

# **CMI Awarding Body**

Apprenticeship Assessment Conflicts of  
Interest Policy v8

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AB/POL/0033 - August 2025 - V8

## History

Date	Amendments Made
03/09/2025	Review of document and inclusion/amendments to the reporting process to include CPC actions.
07/03/2024	Thorough review and update of the whole document. Amendments made as follows: Pg 5 para 7 Data Protection Act 2018 and UK GDPR 2018. P4 para1/Pg 5 para 8 Quality Manager (title amendment from the previous iteration EPA Quality Manager) Pg 5 para 2 via any platform that CMI choose to use replaces AODocs wording.
27/02/2023	Review of whole document in context to Ofqual General Conditions of Recognition- A4, current CMI policy and procedure
17/02/2022	Thorough review and update of whole document in context to Ofqual General Conditions of Recognition- A4, current CMI policy and procedure
10/03/2021	Thorough review and update of whole document
09/ 2019	Revision of policy to address Ofqual Consultation on changes to the General Conditions of Recognition

	Inclusion of a recording template (Conflict of Interest Policy and Procedure Template) Review and amendment of potential conflict scenarios
07/ 2019	Merging of Conflict of Interest Policy AB/POL/0001/July 18/V04 with Conflict of Interest Procedure AB/PRO/0001/Jul18/V06 (now deleted). Thorough review and amendment of both original documents in line with the new internal Conflict of Interest considerations and revised contractor processes. Inclusion of information from Ofqual General Conditions of Recognition and SQA Regulatory Principles

## Intended Audience

- Employers and Centres
- CMI staff and associated third parties

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

## Purpose

The purpose of this policy is to set out the guidelines and procedures for identifying, monitoring and managing actual, perceived and potential conflicts of interest relating to the assessment and quality assurance (QA) of apprenticeships.

This Policy applies to all Approved Centre/CMI staff (including contractors), plus the CMI Regulatory Compliance Committee, CMI Board of Trustees and all training provider/employers' staff involved in apprenticeship assessment.

Regulations require CMI to identify and monitor all conflicts of interest which may relate to it and identify potential conflicts of interest that may arise in the future. To do so, CMI must establish and maintain up-to-date policies and procedures that clearly define conflicts of interest, as well as procedures for recording and mitigating conflicts of interest. This document applies to the delivery of all assessment/QA services for all apprenticeships. This Policy provides clear arrangements for making identification and management of conflicts of interest in relation to apprenticeship assessment. This Policy sets out:

- Definition of conflict of interest
- Management of conflicts of interest
- Identification of potential conflicts of interest
- Recording conflicts
- Monitoring and review of conflicts, including investigations

## Regulatory Requirements

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

### Ofqual - Conditions of Recognition

Regulator or Relevant Regulatory Body	Reference Details	Legislation/Regulatory Reference
Ofqual	General Conditions of Recognition	Condition A A4.1, A4.2, A4.3 , A4.4  Condition G G4.2, G4.5.

## Definition of Conflict of Interest

Ofqual states: “In general terms, a conflict of interest exists when an organisation or an individual has competing interests, which might impair its or their ability to make objective, unbiased decisions.”

There are a number of potential conflicts of interest, which should be taken to include ‘personal interest’. Ofqual’s Conditions of Recognition require the Awarding Organisation to identify “any scenario in which it is reasonably foreseeable that any such conflict of interest will arise in the future”. This section sets out these scenarios.

Conflicts may be considered as:

Actual conflicts which relate to CMI/Approved Centre – “That is, situations, where activities carried out by the Awarding Organisation 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 carry out apprenticeship assessments.

Actual conflicts which relate to individuals (a ‘personal interest’) connected to any part of the development, delivery or impartial conclusion of apprenticeship assessment “That is, situations where a

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particular individual's interests might impair their ability to make the objective, unbiased decisions that are necessary to ensure the Awarding Organisation/Approved Centre can develop, deliver and provide apprenticeship assessment in line with Ofqual Conditions of Recognition.

Perceived conflicts (which may relate to either CMI or individuals) where an observer would perceive that an Awarding Organisation or individual has such a competing interest.

'CMI staff' should be taken to include both salaried employees of CMI as well as individuals contracted by CMI for specific services - for example, Assessment, QA, consultancy and so on.

Scenarios in which a conflict of interest or personal interest could reasonably be foreseeable are as follows:

Potential conflict of interest or personal interest involving the apprenticeship assessment

A member of the CMI/Approved Centre staff has a close personal relationship (or one that could reasonably be perceived as such) with an Apprentice who is undertaking an assessment with the CMI/Approved Centre.

A member of CMI/Approved Centre staff undertaking assessment and/or QA of the work of a friend, acquaintance or family member undertaking assessment with the CMI/Approved Centre.

A member of CMI staff acting in an assessment or QA role for a CMI Training Provider/Approved Centre (for example, QA), as well as acting in an apprenticeship assessor (AA) role for CMI for that Training Provider/Employer/Approved Centre

A member of CMI staff with access to Apprentice records has a close personal relationship (or one that could reasonably be perceived as such) with an Apprentice who is undertaking assessment with CMI and can access apprentice records and data- for example. assessment records

A member of CMI staff is undertaking an assessment as an apprentice, which will be assessed and QA assured by another member of CMI staff

A member of CMI Executive Leadership Team, Operational Leadership Team or Strategic Leadership Team with a personal interest with an apprentice or Training Provider/Employer/Approved/Registered Centre.

