

# **CMI Awarding Body**

**Apprenticeship Assessment Centre Incident  
Reporting Procedure (External) V2**

**September 2025**

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# CMI Awarding Body

## Assessment Centre Incident Reporting Procedure

AB/POL/0041 - September 2025 - V2

### History

Date	Amendments Made
03/09/2025	Review of document and inclusion/amendments to the reporting process to include CPC actions.
05/03/2025	Annual review Date amendment only
25/3/2024	Annual review Updated to version 2 Section 4 point 4 first word 'We' changed to 'CMI'
30/1/23	Annual Review - no amendments made
11/02/2021	Thorough review and update

### Intended Audience

- Employers and Centres
- CMI staff and associated third parties

All of CMI's policies are published on the [CMI Policies Webpage](#)

## Purpose

This procedure provides clear arrangements for reporting Apprenticeship Assessment Incidents for all Apprenticeship Standards where CMI is engaged in their Assessment as the Assessment Centre.

## Scope

This document sets out the procedure to follow in order to report an Incident in relation to Apprenticeship Assessment provision to the Regulator in relation to anything that detracts from the Assessment Plan or as identified in the 'definition' section below, leading to a potential adverse effect and considering steps to prevent them or mitigate their impact.

Conditions also cover reporting serious Incidents, responding to regulatory requests and ensuring overall suitability for recognition.

## Regulatory Requirements

This policy meets the regulatory requirements set out by our regulators: Ofqual

[Ofqual - General Conditions of Recognition](#)

Regulator or Relevant Regulatory Body	Reference Details	Legislation/Regulatory Reference
Ofqual	General Conditions of Recognition	A6.1 A6.2 A6.3 A6.4 A7.1

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## 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 (for example, 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.
- Redundancy of an apprentice
- 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 apprenticeship 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.

## 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 apprenticeship 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.

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CMI's procedure for Incidents will involve the following actions:

1. Report the Incident to CMI using the Enquiry Form on CMI Partner Connect (CPC). Please provide as much detail as possible about the potential Incident to allow CMI to start the initial review.
2. CMI will acknowledge receipt of the form 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 Quality Manager for apprenticeship assessment (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 Quality Manager will request this directly from the reporter of the Incident via a Private comment on CPC or a Request for further Information form.. 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 Organisation (or nominated Senior Quality Manager representative) will inform Ofqual as the Regulator, using Ofqual's Notification Process on the Ofqual Hub.
5. The 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 Organisation (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 Organisation 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 Organisation (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 Assessment Organisations for Apprenticeships about the Incident if that is deemed necessary and appropriate as a Notifiable Event.

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## Contact Us

If you have any queries about the contents of the policy, please contact CMI's 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  
77 Kingsway, London, WC2B 6SR

## Monitoring and Review

This policy will be reviewed in line with CMI's Document Control Policy.