



Chartered Quality Institute

## CQI Education

Policies and procedures for learners and  
education centres

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# **1. ACCESS TO QUALIFICATIONS**

## **1.1 Overall Principles for Alternative Assessment**

1.1.1 CQI is committed to enabling all learners to have equal opportunity to demonstrate their attainment. The Access to Qualifications policy is to assist learners with recognised disabilities studying for the CQI qualifications (both examination and assignment assessed units).

1.1.2 Arrangements are reviewed on an ongoing basis. CQI welcomes feedback from both education centres and learners. Centres who would like to develop their own specific schemes are invited to write to: CQI Education, 2<sup>nd</sup> Floor North, Chancery Exchange, 10 Furnival Street, London EC4A 1AB.

1.1.3 CQI aims to ensure that:

- Alternative assessment arrangements provide learners with the opportunity to demonstrate attainment
- Alternative assessment arrangements compensate for any disadvantage imposed by the disability but do not otherwise advantage learners.

1.1.4 Learners for whom alternative assessment arrangements may be made:

a) Recognised permanent or semi-permanent disabilities:

- Confinement to home
- Dyslexia
- Physical disabilities
- Visual impairment
- Hearing impairment

b) Temporary disabilities: Learners having a short term disability/illness may need to apply for alternative assessment arrangements at short notice. Centres are advised to write to CQI giving full details of the nature of the disability/illness. Cases will be dealt with individually and medical evidence may be required.

c) Learners with other disabilities: Most learners with disabilities will be covered by the recognised disabilities section. Centres are advised to write to CQI giving full details of the nature of the disability/illness. Cases will be dealt with individually and medical evidence may be required.

## **1.2 Alternative Assessment Arrangements**

1.2.1 Additional Time

Where it is appropriate, additional time may be permitted. Additional time will not be indicated on a learner certificate. Learners requesting extra time due to a disability will be required to submit a medical or educational psychologist's report. The extra time stipulated will be indicated on the reply.

- 1.2.2 **Supervised Rest Breaks**  
Supervised rest breaks may be permitted. Circumstances where this may be requested include cases where learners have physical disabilities and the use of an amanuensis has been agreed. The duration of the breaks will not be deducted from the examination time.
- 1.2.3 **Signers/Communicators**  
All the CQI examinations are in written format and it should not be necessary to provide signers for this purpose. The centre should be aware that the invigilation of examinations must be communicated effectively.
- 1.2.4 **Modified Examination or Assignment Papers**  
Braille and enlarged question papers may be requested. The use of Braille and enlarged question papers will normally be indicated on certificates. Learners should be registered disabled and their full name and registration details sent to the CQI.
- 1.2.5 **Amanuenses**  
Where appropriate, the use of an amanuensis may be permitted. Centres should note that the use of an amanuensis will normally be noted on certificates. Examples of where this may be appropriate are in the case of broken arm, or where a recurrence of a longstanding illness makes writing impossible.

### **1.3 Requesting Alternative Assessment Arrangements**

- 1.3.1 Centres wishing to apply for alternative assessment arrangements for a learner will be required to complete a Request for Alternative Assessment ED-05 form. This form should be sent to the CQI at least **six weeks prior** to the date of the examination.
- 1.3.2 Centres requesting a paper in Braille should notify the CQI at least **10 weeks prior** to the examination date.
- 1.3.3 Before requesting Alternative Assessment requirements, centres must take reasonable steps to confirm as far as is possible that the learner does have a recognised disability or short-term illness.

### **1.4 Medical Certificates and Evidence**

- 1.4.1 A medical certificate is not required if a learner is registered disabled. Their registration details will suffice.
- 1.4.2 Where a learner is not registered disabled then a report by an Educational Psychologist (suitably qualified) or medical report by a GP will be required. This will support applications for temporary impairments, dyslexia, learning difficulties, etc.

### **1.5 Notes on the use of Amanuenses**

- 1.5.1 An amanuensis is a scribe who, during the course and/or examination, writes down a learner's dictated answers to questions. Learners are eligible to use amanuenses if they have long-term or temporary disabilities which prevent them from communicating by any other means. Where a reader is used then the same person can act as both.

- 1.5.2 Permission for the use of an amanuensis must be obtained from CQI prior to the examination or the commencement of coursework.
- 1.5.3 The use of an amanuensis should not give a learner an unfair advantage, nor should it further handicap the learner.
- 1.5.4 The use of an amanuensis must not modify the specific syllabus requirements for the subject being examined. In some cases, the writing of answers by the learner may be the skill being examined.
- 1.5.5 Additional time will be permitted for the use of an amanuensis and will normally be up to 25% of the prescribed duration of the examination.
- 1.5.6 An amanuensis should be a person who is able to produce an accurate record of the learner's answers and can write legibly at a reasonable speed. He/she should also have a working knowledge of that subject.
- 1.5.7 An amanuensis is responsible to the head of centre, and the person who is to act as the amanuensis must be acceptable to the head of centre.
- 1.5.8 An amanuensis should not normally be the learner's own teacher, but there may be circumstances in which this is necessary. CQI must be informed in advance. The amanuensis can not be a relative of the learner.
- 1.5.9 It is recommended that learners should acquire experience of using an amanuensis in advance of the examination.
- 1.5.10 The head of centre must ensure that there are suitable arrangements for the proper supervision of the use of an amanuensis.

