



## Policy Outline

1. Purpose of the Policy
2. Examination Responsibilities
3. Entries and Examination Registration for External Examinations
4. Internal Evaluation Methods
5. Examinations

## 1. Purpose of the Policy

The purpose of this policy is to ensure that:

- The planning, administration and management of examinations and assessment processes are conducted in the best interests of students;
- All examinations and assessment processes are conducted in line with national and international examining body regulations;
- All those involved in all aspects of examinations and assessment processes are familiar with their roles and responsibilities.

The policy document can be accessed at IPM website: <http://www.ipm.or.ke>( students downloads)

## 2. Examination Responsibilities

### Head-School of Management and Technical Studies

Responsible for the effective provision of all internal and external assessments:

- Ensure that all examinations and external assessment processes are conducted in accordance with national and awarding body regulations.
- Ensure that all of the College's students are provided with the opportunity to undertake all assessments in an organized, well controlled and supportive environment, enabling them to achieve their potential.
- Ensure that students, tutors and all relevant parties are aware of key dates and details regarding all course entries and external examinations.
- Oversee all results analysis.
- Direct and advise on all departmental examinations analysis reports.
- Oversee the dissemination, publication and celebration of results (Graduation).

## Heads of Departments(HOD)

To ensure that all relevant students for whom they are responsible are given the best opportunity possible to achieve in the relevant course units:

- Liaise with the Head of School and inform him/her of any new qualifications or courses to be considered for offer.
- Ensure that they and the tutors in their department are familiar with the relevant assessment frameworks and objectives for the various examinations.
- Ensure that all students are best prepared for external assessments through:
  - Long and medium term planning
  - Regular monitoring and formative assessment
  - Practice and intervention strategies.
- Ensure that all examination entries and coursework/ controlled assessment procedures are administered in a timely and efficient manner through:
  - Accurate completion of coursework mark sheets.
  - Accurate completion of entry forms and all other mark sheets
  - Adherence to deadlines as set by the Examination office.
- Ensure that their relevant examinations run as smoothly and effectively as possible
- Provide timely revision sessions prior to all external examinations, wherever possible
- Ensure that they or a representative of their department are present at the start of every formal examination in their units, to ensure that students and invigilators are clear on the examination contents.
- Analyze their department's examination performance data and review in light of this analysis, considering, performance by the teaching group, by sub groups e.g based on gender etc

## **Tutors**

- Submission of students' forecast grades, coursework and controlled assessment to Head of School of Management & Technical Studies.
- Maintain accurate records of students' progress, enabling accurate predictions of results.
- Identify students who are at risk of underperforming.
- Notify head of School of Management of students who may potentially require extra sessions arrangements.

## **Invigilators/Supervisors**

- Collection of examination papers and other material from the Examinations Office before the start of the examination.
- Oversee examinations, in line with national and international examination body regulations.
- Take an accurate register of all students sitting examinations.
- Collect all examination papers in the correct order at the end of the examination and ensure their return to the Examinations Office.

## **3. Entries and Examination Registration for External Examinations**

### **New Registration and Examination Registration**

- Students are expected to request for entry for the respective examinations under their examining body.
- Entry deadlines are circulated to HODs via email and to the students as well as the rest of the relevant parties by notices within the Institute premises or by any other appropriate media.
- The Institute through the Head-School of Management & Technical Studies has the responsibility of communicating the various deadlines for examination registration by the different examining bodies to the students in good time.

- Communication on examination registration deadlines shall be done at least two months before the deadline by way of notices within the Institute premises and through the tutors as well as by telephone (either by call or short message)
- The Institute shall have internal deadlines to allow time for the processing of the documents and payments to be submitted and remitted to the external examining body and the deadline shall always be at least three weeks before the external deadline.
- No extensions will be allowed to any late entries and the individual students who do not meet the deadline shall make their own arrangements to submit all the requirements to their respective examining body.
- In case of delays caused internally and errors committed during the processing of the registration or entry for new registrations and or examination entries the individual officers concerned will take responsibility and face appropriate disciplinary action.

### **Examination fees**

- The Institute will remit all external examination fees on behalf of students.
- Late entry or amendment fees are paid by the Institute, departments, individuals, or students/parents/guardians, according to who is responsible for the late action.
- Candidates or departments will not be charged for changes of course, withdrawals made by the proper procedures or alterations arising from administrative processes, provided these are made within the time allowed by the awarding bodies.

