Quality Assurance staff have responsibility for signing off their own assessments
* A member of staff assessing the work of a friend, acquaintance or family member undertaking a qualification with the HE Partner
* A member of staff having sole responsibility for the appointment, supervision, promotion or performance review of a person with whom they have close ties (for example, friend, family member)
* A member of staff whose pay is influenced by positive assessment results
* A member of staff working with another employer that is in direct competition with the HE Partner
* A member of staff using non-public CMI Learner or employer data for personal gain
* A member of staff or a contractor that is both employed by the centre and an employer whose learners they teach or assess
* A member of staff using Learner work for commercial gain or advantage
* The relationship between the Internal Quality Assurance staff and the assessors lacks independence and objectivity

**Policies and procedures**

Policies and procedures must be commensurate with the following:

**Managing Conflict**

The HE Partner will firstly try to eliminate the conflict, by assigning another member of staff to undertake the activity. By doing so, this reduces the risk of assessments being compromised and ultimately assessments being voided.

Where elimination is not possible due to financial or/and resource implications the HE Partner will put measures in place which can demonstrate that the conflict is being managed effectively so as not to compromise the outcome of the assessment. Key principles here are transparency and mitigation.

**Recording Actions**

The HE Partner will contact CMI and set out the arrangements in place to ensure that the quality of the qualification is not compromised.

A register of Conflicts of Interest should be maintained and updated at least annually. Your Quality Manager may ask to view this register at the annual quality assurance visit.

Where Conflict of Interest is identified, the HE Partner will record as a minimum:

* What the conflict of interest is (for example, Assessor A has a sibling X undertaking a qualification with HE Partner
* When it was identified (for example, date)
* Who is responsible for managing the conflict of interest (for example, internal quality assurer, centre manager, Quality Manager)
* What measures/actions have been implemented to manage this (for example, Sibling X will be assessed by Assessor B, or where this is not possible the Internal Quality Assurer will ensure greater sampling of sibling X including in-depth questioning, or CMI external assessment service will be utilised.)
* What review mechanisms have been implemented to monitor (for example, learner interviews, increased sampling)
* When the conflict of interest ceased to be a concern (sibling X left/completed the programme)

These records will be retained for the CMI to view upon request.

National HE regulators may have different requirements for recording conflicts of interest. CMI accepts that processes may differ in this case, especially for HE Partners that are themselves Awarding Bodies.

**END**



#

# APPENDIX K: Student Data Protection Declaration

**National or local laws**

*(Add a list of relevant local and national laws if applicable. If none exist write “Not Applicable)*

I, (name and job role) confirm on behalf of (organisation name) that Learners who we register with CMI are made aware by us that their data will be shared with CMI in the following ways as defined in CMI’s Privacy Policy at <https://www.managers.org.uk/about-cmi/governance/policies/data-privacy/>

**Signature:**

**Date:**

**END**



#

# APPENDIX L: Recognition of Prior Learning Declaration

**National or local laws**

*(Add a list of relevant local and national laws if applicable. If none exist write “Not Applicable)*

I, (name and job role) confirm on behalf of (organisation name) that its Recognition of Prior Learning (RPL) processes are commensurate with those described below and recognise that CMI will consider RPL on a case by case basis and that a RPL claim must be made when a student is registered.

**Signature:**

**Date:**

**Definition**

**Prospective HE Partner’s definition must concur with the following:**

*“Recognition of Prior Learning (RPL) is the –*

*Identification by an awarding organisation of any learning undertaken, and/or attainment, by a Learner –*

*i. Prior to that learner taking a qualification which the awarding organisation makes available or proposes to make available, and*

*ii. Which is relevant to the knowledge, skills and understanding which will be assessed as part of that qualification, and*

*iii. Recognition by an awarding organisation of that learning and/or attainment through amendment to the requirements which a Learner must have satisfied*

*before the Learner will be assessed or that qualification will be awarded*

**Policies and procedures**

**When to use RPL**

The RPL process is relevant where a Learner has evidence of having previously learnt something but has never received formal recognition for it through a qualification or other form of certification.

Evidence can draw on any aspect of a Learner’s prior experience including -

* education and training
* work activities
* community or voluntary activities.