## **1.6 Notes on the use of Readers**

- 1.6.1 A reader is someone who, during the course and/or examination, reads to the learner. Learners are eligible to use readers if they have long-term or temporary disabilities which prevent them from communicating by any other means. Where an amanuensis and a reader are required then the same person can act as both.
- 1.6.2 Permission for the use of a reader must be obtained from CQI prior to the examination or the commencement of coursework.
- 1.6.3 The use of a reader should not give a learner an unfair advantage, nor should it further handicap the learner.
- 1.6.4 The use of a reader must not modify the specific syllabus requirements for the subject being examined. In some cases, the reading of material by the learner may be the skill being examined. In such cases a reader cannot be permitted.
- 1.6.5 Additional time will be permitted for the use of a reader and will normally be up to 25% of the prescribed duration of the examination.
- 1.6.6 A reader should be a person who is able to read accurately and at a reasonable rate. He/she should also have a working knowledge of the subject.
- 1.6.7 A reader is responsible to the head of centre, and the person who is to act as the reader must be acceptable to the head of centre.

- 1.6.8 A reader should not normally be the learner's own teacher but there may be circumstances where this is necessary. CQI must be informed in advance. The reader can not be a relative of the learner
- 1.6.9 It is recommended that learners should acquire experience of using a reader in advance of the examination.
- 1.6.10 The head of centre must ensure that there are suitable arrangements for the proper supervision of the use of a reader.
- 1.6.11 If the following are not complied with the learner could be disqualified.
- During the examination a reader must read accurately and read only the text/questions giving no emphasis or advice
  - Must not give factual help or offer suggestions
  - Must not advise learners of which questions to attempt or any other prompts
  - Should read the questions and answers as often as requested
  - Should advise on time elapsed and time remaining if asked
  - Must give spellings of words only if requested by the learner
  - Should be prepared for periods where they are not required
  - Must immediately refer any problems in communication to the examination invigilator.

## **2. AEGROTAT POLICY**

The CQI Awarding Body in drawing up the list of learners eligible for the CQI Diploma and CQI Certificate may include the name of any learner in the pass list under the heading "Aegrotat" if all the following conditions have been fulfilled:

- The learner was prevented by illness or other sufficient cause from completing the required modules for the CQI Diploma or Certificate
- The learner's work during the course has been satisfactory
- The learner has otherwise achieved at 2/3 of the existing requirements of the Diploma or the Certificate
- The learner has not applied for his or her candidature to be postponed (Interruption of Studies)
- The learner, or their representative, makes written application to the CQI Awarding Body requesting award of an 'Aegrotat'.

## **3. FEEDBACK SERVICES POLICY**

### **3.1 Introduction**

- 3.1.1 All Feedback services are parts of CQI's assessment arrangements and are dealt with in a formal way using procedures which ensure that the results are fair, impartial, transparent, and timely. Every effort is made to ensure that they are clearly framed in official regulations, codes and guidance documents, and reflect best practice in the sector.
- 3.1.2 These procedures relate solely to the activities under taken by CQI as an awarding organisation, and concerned with the delivery of the units and modules, which constitute CQI's educational offering of certificates and diplomas to the learners.
- 3.1.3 Learners are defined as persons registered or enrolled with the CQI to follow a programme of study which has the potential to lead to a CQI award or qualification.

### **3.2 Examination performance reports**

- 3.2.1 Learners who do not pass their examination(s) may want some specific feedback related to their examination performance. The Examination performance report is provided by the Principal Examiner who marked the exam script.
- 3.2.2 The examination script will be sent to Principal Examiner and they will provide feedback on the learner's performance including the following sections:
- An individual breakdown of the question score
  - Highlights of the learner's performance
  - Identification of the weaknesses in the learner's performance
  - Recommendations for improvements
- 3.2.3 The request must be submitted directly by the learner concerned and needs to be sent within two weeks of receipt of the assessment results.
- 3.2.4 Learners will be sent their Examination performance report(s) within 2-3 weeks of the CQI receiving the written request and the relevant fee. The outcome will be emailed to the learner concerned.
- 3.2.5 This report does not constitute a Results Enquiry or Appeal, nor does requesting it prejudice a learner's right to a Results Enquiry or an Appeal.
- 3.2.6 The CQI cannot send original examination scripts back to learners.

### **3.3 Results Enquiries**

- 3.3.1 A Results Enquiry is defined as a request for a formal reconsideration of a decision made within the awarding process that has the potential to affect a learner's progression, assessment or final qualification.
- 3.3.2 The results enquiry process involves an evaluation of the assessment process in relation to assessment verification, the administrative processes associated with marking and recording marks and the quality assurance processes related to the marking and recording marks process.
- 3.3.3 A result enquiry may be made by a learner, an education centre or any other person or body providing the outcome of the decision directly relates to the appellant.

- 3.3.4 Results enquiries should be made on the grounds that there was a procedural defect that indicates that during the examination or assessment process, the awarding organisation did not follow procedures properly in a manner that could be considered consistent and fair.
- 3.3.5 The results enquiry should be lodged in writing with CQI no later than twenty working days after receiving the assessment results or ten working days after receiving the Examination performance report.
- 3.3.6 The grounds in may include, but are not limited to, mitigating circumstances such as:
- failure to consider evidence, such as medical evidence, available to the assessor
  - evidence that the marking process was not carried out in a consistent fashion with consistent regards to the requirements of the appropriate mark schemes and guidance.
  - information that came to light after the result had been published which may have influenced the Awarding Committee's decision if it had been known at the time
- 3.3.7 Any enquiry about an assessment result should be focused on defects in the marking or awarding processes. Applications that are based on concerns relating to an examiner's technical knowledge or judgment will not be considered as appropriate grounds to open an results enquiry or appeal.
- 3.3.8 The letter requesting the results enquiry should include:
- The name of the appellant, and any relevant student or centre number.
  - An address or addresses at which the appellant may be contacted during the period of the results enquiry.
  - The details of which assessment or decision the appellant is requesting to be reviewed.
  - The grounds for claiming procedural defect and evidence of procedural defect.
  - Payment of the results enquiry fee, which is refundable if the original outcome is changed. Costs are reviewed on an annual basis and are available from the CQI on request.
- 3.3.9 The letter should be signed and dated by the appellant.
- 3.3.10 CQI will acknowledge receipt of the request within 5 working days.
- 3.3.11 CQI Assessment Manager and Chief Examiner will consider the facts of the case and decide if there are sufficient grounds to review the original result in line with this procedure, and all pertinent guidance documents and regulations.
- 3.3.12 If the CQI Assessment Manager and Chief Examiner find evidence that leads them to believe that the original result is unsound, then they will request that the CQI's Executive Director, Customer Services reviews the Results Enquiry and advises on the appropriate action.
- 3.3.13 The Executive Director, Customer Services may select one or more independent reviewers to review the Results Enquiry.
- 3.3.14 The Executive Director, Customer Services or independent reviewer/s will decide whether the facts provided justify a reconsideration of the matter with a view to confirming or adjusting the original decision, and will inform CQI's Assessment Manager and Chief Examiner of the outcome, and any actions which CQI must take to address the enquiry.
- 3.3.15 The appellant will be informed of the decision, the grounds on which it is based, and of their right of appeal, within 20 working days of the receipt of the original request.