### **Special consideration**

- Should a student be ill before an examination, suffer bereavement or other trauma, be taken ill during the examination itself or otherwise disadvantaged or disturbed during an examination, then it is the student/ parent/ guardian's responsibility to alert the Institute, the Examinations Office, or the examination invigilator, to that effect.
- The student must support any special consideration claim with appropriate evidence within three days of the examination; for example, a letter from the student's doctor.

- The Head-School of Management & Technical Studies will then forward a completed special consideration form to the relevant awarding body within seven days of the examination.
- If an unforeseen event affects the running of an exam – for example a prolonged fire alarm or unexpected interruption – this instance should be reported to the Head-School of Management & Technical Studies who should apply for special consideration to the relevant examining body, of such an eventuality.

## **Certificates**

- Certificates are presented in person.
- Certificates may be collected on behalf of a student by a third party, provided they have a written authority to do so and the original national identification card/passport of the owner of the certificate.
- Replacement of certified copies of results is only done if a student pays the costs incurred.

## **Registration procedure**

The following procedure shall be followed while registering for all external examinations;

- i. All examination registrations shall be done at least three weeks before the external registration deadline to allow for all confirmations and corrections before the data and payments are submitted.
- ii. The student pays the required amount of examination fee through the bank and presents the receipt at the registration office.
- iii. Upon receiving the receipt, the student affairs office issues the student with the examination registration form which is filled in triplicate so that a copy is filed, another to be submitted to the exam body and the third copy left with the student.
- iv. The student affairs office then enters these data into the online system of the examining body where applicable.
- v. The student personal data and the units registered for are then captured in an excel sheet together with the payments.

- vi. The excel sheet is then printed and the data thereof confirmed by the students as being the correct information including the specific unit titles and total number of units registered for and the names.
- vii. The adjusted/corrected excel sheet is then printed and attached to the physical forms for submission to the examining body.
- viii. In case of a system generated printout of the registered students then this must be counterchecked and confirmed to tally with the excel sheet generated by the student affairs office.
- ix. The total amount of fees payable as per the excel sheet must be confirmed to tally either with the physical entries total or the system generated print out.

#### 4. Internal Evaluation Methods

This refers to the process of documenting, usually in measurable terms, knowledge, skills, attitudes, and beliefs of the individual learner, the class, the institution, or the educational system as a whole. Evaluation methods may take the form of;

**Assignments;** A task assigned as part of a course of study e.g. a homework assignment. These should be given as per schemes of work and proper marking, recording and documentation done within two weeks.

**CATS;** This is an educational policy in which students are examined continuously over most of the duration of their education, the results of which are taken into account in determining the final score for the unit at the end of the study. They should be administered to students at least once in a semester. These should be given as per schemes of work and proper marking, recording and documentation done within two weeks.

**Examinations;** This is a time-limited and individual assessment task conducted under supervision and within a specified examination period that is defined by the Institute. This excludes what is referred to as a 'take home". These should be given as per schemes of work and proper marking, recording and documentation done within three weeks.

**Projects/research papers;** This refers to the collection and evaluation of information about a particular subject as a requirement for fulfilment of a certain course. These should be given

as per schemes of work and proper marking, recording and documentation done early enough to avail the scores for external use.

**Examination records;** After marking and recording the marks are supposed to be forwarded to the supervisor within the prescribed time in prescribed format (two weeks for assignments and CATs and three weeks for final examinations).

## 5. Examinations

a) **Content of an exam** The content of each exam should adequately cover what has been learned for the unit that is basically all the topics in the unit. A standard exam question paper should have the following:

- Logo and name of the Institute together with the respective examining body.
- Course name and unit of examination.
- Examination duration in hours.
- Instructions.
- Questions in a format/style/language similar to the one used by the respective examining body for the course.
- The format of the examination paper should be in the exact format as that used by the respective external examining body.

b) **Preparation of Examinations;**

Each tutor is expected to set examinations/CATs/assignments for the units he/she handles. The tutor is to make at least two sets of an exam and their marking schemes.

c) **Timeline for setting of examinations;**

Each exam is to be set one month (30 days) before its scheduled time in the scheme of work.

d) **Frequency of the exams**

Each class is to have at least Two CATs and one end of semester examination in every semester of 3 months. Assignments should follow the scheme of work.

e) **Moderation of exams**

The Head-School of Management & Technical Studies will convene a meeting of tutors in each course to carry out the task of moderation of the set exams (End of semester



Exams). This is to be completed at least two weeks (10days) before the exams' scheduled time. The moderated exams shall remain in the custody of the Head-School of Management & Technical Studies until the day of the sitting.