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## Identification of potential conflicts of interest

All stakeholders are required to record potential or actual conflicts of interest and personal interests, dating back for a minimum of 3 years. This happens upon recruitment and is requested annually at contract renewal (during March each year). Additionally, all stakeholders are required to declare any new conflicts as soon as they are identified during the course of any contract year, by completing the CMI Partner Connect Conflicts of Interest Form.. If there is any doubt that the situation represents a potential conflict, it is recommended that it be declared.

The register of Conflicts of Interest is managed, monitored and maintained by the Awarding Body Admin Support Team. Decisions will be taken by the 'relevant person' - this will be a member of CMI staff with the authority to make such a decision, and most usually would be the CMI Awarding Organisation Quality Manager or nominated representative. The 'relevant person' will then:

- Assess the nature of the conflict
- Assess the risk or threat to the organisation's functions
- Decide whether the conflict warrants further action/mitigation to be taken
- Decide what steps to take to avoid or manage the conflict or adverse effect

There may need to be a discussion between the person notifying of the potential conflict and the 'relevant person'. The purpose of the discussion is to establish if an actual conflict exists (and whether there is potential for an 'adverse effect') and, if so, to reach a decision about how the conflict will be managed.

Good practice would be that if no potential current conflicts are identified, these 'nil returns' are logged and recorded, and that regular review and update is undertaken.

If a member of CMI's apprenticeship assessment/QA staff is undertaking apprenticeship assessment and identifies a conflict of interest on the day of the assessment that previously has not been identified through the declaration, the assessor is required to contact CMI Awarding Organisation Quality Manager immediately before any assessment takes place. CMI will contact the Training Provider / Employer/Approved Centre/Registered Centre and discuss an alternative provision for the assessment of the apprentice(s) or put mitigating actions in place to ensure the integrity of the assessment activity.

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# How to Report a Conflict of Interest

## CMI Training Providers/Approved Centres/Registered Centres or Employers

Where a conflict of interest or personal interest has been identified, the next step is to analyse whether this could have an 'Adverse Effect'. An 'Adverse Effect' is defined by Ofqual as:

“An act, omission, event, incident, or circumstance has an Adverse Effect if it –

(a) gives rise to prejudice to apprentices or potential apprentices, or

(b) adversely affects –

(i) the ability of the Awarding Organisation to undertake the development, delivery or provision of apprenticeship assessment,

(ii) public confidence in qualifications.”

For the purposes of apprenticeship assessment, public confidence in the apprenticeship delivery and award forms a critical part of the definition of an Adverse Effect.

Where an Adverse Effect could reasonably be expected to occur, all reasonable steps must be taken to mitigate the Effect as far as possible and to correct it.

This may be achieved by:

Reorganising activities and/or key functions, where reasonable, so that the Adverse Effect is mitigated

OR

Gaining an undertaking from the individual(s) concerned to conduct their responsibilities so that the integrity of apprenticeship assessments are maintained, as well as their own professional integrity

If neither of the above steps are possible, another solution must be found. The solution should be in proportion to the nature of the conflict. In extreme circumstances, activities may need to be monitored or even restricted.

The first step will be to try to eliminate the Adverse Effect - for example, by assigning another member of staff to undertake the assessment activity. By doing so, this reduces the risk of assessments being

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compromised and ultimately assessments being voided. Where elimination is not possible due to financial or/and resource implications, measures should be put in place which can demonstrate that the conflict is being managed effectively so as not to compromise the outcome of the assessment. The key principles here are transparency and mitigation.

All reasonable steps should be taken to avoid any part of the assessment of an apprentice (including assessing, interviewing, quality assurance) being undertaken by any person who has a personal interest in the result of the assessment. Where, having taken all such reasonable steps, an assessment by such a person cannot be avoided, arrangements should be made for the relevant part of the assessment to be subject to additional scrutiny by another person.

## **Internal Conflicts**

CMI requires contractors involved in assessments to declare conflict of interest if they are acting in different roles for CMI for the same Training Provider/Employer/Approved Centre/Registered Centre. Any such declarations will be carefully monitored to ensure that those assessments are not compromised.

## **CMI Recording Conflicts of Interest**

A record is kept for all staff involved in apprenticeship assessment even if no conflicts or personal interests exist. The record captures the information required to understand, assess and put in place any mitigation measures for each conflict, and the Conflict of Interest declaration document is sent out during the annual re-contracting process using Google Forms, with each stakeholder being required to complete and return this form, which includes their declaration that they have read, understood and provided accurate information.

Internal staff members are asked to complete their returns at the same time, which is March of each year. For individual assessments administered via any platform that CMI choose to use, each assessor has to declare that they have no conflict with every single apprentice that they commit to assessing, and this is captured in any platform that CMI choose to use.

The information provided by key stakeholders is processed in accordance with data protection principles as set out in the Data Protection Act 2018 and UK GDPR 2018. Data will be processed only for the purpose set out in this policy and not for any other purpose.

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## Monitoring and reviewing conflicts

CMI Awarding Body Admin Support team, in conjunction with the CMI Awarding Organisation Quality Manager (or their nominated representative) are responsible for maintaining a register of interest and will:

- Record in the register all conflicts of interest and personal interest
- Make the register of conflicts available to any stakeholder at any time for reference purposes
- Keep a log of any actions taken to manage a conflict of interest
- Conduct regular audits and spot checks

The Register of Conflicts of Interest will be available for inspection by the relevant body.

## Conflict of interest in investigations

Where investigations are conducted by CMI for apprenticeship malpractice, maladministration, breach of confidentiality, appeals or complaints, all reasonable steps will be taken to avoid those under investigation being investigated by anyone with a personal interest in the outcome of the investigation, and – where it is unavoidable – ensure any part of the investigation they do conduct is scrutinised by someone else who does not have such an interest.

## Monitoring and Review

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