If for any reason this deadline is not achievable a revised timescale will be communicated in writing to the appellant.

- 3.3.16 Every effort should be made to resolve the underlying issue behind the Results Enquiry as closely as possible to its point of origin, with a minimum of formality, but in a way which an informed observer would find reasonable in all circumstances.
- 3.3.17 If after every effort has been made to resolve the underlying issue, including the close out and communication of the outcome of a Results Enquiry, the learner still feels that there are procedural defects that call into question the result then they may open an Appeal.
- 3.3.18 The Results Enquiry and Appeal processes can be lengthy and it may not be possible for the outcome to be available before the registration deadlines for the next assessment round. Learners are therefore advised to register for the next assessment round and if their result enquiry/appeal is upheld, the unit entry fee will be refunded.

### **3.4 Appeals**

- 3.4.1 An Appeal is defined as an independent review of the process and steps taken by CQI to address the learner's original enquiry and concerns.
- 3.4.2 If the outcome of a Results Enquiry still does not address an Appellants concerns such that doubts about the robustness of the procedures remains, then they may open a formal Appeal.
- 3.4.3 For an Appeal to be heard, the appellant must write no later than 20 working days after receipt of the letter from CQI communicating the final decision of their Results Enquiry.
- 3.4.4 The appeal letter should include
- The name of the appellant, and any relevant student or centre number.
  - An address or addresses at which the appellant may be contacted during the period of the appeal.
  - A formal request that CQI invokes the formal procedures for the appeals process.
  - A clear explanation of the grounds for the appeal and why the appellant feels the Results Enquiry failed to resolve those concerns.
  - Payment of the Appeal fee. In the event that the original outcome is changed following an appeal then both the appeal fee and the Results Enquiry fee are refundable.
- 3.4.5 The letter should be signed and dated by the appellant.
- 3.4.6 CQI will acknowledge receipt of the appeal within 5 working days.
- 3.4.7 To review the appeal CQI will identify and appoint an Independent Appeal Reviewer. The Independent Appeal Reviewer will not be an assessor or employee of the CQI, and will have no personal interest in the decision being appealed. Every effort will be made to ensure that the Independent Appeal Reviewer will have no prior or present connection with the CQI, other than as acting as an Independent Appeal Reviewer for this or previous Appeals.
- 3.4.8 The Independent Appeal Reviewer may invite the appellant or a representative to appear before them and/or to give written evidence if desired. The appellant can be accompanied by a friend, colleague or tutor, but not by a legal adviser.
- 3.4.9 The Independent Appeal Reviewer may ask any other person including the Results Enquiry reviewers to appear before them and/or to give written evidence if desired.

- 3.4.10 The outcome of any meeting will be recorded.
- 3.4.11 The Independent Appeal Reviewer can decide:
- That the appeal be allowed, as there are grounds to believe that significant procedural defects exist.
  - That the appeal be dismissed, as there are insufficient grounds to support the Appeal.
- 3.4.12 The independent Appeal Reviewer will not carry out any corrective action, for example remarking an exam or assignment; rather they will outline to the appellant and CQI, the steps that CQI must take in order to address the procedural issues underlying the Appeal.
- 3.4.13 CQI Education will communicate the decision of the Independent Appeal Reviewer in writing to the appellant, within 20 working days of the receipt of the Appeal. If for any reason this deadline is not achievable a revised timescale will be communicated in writing to the appellant.
- 3.4.14 The decision of the Independent Appeal Reviewer is final. The consideration of an appeal under this procedure exhausts the opportunities open to the appellant under CQI's processes.
- 3.4.15 Where the outcome of an appeal may affect the accuracy of the results for other learners, CQI will identify those learners and submit the appropriate documentation and results for review by the relevant personnel, so that the results can be corrected or mitigating actions taken.
- 3.4.16 The Appeal process can be lengthy and it may not be possible for the outcome of the appeal to be available before the registration deadlines for the next assessment round. Learners are therefore advised to register for the next assessment round and if their appeal is upheld, the unit entry fee will be refunded.
- 3.4.17 Records will be maintained and results reported to Ofqual as part of the CQI's compliance.

### **3.5 Centre Feedback and Follow Up**

Where the results of the result enquiry/appeal involve centre(s) conduct, the outcome of the appeal will be sent to the centre(s), who will be asked to respond, and to take appropriate actions. CQI will carry out follow up actions with the centre(s) to ensure the appropriate steps have been taken to address the situation.

## **4. CUSTOMER SERVICE STATEMENT**

### **4.1 Introduction**

- 4.1.1 This statement is written for the benefit of both students and centres. It outlines the services that Education Centres and Learners can expect from the CQI Education. The CQI aims to reach the highest standards possible in awarding professional qualifications in quality.
- 4.1.2 If you wish to comment on this statement or any service offered by the CQI Education then please contact the department direct on: e-mail [education@thecqi.org](mailto:education@thecqi.org), telephone 020 7245 6877 or post CQI Education, 2<sup>nd</sup> Floor North, Chancery Exchange, 10 Furnival Street, London EC4A 1AB.