Centres wishing to undertake RPL must ensure that:

* Evidence used for RPL must be a maximum of 5 years before that date of application
* The evaluation process is carried out by HE Partner staff (approved centres only) with relevant levels of expertise to meet CMI requirements.
* The centre has approval from their Quality Manager for any change to the approved assessment methodology. RPL is considered by CMI on a case-by-case basis for Learners on dual-accredited programmes and must be claimed when the student is registered.

The methods of assessment used will be determined by the assessment strategy for the dually accredited module being assessed and might, for example, include:

* examination of documents
* expert witness testimony
* reflective accounts
* professional discussion

The RPL assessment should be carried out as an entire process by the centre. This means that the Assessor should:

* Plan with the Learner
* Make a formal assessment decision
* Feedback assessment decisions to the Learner, confirming decisions and giving guidance on the available options (particularly in situations where the decision has been not to award credit)
* Maintain appropriate records
* Ensure that Learners are aware of their right to access the appeals process should they feel the assessment decision was unfair

The Assessor must ensure that all CMI LOs being claimed are covered and that records of assessment are maintained in the usual way.

**END**



#  APPENDIX M: Malpractice and Maladministration Declaration

#

**National or local laws**

*(Add a list of relevant local and national laws if applicable. If none exist write “Not Applicable)*

I, (name and job role) confirm on behalf of (organisation name) that its Malpractice and Maladministration processes for staff and Learners are commensurate with those described below and recognise that CMI must be notified of confirmed malpractice with Learners or staff related to dually accredited modules at the time of the decision.

**Signature:**

**Date:**

**Definition**

Prospective HE Partner’s definitions of malpractice and maladministration must concur with the following:

**Malpractice**

The term malpractice covers any deliberate actions, neglect, default or other practises that compromise, or could compromise:

● The assessment process;

● The integrity of a regulated qualification;

● The validity of a result or certificate;

● The reputation and credibility of CMI;

● The qualification or the wider qualifications community;

● The confidentiality of assessment materials.

Malpractice may include a range of issues from the failure to maintain appropriate assessment and internal quality assurance records or systems to the deliberate falsification of records in order to claim learner certificates or gain CMI Centre approval. Failure by a HE Partner to deal with suspected or actual identified issues may in itself constitute malpractice.

**Maladministration**

The term maladministration relates to any activity, neglect, default or other practice by a CMI Centre that results in the CMI Centre staff or Learners not complying with the specified requirements for registration, delivery or certification of the qualifications. In broad terms, maladministration generally covers mistakes or poor processes where there has been no intention on the part of the person responsible to do any harm. It may involve some degree of incompetence or ineptitude, or may result from carelessness or inexperience.

**Types of Malpractice**

The following list gives some examples of the types of incidents that may occur, the list is not exhaustive:

**HE Partner Malpractice**

Examples of malpractice could include:

* Cheating, or facilitating cheating, in an assessment.
* Attempting intentionally to manipulate a result so that it does not reflect the Learner’s actual performance in an assessment.
* Insecure storage of assessment instruments and marking guidance
* Misuse of assessments, including inappropriate adjustments to assessment decisions
* Failure to comply with requirements for accurate and safe retention of Learner evidence, assessment and internal verification records
* Failure to comply with CMI’s procedures for managing and transferring accurate Learner data
* Excessive direction from assessors to Learners on how to meet national standards
* Deliberate falsification of records in order to claim certificates.

‘CMI approved staff malpractice’ means malpractice committed by a current (or former) member of staff (or contractor) at a HE Partner. It can arise through, for example:

* A breach of security (for example failure to keep material secure, tampering with coursework etc.)
* A breach of confidentiality (for example failure to maintain confidentiality of assessment materials)
* Deception (for example manufacturing evidence of competence, fabricating assessment or internal verification records)
* The provision of improper assistance to Learners (for example,. permitting the use of a reasonable adjustment over and above the extent permitted CMI policy, prompting Learners in assessments by means of signs or verbal or written prompts)
* Provision of inaccurate or misleading information to Centre staff about CMI qualifications
* Failure to adhere to regulations/CMI stated requirements for example declaration of Conflict of Interest.