**f) Supervision and invigilation**

A unit tutor should invigilate and mark CATS. Any other tutor should invigilate the end of semester exam, not the unit tutor, but he/she will mark the end of semester examination.

**g) Marking and submission of the marks**

All marks for CATS should be submitted to the Head-School of Management & Technical Studies two weeks (14 days) after the CAT date while examination marks/scores must be submitted within three weeks (21 days) from the exam date. The examination marks should be entered in the following format;

- Name and admission number
- Unit title
- Mode of study of the student
- Date of the exam
- Tutor's name
- The score against the expected total
- Type of exam e.g. CAT, Final Exam

**h) Recording and Documentation;**

All students' answer sheets should be given back after marking and recording is done. Recording and documentation is to be done by the tutors using the prescribed format within the stipulated timelines. All these marks are to be submitted to the Head-School of Management & Technical Studies for processing of transcripts and progress reports.

**i) Supplementary and Make Up Exams;** All supplementary exams will be sat 2 weeks (10 days) after the release of the results. Make-ups should be sat before the release of results of the first exams; otherwise they are done together with supplementary exams. The marking, recording and documentation of supplementary exams and make-ups follow the rules as in (g) and (h) above.

**j) Examination Procedures**

For purposes of this section, examinations refer to formal, written evaluations scheduled during the designated exam period at the end of the semester.

1. All students must bring their student ID to write an examination and produce it if requested by the invigilator.
2. All the students who attend an examination must sign the attendance register and the invigilator should confirm the number in attendance as per the register and as per the number of answer booklets collected. The invigilator should explain any discrepancies between these two by remarking on the attendance register.
3. All answer booklets/sheets must be handed in at the end of the exam.
4. Students arriving late will only be admitted to the exam room within the first 30 minutes of the start time of the exam other than for extenuating circumstances **as determined by the invigilator**. Students arriving late will not be allowed any extra time to write the exam.
5. A student who arrives late and is not admitted to the exam room should have the exam invigilator record his/her name and the time she/he arrived, or go immediately to the Head-School of Management & Technical Studies and have the time she/he arrived for the exam and the reason why she/he was late recorded. **Valid reasons could include but are not limited to the following: death in a family, illness, or other circumstances beyond the student's control.**
6. **Documentation of the just circumstances must be received by the Head-School of Management & Technical Studies within 3 working days.** The documentation will be reviewed and the decision will be communicated to the student within 3 working days.
7. Students cannot leave the exam room for the first 40 minute after the exam has started, other than for justifiable circumstances **as determined by the invigilator**

In order to prevent disruption to those students who are completing their exam, students cannot leave the exam room in the last 15 minutes of the scheduled exam other than for justifiable circumstances **as determined by the invigilator**.

#### k) Examination Schedule

The Institute will ensure the final examination period is scheduled each semester, the final week of the semester shall be scheduled for continuous two-hour period examinations or any other period in conformity with the provision of the respective external examining body for each course unit for testing, review, etc.

#### **l) Conduct of Students During Examinations**

- Students must be ready to be admitted into the examination hall, at least, ten (10) minutes before the time appointed for the commencement of the examination. Candidates should therefore, refrain from studying in halls and lecture rooms earmarked for examinations.
- Candidates arriving more than half an hour after the examination has started shall not be allowed to participate in the examination, or may be admitted only at the discretion of the Invigilator (i.e. provided the cause(s) of lateness by the student are reasonable, cogent and sufficiently convincing)
- Students must display their Institutes Identification cards during each examination
- Candidates are warned, in their own interest, to ensure that lecturer notes, textbooks, bags, mobile telephones, etc. are not brought into the examination hall.
- While the examination is in progress, communication between candidates is strictly forbidden, and any candidate found to be giving or receiving irregular assistance will be required to withdraw from the examination.



## **POLICY ON DATA PROTECTION**

### **Purpose of the Policy**

The objective of this policy is to establish guidelines for the collection and utilization of Personal Data by the Institute. This policy outlines the framework for gathering Personal Data, whether directly from individuals by Institute or through third-party sources. Additionally, it delineates the Institute's procedures for the management, utilization, transmission, and storage of Personal Data.