### **4.2 Education Centres**

The CQI Education provides:

- A centre handbook complete with CQI information, forms, syllabi, contacts, and performance indicators updated annually
- Admin support at CQI for enquiries regarding CQI qualifications
- Other relevant information on qualifications, syllabi as appropriate
- An interactive website where information can be accessed
- A monitoring service on all aspects of course management, design, delivery and examination by visiting centres
- Regular email updates via the CQI e-bulleting sent to all current members.

### **4.3 Students**

The CQI Education provides:

- The opportunity for students to feedback to CQI on both the qualifications and centres.
- A list of examination centres where learners can sit examinations.
- A system where students can sit examinations overseas at an independent centre.

### **4.4 Communication**

CQI headquarters is open from 9am-5pm Monday to Thursday and 9am-4pm on Friday to answer any queries direct (excluding weekends and public holidays). An answering service is available and all calls will be picked up the next working day. Methods of contacting the CQI:

- Phone: 020 7245 6877.
- Email: [education@thecqi.org](mailto:education@thecqi.org)
- Mail: CQI Education, 2<sup>nd</sup> Floor North, Chancery Exchange, 10 Furnival Street, London EC4A 1AB.

## **4.5 Service Levels**

The CQI Education undertakes to:

- Acknowledge and respond to calls, faxes, emails and Internet enquiries within three days of receipt.
- Provide feedback to centres on results and reports within twelve weeks of examination(s) being sat.
- Provide the list of fees every year. This information is available on <http://www.thecqi.org/Qualifications/CQIQualifications/Fee-structure/>
- Respond to centre applications with six weeks of the acknowledgement date.
- Visit all centres every three years unless otherwise stated for monitoring/QA purposes.
- Dispatch a copy of the monitoring report within three weeks of the visit.
- Send out assessment results within twelve weeks of the date of the examination.
- Acknowledge all complaints/appeals within five working days.

## **4.6 Data retention**

4.6.1 CQI's privacy policy (<http://www.thecqi.org/Footer/privacy-policy/>) details the steps we take to safeguard customer's data.

4.6.2 To ensure our qualifications remain fit for purpose and in order to ensure comparability over time we retain additional records relating to CQI qualifications.

4.6.3 In line with other professional bodies as a record of member's achievements and to support member's references and records, we retain a permanent record of all graduates of our qualifications.

4.6.4 To ensure comparability and to support our standard setting work, we retain:

- Completed exam scripts for three years before securely destroying them.
- Result statistics at unit and student level, for at least three years.

4.6.5 CQI expects any centre that delivers its qualification to agree to retain sufficient data to support its awarding activities.

4.6.6 CQI will consider concerns, issues or requests related to this policy from members or students with regards to all our regulatory requirements.

## **4.7 Invoicing policy**

4.7.1 Whenever a purchaser commits to buy goods or services from CQI they will be provided with an invoice for tax purposes.

4.7.2 CQI aims to issue invoices within one week, and for CQI education processes all invoices will be issued within one week of the relevant registration date or similar relevant deadline.

- 4.7.3 All Invoices will be unique and include:
- The name, and relevant details of the fee payer.
  - An identifying invoice number.
  - The date of invoice.
  - A clear description of each item the fee payer is purchasing.
  - The fee for each individual item.
  - The total fees to be paid by the fee payer.
  - Clear and unambiguous information on the due date for payment.
- 4.7.4 All invoices must be paid within 28 days of the date of invoice.
- 4.7.5 CQI retain invoices until the associated fee is paid, and thereafter the associated receipt for at least one year.

## **5. EQUAL OPPORTUNITIES POLICY**

- 5.1 The CQI is committed to the principle of equal opportunities for all.
- 5.2 This policy statement sets out the Institute's intention to apply the principle of equal opportunities in all areas of its activities, including admission to membership, access to qualifications (including those approved by the Qualifications and Curriculum Authority), the provision of services and the employment of staff. This general policy statement will be supplemented by other detailed policy statements and provisions.
- 5.3 The Institute acknowledges its obligation to comply with equal opportunities legislation including but not limited to the Equal Pay Act 1970, Sex Discrimination Act 1975, Race Relations Act 1976 and the Disability Discrimination Act 1995.
- 5.4 The Institute considers that no-one should receive less favourable treatment on the grounds of race, colour, nationality, ethnic origins, gender, sexual orientation, marital status, religious beliefs, disability or age. It will seek to ensure that no-one receives less favourable treatment on these grounds in their dealings with the Institute as a member, customer, employee or in any other capacity.
- 5.5 In addition, the Institute acknowledges that individuals may be disadvantaged by socio-economic factors, family background or lack of educational opportunities. It will seek to ensure that access routes to its membership, qualifications and services are available to those from disadvantaged backgrounds.
- 5.6 The policy will be implemented by the CQI Board through its Boards, committees and the permanent staff of the Institute. The Board will incorporate the principle of equal opportunities in the design and delivery of all the Institute's products and services, and into the supporting policies, procedures and practices (including employment practices) which form part of its management system.
- 5.7 Appropriate measures will be put in place to monitor the implementation of this policy. These will include internal and external audit of the Institute's management system. The results will be reviewed on a regular basis.
- 5.8 The Institute's equal opportunities policy and the effectiveness of its implementation will be reviewed by the Council annually.