**Learner Malpractice**

Malpractice by a Learner in internal assessment could occur in:

* The compilation of portfolios of internal assessment evidence
* The presentation of practical work
* The preparation and authentication of coursework
* Conduct during an internal assessment
* Conduct during an external assessment.

Examples of Learner malpractice could include:

* Plagiarism - failure to acknowledge sources properly and/or the submission of another person’s work as if it were the Learner’s own
* Collusion with others when an assessment must be completed by individual Learners. This includes buying-in assignments and misuse of AI.
* Copying from another Learner (including using ICT to do so)
* Impersonation - assuming the identity of another Learner or having someone assume your identity during an assessment
* Inclusion of inappropriate, offensive, discriminatory or obscene material in assessment evidence. This includes vulgarity and swearing that is outside of the context of the assessment, or any material of a discriminatory nature (including racism, sexism and homophobia)
* Inappropriate behaviour during an internal assessment that causes disruption to others. This includes shouting and/or aggressive behaviour or language and having an unauthorised electronic device that causes a disturbance in the examination room
* Frivolous content - Producing content that is unrelated to the question in scripts or coursework.

**Policies and Procedures**

Irrespective of the underlying cause or the people involved, all allegations of malpractice in relation to delivery and assessment need to be investigated in order to protect the integrity of the CMI qualification and that of the HE Partner to be fair to the HE Partner and all Learners.

HE Partners/CMI approved staff are responsible for:

* Immediately notifying CMI of any confirmed cases of malpractice or maladministration independent of the sanction applied. CMI reserves the right to apply its own sanctions to registered learners and /or the HE Partner.
* Complying with published CMI malpractice procedures
* Taking reasonable steps to prevent malpractice/ maladministration from arising
* Advising Learners of the CMI policy on malpractice/maladministration during their induction
* Being vigilant to possible instances of malpractice and maladministration
* Assisting with any CMI requests for information
* Co-operating with CMI malpractice/maladministration investigations
* Carrying out investigations of malpractice under the guidance of CMI
* Implementing any actions required during and after investigation into a case of malpractice
* Taking action required to prevent the recurrence of malpractice/maladministration.

CMI policies on malpractice and maladministration, plagiarism collusion and misuse of AI can be found at:

[Policies - CMI](https://www.managers.org.uk/education-and-learning/partners-and-centres/policies/)

**END**



# APPENDIX N: Complaints and Appeals Declaration

**National or local laws**

*(Add a list of relevant local and national laws if applicable. If none exist write “Not Applicable)*

I, (name and job role) confirm on behalf of (organisation name) that its Complaints and Appeals processes are commensurate with those described below and recognise that Learners have a direct right or appeal and complaint to CMI for mapped units if they remain unsatisfied having exhausted its internal processes. This will be communicated to Learners who have been registered by the HE Partner with CMI.

**Signature:**

**Date:**

**Definition**

Prospective HE Partner’s definition must concur with the following:

**Complaint**

The term “complaint” is a statement in which you express your dissatisfaction with a particular situation.

A complaint may relate to, for example:

* A failure to provide a service or an inadequate quality or standard of service
* Wrong information about academic programmes
* The quality and availability of facilities and learning resources
* Accessibility of assessment
* The behaviour of a member of staff.

**Policy and Procedures**

**Complaint Procedure**

All HE Partners are required to have their own complaints process. If a Learner has a complaint they must follow their Centre’s own complaints procedure in the first instance. Then, if they are not satisfied with the outcome of the internal process they can refer to CMI. See Complaints process at: [Policies - CMI](https://www.managers.org.uk/education-and-learning/partners-and-centres/policies/)

**END**

Every effort has been made to ensure that the information contained within this handbook is true and correct at the time of publication. However, CMI products and services are subject to continuous development and improvement and the right is reserved to change products and services from time to time. CMI cannot accept responsibility for any loss or damage arising from the use of the information in this handbook.

Chartered Management Institute

Management House

Cottingham Road, Corby

Northamptonshire, NN17 1TT

Registered charity number 1091035

Incorporated by Royal Charter

Charity registered in Scotland number SCO38105

Copyright Chartered Management Institute