### **Access to the Policy**

The policy document can be accessed at IPM website: <http://www.ipm.or.ke>( students downloads)

### **Scope of Application**

Policy applies to all staff, volunteers or those processing data on behalf of the Institute of Pension Management(IPM). This policy applies regardless of where the data is held i.e. if the personal data is held on personally-owned equipment or outside IPM property. This policy also applies to any expression of opinion about an individual, personal data held visually in photographs or video clips (including CCTV), and sound recordings.

### **Statement of the Policy**

The Institute of Pension Management (IPM) takes its responsibilities with regards to Article 31(c) of the 2010 Constitution, the Data Protection Act no. 24 of 2019(amended), and the Data Protection (General) Regulations, 2021 very seriously. The document provides the policy framework through which effective management of Data Protection matters can be achieved. The purpose of this policy is to ensure that the Institute and its staff comply with the laws of Kenya when processing personal data.

The Institute (IPM) is the data controller. The Institutes holds personal data about students, parents, staff and other individuals in order to carry out its business and provide its services. For example, this information could include name, address, email address and date of birth. No matter how it is collected, recorded and used, this personal information must be dealt with properly to ensure compliance with data protection legislation.

## **Background information**

### **Definitions**

Data Breach - a breach of security leading to the accidental or unlawful destruction, loss, alteration, unauthorised disclosure of, or access to, personal data transmitted, stored or otherwise processed.

Data Controller – the natural or legal person, public authority, agency or other body which, alone or jointly with others, determines the purposes and means of the processing of personal data.

Data Processor - a natural or legal person, public authority, agency or other body which processes personal data on behalf of the controller.

IPM – Institute of Pension Management

Personal Data – any information relating to an identified or identifiable natural person (Data Subject); an identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person.

Processing Data – any operation or set of operations which is performed on personal data or on sets of personal data, whether or not by automated means, such as collection, recording, organisation, structuring, storage, adaption or alteration, retrieval, consultation, use, disclosure by transmission, dissemination or other making available, alignment or combination, restriction, erasure or destruction.

Sensitive Personal Data – data revealing ethnic origin, political opinions, religious or philosophical beliefs or trade union membership, genetic or biometric data, data containing health or a person's sex life or sexual orientation.

## The Principles of Data Protection

Any member of staff processing personal data must comply with the principles of Data Protection as per the Data Protection Act, 2019 and relevant regulations. The principles require that personal data shall be:

1. **Lawful, Fair, and Transparent Processing:** Personal data must be processed lawfully, fairly, and in a transparent manner. Data subjects should be informed of the purposes for which their data is being collected and processed.
  2. **Purpose Limitation:** Personal data should only be collected and processed for specific, explicit, and legitimate purposes. Data controllers should not use the data for incompatible purposes.
  3. **Data Minimization:** Data collected and processed should be adequate, relevant, and limited to what is necessary for the intended purpose. Excessive data collection should be avoided.
  4. **Accuracy:** Personal data must be accurate and, where necessary, kept up to date. Reasonable steps should be taken to ensure inaccurate or incomplete data is corrected or erased.
  5. **Storage Limitation:** Personal data should not be kept for longer than necessary for the intended purpose. Data controllers are required to establish appropriate retention periods.
  6. **Integrity and Confidentiality:** Personal data must be processed in a manner that ensures its security, including protection against unauthorized or unlawful processing, accidental loss, destruction, or damage.
  7. **Accountability:** Data controllers are responsible for compliance with the data protection principles. They must demonstrate their adherence to these principles and be able to show that they have taken appropriate measures to ensure data protection.
  8. **Data Subject Rights:** Data subjects have various rights, including the right to access their personal data, rectify inaccuracies, erase data under certain conditions, restrict processing, and object to processing in certain cases.
  9. **Consent:** Consent of the data subject is required for processing personal data, and it must be freely given, specific, informed, and unambiguous. Consent can be withdrawn at any time.
  10. **Transfer of Personal Data:** Personal data can only be transferred to countries or international organizations that ensure an adequate level of data protection. Data transfers outside of Kenya must comply with the applicable legal requirements.
  11. **Special Categories of Data:** Special categories of personal data, such as sensitive or biometric data, are subject to additional protections due to their sensitive nature.
- be responsible for, and be able to demonstrate, compliance with the principles.

The Institute is fully committed to complying with all these principles with respect to all personal data processing. The Institute has a number of policies and procedures in place, including this Policy and the documentation referred to in it, to ensure that IPM and staff adhere to these principles and can demonstrate compliance.