## **6. MALPRACTICE AND MALADMINISTRATION POLICY**

### **6.1 Introduction**

- 6.1.1 For the purposes of this policy, malpractice and maladministration are defined as, any acts either, respectively, intentional or unintentional which threaten the integrity of CQI's qualifications.
- 6.1.2 The CQI will investigate all cases of failure to abide by its rules and regulations that might constitute malpractice or maladministration. Where cases of suspected malpractice or maladministration are proven, the CQI will take appropriate action, including applying sanctions, in order to maintain the integrity of its qualifications.
- 6.1.3 All notifications to those from whom information is required relating to investigations of allegations of malpractice or maladministration, decisions of the CQI Awarding Body Malpractice and Maladministration Committee and related appeals will be sent by the CQI as recorded delivery letters or by courier.

### **6.2 Examples of Malpractice and Maladministration**

- 6.2.1 Malpractice or maladministration can be committed by a variety of people both inside and outside the educational system e.g. students, teachers, administrators, staff etc. The following are examples of acts that will be deemed to constitute malpractice or maladministration in line with the definitions given above. This list is not exhaustive, and the CQI reserve the right to deem as malpractice or maladministration other acts that might occur.
- 6.2.2 Malpractice or maladministration by students as follows:
- A student arranging for someone else to sit an examination for him/her.
  - Impersonation of another examination student.
  - Possession of materials not permitted in the examination room, e.g. notes, books, dictionaries/calculators (when prohibited), blank paper, mobile phones, personal organisers. Possession of such materials will be considered to be malpractice whether or not the student uses them, or the information contained within the materials is relevant to the examination being sat.
  - Communicating with other students in the examination room in breach of CQI examination regulations.
  - Copying the work of another student or knowingly allowing a student to copy from his/her own work.
  - Working collaboratively with any other student(s) by whatever means during examinations.
  - Damaging other students' work.
  - Including offensive/inappropriate material in examination scripts.
  - Plagiarism or misrepresentation (see Appendix I).
  - Failure to adhere to published CQI examination regulations.
  - Failure to adhere to instructions given by an examination invigilator in relation to the examination regulations, e.g. continuing to work beyond the allotted examination time, refusing to hand in the examination script and/or examination paper when requested, not adhering to warnings relating to conduct during the examination.
  - Disruptive behaviour (including offensive language and aggressive/violent conduct) in the examination venue.
  - Tampering with, or forgery of, results documentation, including certificates.

- 6.2.3 Malpractice or maladministration by examination centre staff/invigilators as follows:
- Failure to keep examination question papers or scripts secure before, during or after an examination as required by the CQI.
  - Knowingly allowing an individual to impersonate a student.
  - Allowing a student to possess and/or use materials not permitted in the examination room.
  - Allowing students to communicate with each other during an examination in breach of CQI regulations.
  - Allowing a student to copy another student's work, or allowing a student to let his/her own work to be copied.
  - Allowing students to work collaboratively during an examination.
  - Advising and/or assisting a student with his/her examination answers.
  - Allowing a student to work beyond the allotted examination time.
  - Damaging a student's work.
  - Disruptive behaviour (including offensive language and aggressive/violent conduct) in the examination venue.
  - Leaving students unsupervised during the examination.
  - Divulging any information relating to a student's examination performance and/or result to anyone other than the student him/herself.
  - Tampering with, or forgery of, results files and/or associated documentation.

### **6.3 Students at the Examination Venue**

- 6.3.1 In all cases where a student is suspected of malpractice or maladministration during an examination, he/she will first be warned by the examination invigilator that his/her actions are in breach of CQI examination regulations and therefore might constitute malpractice or maladministration.
- 6.3.2 The student will also be informed that the examination invigilator is obliged to report his/her (the student's) actions to the CQI
- 6.3.3 In all cases where a student is suspected of malpractice or maladministration in an examination, the examination invigilator will make a full written record of the student's activities. This record will be considered during any subsequent enquiry by the CQI.
- 6.3.4 A student suspected of malpractice or maladministration of any form will be informed by the examination invigilator that a full written record will be made and submitted to the CQI.
- 6.3.5 He/she will be informed that, before leaving the examination venue, he/she has the right to provide a statement explaining his/her conduct that will be included in the examination invigilator's written report. Therefore, before leaving the examination venue:
- He/she will be offered a chance to sign and submit a written statement to the examination invigilator.
  - If he/she wishes to provide an oral statement, the examination invigilator will write this down and ask the student to sign the statement to verify its accuracy.
  - The student is however not obliged to provide a statement before leaving the examination venue. In such cases, the examination invigilator will note this in the report to the CQI.
- 6.3.6 He/she will subsequently be contacted by CQI and informed that an investigation is taking place.
- 6.3.7 He/she will be given the opportunity to respond in writing to this subsequent communication from the CQI.

- 6.3.8 In cases where a student is discovered to be in possession of any unauthorised materials during an examination, the:
- Examination invigilator will confiscate the materials.
  - Examination invigilator will note on the student's examination script the time and point within the script at which the discovery was made.
  - The student will be requested to sign the note or record to confirm its accuracy.
  - Student will be allowed to continue working for the remainder of the examination without prejudice to the final outcome.
  - Examination invigilator will make a list of the confiscated materials, provide a copy of the list to the student and inform him/her that the confiscated materials will be submitted to the CQI with the invigilator's written report.
- 6.3.9 In cases where the examination invigilator suspects that students may have been communicating/collaborating the examination invigilator will note on each suspected student's examination script the time and point within the script at which the discovery was made. Each student will be requested to sign the note or record relating to his/her activities to confirm its accuracy.
- 6.3.10 Suspected students will be allowed to continue working for the remainder of the examination without prejudice to the final outcome.
- 6.3.11 The examination invigilator is responsible for submitting a full written report of all cases of suspected malpractice using the appropriate form to CQI's Education Manager within two working days of the examination. The report will detail the circumstances and the actions taken by the examination venue staff/invigilator(s).
- 6.3.12 Any written evidence relevant to the incident, e.g. confiscated materials, statements from other individuals involved, must accompany the examination invigilator's report.

#### **6.4. After the Examination Sitting**

- 6.4.1 Where an examiner identifies suspected malpractice or maladministration by a student, e.g. the student's examination script appears to show evidence of copying from another student, collaboration with another student, plagiarism, inappropriate/offensive material, this must be reported in writing to CQI's Education Manager within 2 working days of the discovery.
- 6.4.2 Where a member of CQI staff identifies suspected malpractice or maladministration by a student, e.g. the student's examination script appears to show evidence of copying from another student, collaboration with another student, plagiarism, inappropriate/offensive material, this must be immediately reported to CQI's Education Manager.
- 6.4.3 In cases where the CQI is made aware that module and/or qualification certificates might have been tampered with or forged, it will investigate the circumstances. For all cases, the CQI will take all reasonable steps to obtain sufficient evidence to investigate the suspected malpractice or maladministration and carry out an investigation according to the relevant regulations and procedures.



## **6.5 Examination Venue Staff/Invigilators**

- 6.5.1 Suspected cases of malpractice or maladministration by a staff member of an organisation running an examination venue or examination invigilator may be reported by students, other examination venue staff, other examination invigilators or a member of the public.
- 6.5.2 Written reports should be submitted to CQI's Education Manager and should include the following information:
- The examination venue name/location.
  - The date and title of the examination.
  - The time the examination took place.
  - The student's name and CQI student number, if applicable.
  - The name of the member of staff in question.
  - A full description of the suspected malpractice or maladministration.
  - Relevant documentary and/or security camera evidence, if applicable.
- 6.5.3 Reports should normally be submitted to the CQI within 24 hours of the suspected malpractice or maladministration taking place.

## **6.6 Anonymous Reports of Suspected Malpractice or Maladministration**

- 6.6.1 The CQI will take all reasonable steps to investigate suspected cases of malpractice or maladministration that are reported anonymously provided that the information supplied establishes a prima facie case for investigation.
- 6.6.2 The CQI reserves the right not to investigate cases reported anonymously in cases where there is no evidence or if insufficient evidence has been provided.

## **6.7 CQI Response to a Report of Suspected Malpractice or Maladministration**

- 6.7.1 The CQI will be responsible for responding to all reports of suspected malpractice or maladministration and will acknowledge all reports of suspected malpractice or maladministration within 5 working days of receipt.
- 6.7.2 The CQI will contact the individual student(s) or examination venue staff/invigilators who is/are the subject of suspected malpractice or maladministration and any other persons able to provide evidence relevant to the incident in question within 10 working days of receipt of a report.
- 6.7.3 The CQI will notify the individual concerned that an investigation will take place and inform him/her of the procedures and timeframe(s) that will apply.
- 6.7.4 The CQI will also remind the individual concerned of his/her right to respond by way of a personal written report explaining the circumstances of the case and request that this is submitted to CQI within 15 working days.
- 6.7.5 The CQI will also inform the individual concerned that, if the case of suspected malpractice or maladministration is proven, that one or more sanctions might be imposed and that such sanctions will reflect the seriousness of the case. The individual will also be notified of any requirement on the CQI to report cases of proven malpractice or maladministration to the relevant authorities/regulators subject to completion of the process and only after time for appeal has passed or the appeal process has been completed.
- 6.7.6 In cases of suspected malpractice or maladministration where more than one individual is involved, e.g. where students are suspected of working collaboratively, the CQI will contact each individual concerned separately.

- 6.7.7 The CQI will take all reasonable steps to ensure that reports and the relevant accompanying evidence have been submitted and are complete. It reserves the right to request further information if this is deemed necessary in order to investigate the case.
- 6.7.8 In cases where an individual who is the subject of suspected malpractice or maladministration does not respond to CQI communications, the CQI reserves the right to send reminders, requesting a personal written report, to that individual.
- 6.7.9 Cases of suspected malpractice or maladministration will be investigated, in the first instance, by a nominated member of CQI staff. The staff member will be responsible for ensuring that all relevant documentary information/evidence has been requested and that each individual involved has been given the opportunity to submit a personal written report relating to the suspected malpractice or maladministration.
- 6.7.10 When all relevant documentary evidence has been received, each individual involved will be notified by CQI that the allegation will be considered by the CQI Malpractice and Maladministration Committee and informed that the outcome will be notified to him/her within 30 working days.
- 6.7.11 The CQI Malpractice and Maladministration Committee will consist of the Executive Director, Customer Services, the Assessment Manager and one other suitably qualified and experienced member, who will not be directly related to CQI's awarding functions. The Education Assistant will be the secretary.
- 6.7.12 On considering a case of alleged malpractice or maladministration, the CQI Malpractice and Maladministration Committee will convene to confirm whether the correct procedures have been followed thus far, including that each individual suspected of malpractice or maladministration has been given the opportunity to respond by submitting a personal written report.
- 6.7.13 The CQI Malpractice and Maladministration Committee will then review the documentary evidence available. The CQI Malpractice and Maladministration Committee reserve the right to request further information. In such cases, if there is likely to be any delay, the individuals involved will be informed accordingly.
- 6.7.14 When all appropriate evidence is available, the CQI Malpractice and Maladministration Committee will review the case and decide whether the act constitutes malpractice or maladministration. If the CQI Malpractice and Maladministration Committee is of the opinion that there is no case to answer, the individual(s) involved will be informed in writing within 2 working days of the decision being made. If such cases relate to an examination student, he/she will be given full credit for the examination work submitted.
- 6.7.15 If the outcome of the review of the evidence is that the CQI Malpractice and Maladministration Committee decides that malpractice or maladministration has taken place, it will then decide what action, if any, is to be taken. It will set out its reasons, which will be reported to the relevant parties.