## Identifying a Lawful Basis for Processing Data

The responsibility for identifying a lawful basis for processing personal data lies with the Institute (IPM).

## **Sensitive Personal Data**

Sensitive personal data, also referred to as "special category data," demands heightened protection due to its sensitivity. The Institute is fully dedicated to ensuring the secure handling of sensitive personal data, limiting its processing to necessary instances. To enhance the security of sensitive personal data, IPM is responsible for establishing two distinct legal bases for processing, as defined by Kenyan law.

## **Data Users**

Data Users, referred to as Data Subjects, possess the right to access all information held IPM about them. To exercise this right, they must initiate a request known as a Subject Access Request. These requests should be promptly directed to the Compliance Officer, who will oversee adherence to the Data User Procedure.

## **Data Breaches**

In the event of a data breach, immediate reporting to the Compliance Officer is imperative, followed by adherence to the Data Protection Breach Procedure.

If uncertainty arises among staff regarding a potential data breach, it is advised to report the matter to the Compliance Officer regardless. The Compliance Officer will determine if a breach has occurred and whether the Data Protection Breach Procedure should be followed.

## **Retention of Data**

Personal data must be retained only for the duration necessary to fulfil its original purpose of collection. Once data becomes unnecessary, secure disposal measures must be undertaken. The Institute has established mechanisms outlining the appropriate duration for retaining each type of record.

## **Data Processors**

are instances where third parties, such as Media or marketing consultants, process the personal data held by the Institute. In such cases, the external party operates as the Institutes Data Processor and is bound by the Institutes Data Protection Policy. A written agreement to this effect is always in place.

## **Data Sharing**

There are occasions where the College must share information with others, for example funding bodies, Local Authorities and Awarding Organisations/Bodies. Where this happens, the basis of the sharing is either covered in the College's contract with that organisation or is the subject of a Sharing Agreement.

Sometimes the College will share information because it is obliged to do so by law, for example, a request from the Police during their enquiries into a crime. In these situations, the College will not seek the permission from the individual concerned; neither will the College tell them that it has provided the information.

If a student or member of staff wants the College to share data with someone else, for example a solicitor, this can only be done with the student or member of staff's written consent. All such requests are dealt with under the Subject Access Request Procedure.

For learners under the age of 18 at the start of their programme of study, key data will be shared with parents / guardians.

Sometimes the College receives requests for information under the Freedom of Information Act. The College recognises the need to balance the confidentiality of personal data against a desire to be open and transparent about its activities. However, when these two factors conflict, greater weight will always be given to data confidentiality.

### **Data Sharing Guidelines**

1. Purpose of Information Sharing: The Institute may need to share information with external parties, such as funding bodies, Local Authorities, and Awarding Organisations/Bodies. This sharing is based on contractual agreements or Sharing Agreements.
2. Legal Obligations: In certain cases, the Institute may share information as required by law, such as responding to Police inquiries during a criminal investigation. Permission from individuals or notification is not sought in such instances.
3. Requested Data Sharing: If a student or staff member wishes to share data with a third party, like an advocate, their written consent is mandatory. Such requests are handled through the compliance officer.
4. Learners under 18: For learners under 18 at program commencement, essential data may be shared with parents/guardians.
5. Freedom of Information Requests: While valuing transparency, the Institute may weigh data confidentiality against openness when responding to requests under the Freedom of Information laws of Kenya. Data confidentiality takes precedence.

### **Transferring Personal Data to a Country Outside Beyond Kenya**

This shall be in line with the Data Protection Act and Regulations of Kenya including: a determination regarding the adequacy of data protection in foreign countries, consent for the transfer personal data beyond Kenya, data transfer agreements, liability for any damages caused due to the transfer of personal data in violation of the Data Protection Act.

### **Responsibilities and Roles:**

#### **The Institute's(IPM) Responsibilities:**

1. Establish, update, and ensure legal compliance of policies and procedures.
2. Familiarize and educate staff about this policy.
3. Provide data protection training to the staff.

#### **Responsibilities of IPM Compliance Officer:**

1. Manage subject access requests.
2. Investigate breaches of data protection.
3. Develop guidelines for sound data protection practices.
4. Offer advice to staff on data protection inquiries.