## **6.8 Imposition of Sanctions in Cases of Proven Malpractice or Maladministration**

- 6.8.1 The CQI Malpractice and Maladministration Committee is empowered to impose one or more sanctions upon individual(s) guilty of malpractice.
- 6.8.2 Sanctions applicable to a proven case of malpractice or maladministration will be dependent upon the type and seriousness of the act. The CQI Malpractice and Maladministration Committee will ensure that any sanctions imposed reflect the seriousness of the act and that all similar cases are treated in an equitable, fair and unbiased manner.
- 6.8.3 The examination venue is obliged to report to the CQI any suspected incidents of malpractice or maladministration. As a consequence of not doing so their status as a centre could be suspended or withdrawn.
- 6.8.4 Examples of possible sanctions are provided below. The list is not exhaustive and the CQI Malpractice and Maladministration Committee reserves the right to recommend to the CQI the sanctions to be imposed.

## **6.9 Possible sanctions relating to malpractice or maladministration by students**

- A written warning about future examination conduct.
- Loss of marks for a defined section of the relevant examination module. This may lead to the student having to resit the examination module.
- Loss of marks for the entire relevant examination module (resulting in having to re-sit that particular examination module if the regulations allow).
- Loss of marks for the entire relevant examination module and all other examination modules sat previously (resulting in having to re-sit the entire qualification if the regulations allow).
- The student being not allowed to re-sit the relevant examination module for a specified period of time.
- The student not being allowed to sit or re-sit any other examination modules relating to that qualification for a specified period of time.
- The student not being allowed to sit or re-sit any other examination relating to any qualification awarded by CQI for a specified period of time.

## **6.10 Possible sanctions relating to malpractice or maladministration by examination venue staff/invigilators**

- A written warning about future examination conduct.
- Dismissal as a CQI invigilator.
- Notification to the organisation employing the individual to act as a member of examination venue staff or as an examination invigilator that the person in question is not permitted to have any involvement with CQI examinations until retrained in CQI procedures/ requirements to the satisfaction of the CQI.
- Notification to the organisation employing the individual to act as a member of examination venue staff or as an examination invigilator, that the person in question is not permitted to have any future involvement with CQI examinations at all.

**6.11 Communication of the Outcome of an Investigation into Malpractice or Maladministration by CQI**

- 6.11.1 When a case of suspected malpractice or maladministration has or has not been proven in the view of CQI Malpractice and Maladministration Committee, the individual(s) concerned will be notified in writing by the CQI within 48 hours of the decision being made.
- 6.11.2 If the case has been proven, CQI will provide details of the Committee's findings and what sanctions, if any, are to be applied.
- 6.11.3 If the case is proven, the individual(s) concerned will also be notified of any requirement on the CQI to report cases of proven malpractice or maladministration to the relevant authorities/regulators subject to completion of the process and only after time for appeal has passed or the appeal process has been completed.

**6.12 Right of Appeal against a CQI Malpractice and Maladministration Committee Decision/Sanction**

The individual(s) concerned has/have the right to appeal against any decision(s) or sanction(s) imposed by the CQI Malpractice and Maladministration Committee.

## **7. ACCREDITATION OF PRIOR ACHIEVEMENT (APA) POLICY**

### **7.1 Introduction**

- 7.1.1 Accreditation for Prior Achievement (APA) is a process which enables students to receive recognition and formal credit for learning acquired in the past through formal study, work and other life experiences. This policy outlines how students can claim exemptions, via certificated learning and experiential learning from units of the CQI qualifications.
- 7.1.2 Students can gain recognition for learning acquired through previous formal study via a process called Accreditation of Prior Certificated Learning (APCL) or for learning gained through other life experiences and study which has not been formally assessed via a process called Accreditation of Prior Experiential Learning (APEL).
- 7.1.3 The students must make any claim for APL against a whole unit. We cannot award credit via APL for the partial completion of a unit. The credits awarded are identical regardless of the route (APCL or APEL) taken to achieve them.
- 7.1.4 All prior learning and experience must be up to date and have been attained within the period of 5 years from start to finish.
- 7.1.5 In order to maintain the integrity of the qualification the CQI operates a 1/2 policy, which means that the maximum amount a learner could gain from APA is 1/2 of the total number of units.
- 7.1.6 CQI will not be able to give advice on the submission, therefore we recommend seeking support from the student's employer/education provider/organisation about claiming credit.
- 7.1.7 Only existing CQI students can apply for an exemption. Students need to submit "Unit exemption application form ED-40" for each unit they wish to get exemption for.
- 7.1.8 The onus is on the individual to prove 100% coverage required by the learning outcomes.

### **7.2 Accreditation of Prior Certificated Learning**

- 7.2.1 On the ED-40 Unit Exemption Application form the student needs to demonstrate how the learning outcomes of the chosen CQI unit are covered by previous learning and qualifications.
- 7.2.2 All certificated learning must be at the appropriate level. This may be from either of the following:
- Relevant qualifications relating to the unit subject from English, Scottish, Welsh and Northern Ireland Education Frameworks.
  - Relevant degree programmes from UK universities.
- 7.2.3 The syllabus content of the relevant qualification and photocopies of the certificate(s) of attainment for each qualification need to be attached. This will need to state which subject(s) and the level at which it was attained.

- 7.2.4 Providing evidence may involve working independently (employer/learning provider/organisation) towards identifying and producing appropriate evidence for prior learning which is broadly equivalent to the learning outcomes required for specific unit within the programme.

### **7.3 Accreditation of Prior Experiential Learning**

- 7.3.1 On the ED-40 Unit Exemption Application form the student needs to demonstrate how the learning outcomes of the chosen CQI unit are covered by previous experiential learning.
- 7.3.2 This is an account of learning that directs attention to the skills and knowledge gained from life or work-experience.
- 7.3.3 The student will need to compile evidence of previous experience in the form of a portfolio and accompany it with the application form.

### **7.4 The outcome**

Once the CQI has received the application form and the payment, the form will be forwarded to the CQI Assessors who will review it. The outcome of the application will be known within 2-3 weeks. The CQI will send a confirmation letter to the applicant. There is no certificate issued for an exemption.

## **8. CONFLICT OF INTEREST POLICY**

### **8.1 Introduction**

- 8.1.1 CQI qualifications take all instances where a potential conflict of interest could affect the security and robustness of its assessment processes, and so impact our learners, very seriously.
- 8.1.2 For all aspects of its work, CQI follows best practice and legislation so as to ensure that it carries out due diligence when appointing or recruiting any new contractor, partner or staff member. This includes identifying any potential conflicts of interest, to ensure that they can be appropriately managed.
- 8.1.3 As well as these routine measures, for qualifications CQI takes additional steps to monitor conflicts of interest and ensure that they do not have an adverse impact on our students and members. This process sets out these additional steps.

### **8.2 Identifying conflicts of interest**

- 8.2.1 When they first become aware of, or are considering, any new resource (whether a new work stream, contractor or member of staff), CQI education staff must take into account whether the new relationship or situation could lead to a conflict of interest. In the first instance they should bring any concerns to the attention of CQI's responsible officer.
- 8.2.2 This monitoring process will be supported by an annual review, as part of CQI's statement of compliance work, of all existing relationships and business that could have an impact on CQI's awarding function and processes. This will consider, assess and identify whether there are any changes that highlight potential conflicts of interest.
- 8.2.3 Once identified, potential conflicts of interest are assessed in the first instance by CQI's responsible officer, to determine whether they are:
- Minor – Instances where there is unlikely to be an impact on any awarding process or learner.
  - Moderate – Instances where the impact is likely to be containable and can be addressed through additional monitoring and oversight.
  - Major – Instances where there could be a severe impact on learners and substantial damage to CQI's processes or reputation.
- 8.2.4 The severity of the conflict of interest will also be assessed in light of who is involved in the issue, from independent contractors, through partners to member or processes within CQI.

8.2.5 The following key determines the likely severity of any conflict of interest that might occur as a result.

|           |             | Potential Impact |          |       |
|-----------|-------------|------------------|----------|-------|
|           |             | Minor            | Moderate | Major |
| Involving | Contractors |                  |          |       |
|           | Partners    |                  |          |       |
|           | Internal    |                  |          |       |

### 8.3 Managing conflicts of Interest

8.3.1 In most instances where a potential conflict of interest has been identified CQI will take steps to monitor and mitigate it by carrying out additional scrutiny. However, when the impact of the conflict of Interest could be major additional steps will be taken to alleviate the risk. Where those involved are:

8.3.2 Contractors – they will be removed from the assessment process and an alternative supplier will be identified.

8.3.3 Partners – additional scrutiny will be undertaken of the relevant processes by CQI staff, where necessary this might involve on site reviews.

8.3.4 Internal – whether CQI staff or processes, the issue will be immediately escalated for review to the CQI’s Chief Executive, and if necessary the board of trustees.

8.3.5 Where, despite this oversight process, a conflict of interest does occur that lead to an impact on learners, CQI will take reasonable and proportionate steps at the earliest most opportune point to mitigate and correct the effect on learners and processes.

### 8.4 Interests in assessment

8.4.1 Those involved in administering or developing CQI assessments are required to sign contracts and proactively identify conflicts of interest. CQI also does not allow anyone who is responsible for developing or externally reviewing assessments from teaching learners.

8.4.2 Where CQI only becomes aware of such a situation after the fact, all of the work and involvement of that participant will be reviewed and scrutinised by a separate, appropriate participant identified by CQI’s responsible officer, who will assess the likely impact of conflict of interest and recommend remedial actions.



## **9. EDUCATION CENTRE SANCTIONS POLICY**

### **9.1 Withdrawal of education centre status**

- 9.1.1 Education centre status may be withdrawn by written notice to the centre by the Chartered Quality Institute at any time:
- If the centre has not complied with the Centre Agreement, with the approval criteria or with any of Chartered Quality Institute's policies, regulations, requirements procedures and guidelines.
  - If there are major deficiencies in the assessment process and Chartered Quality Institute reasonably believes that the centre can no longer ensure the appropriate quality of assessment provision; and/or
  - By giving the centre a reasonable period of notice (but at least three months).
- 9.1.2 Education centre registration/approval may also be withdrawn by Chartered Quality Institute at any time if:
- payment for Chartered Quality Institute fees is not received in accordance with our payment terms
  - the education centre becomes bankrupt or insolvent or goes into liquidation, or any resolution or order is made for the purposes of voluntary or compulsory winding-up. The Chartered Quality Institute must be informed.
  - Chartered Quality Institute's assessors/examiners/staff encounter any violence or abuse from education centre staff.
- 9.1.3 Chartered Quality Institute may however decide not to withdraw education centre status immediately but to discuss the problem with the education centre and give a reasonable period within which to put it right, or we may opt for suspension.

### **9.2 Suspension of education centre status**

The Chartered Quality Institute may decide to suspend all or any of an education centre's activities (its ability to register candidates, for example) for a specified period of time or indefinitely. This may be in order to see if a situation can be remedied, or if we feel that it is appropriate to do so in order to protect candidates or Chartered Quality Institute, for example if the centre is subject of an investigation.

### **9.3 Provisions applying to both withdrawal & suspension of education centre status**

- 9.3.1 If the education centre has been given permission to use the CQI's centre logo or any other CQI's trademark that might come to an end.
- 9.3.2 The education centres must also destroy or return to us, as soon as we ask them to do so, the originals and any copies of any documents (in whatever medium) which belong to Chartered Quality Institute.
- 9.3.3 In order to help affected candidates, we expect centres to give them, within whatever time frame we specify, whatever information (about how they can complete their qualifications for example) or support we consider to be reasonable.
- 9.3.4 We will look to centres to make good any loss which the Chartered Quality Institute may suffer as a result of the withdrawal or suspension- if it happens as a result of anything which the centre has or has not done.