#### **IPM Staff Responsibilities:**

1. Adhere to this policy and supplementary policies and procedures.
2. Access others' personal data only as required.
3. Verify and maintain accuracy of their personal data shared with IPM.
4. Notify IPM of any personal data changes.
5. Report inaccuracies in information held by IPM about them.
6. Safeguard all personal data securely.
7. Refrain from disclosing personal data to unauthorized third parties, whether verbally or in writing.



8. Adhere to IPM's data retention schedule for personal data.
9. Promptly direct data protection queries, including subject access requests, to IPM Compliance Officer.
10. Immediately inform IPM Compliance Officer of any data protection breaches and assist in their resolution.

### **Responsibilities of Students and Other Users:**

1. Ensure the accuracy and currency of any personal data provided.
2. Promptly notify the College of any changes to personal data.
3. Notify the College if they discover any inaccuracies in the information held by the College about them.

### **Rights of Individuals:**

The Institute is committed to upholding the Constitution 2010 and the Data Protection laws and enabling individuals to exercise their rights regarding their information. These rights encompass:

1. The right to receive information.
2. The right to access.
3. The right to rectification.
4. The right to erasure (also known as the right to be forgotten).
5. The right to limit processing.
6. The right to data portability.
7. The right to raise objections.
8. Rights linked to automated decision-making and profiling.

### **Policy Target Group and Awareness**

The following training and awareness will be put in place:

<b>Who?</b>	<b>How?</b>
Students	Learning agreement at enrolment and student handbook
All teaching staff	'All Staff' e-mail; visits to team meetings if requested.
Business Support staff who interact with students	'All Staff' e-mail; visits to team meetings if requested.



## Conflict of Interest Policy and Procedures



### **Introduction**

The Institute of Pension Management(IPM) adopted this policy to regulate conflicts of interest so as to ensure that its activities, and those of its staff and students, are conducted within acceptable standards of ethics and integrity.

The policy document sets out the following:

- A. IPM Policy Statement
- B. Scope of the Policy
- C. Recognising Conflict of Interest
- D. Policy Procedures

The policy document can be accessed at IPM website: <http://www.ipm.or.ke/students/downloads>

**A. IPM Policy Statement**

1. The Institute reassures its students and staff to engage in a wide variety of external activities, such as serving on government, business and community boards, providing expert advice, media commentary, professional practice, schools outreach, international projects and collaborations with the commercial world, including through consultancy, research and development inter alia.
2. The Institute considers that such activities are keen to be in the public interest and are also of benefit to the Institute and those concerned.
3. At times, however, they may give rise to conflicts of interest, whether potential or actual, perceived or alleged.
4. All members of IPM, including staff and students, are expected to identify and reveal any activities that could potentially lead to conflicts of interest or the appearance of such conflicts. It is crucial to ensure that these conflicts are appropriately handled or prevented.
5. When conflicts are effectively managed, normal activities can generally proceed while still upholding the individual's responsibilities to IPM. This approach also ensures compliance with external regulations and requirements, safeguarding both IPM's reputation and the integrity of its members. In contrast, inadequate management of conflicts may endanger IPM's public image and result in significant harm to both IPM and individuals' reputations.
6. Consequently, IPM is committed to promoting and nurturing external engagements, while simultaneously requiring the acknowledgment and disclosure of conflicts or potential conflicts of interest. In relevant instances, these conflicts will be duly managed.

## **B. Scope**

7. This Policy applies to all staff and students of IPM:
  - This statement establishes the scope of the policy, indicating that it pertains to both staff members and students within the college.
8. It is the responsibility of each individual to recognize situations in which he or she has a conflict of interest, or might reasonably be seen by others to have a conflict, to disclose that conflict to the appropriate person and to take such further steps as may be appropriate as set out in more detail under the procedure below (see further in Section D below):
  - This statement emphasizes the individual responsibility to identify potential conflicts of interest, whether they are actual or perceived by others. Individuals are required to report these conflicts to the

appropriate person and follow the procedures outlined in Section D of the policy.

9. If an individual is uncertain about how this Policy might affect his or her activities or has any questions about its application, he or she should contact the appropriate person, as set out in paragraph 19:

- This statement provides guidance to individuals who are unsure about how the policy applies to their specific situations. It directs them to reach out to a designated contact person, as specified in paragraph 19 of the policy document.

### C. Recognising Conflict of Interest

10. A conflict of interest arises where the commitments and obligations owed by an individual member of staff or student to IPM are likely to be compromised, or may *appear* to be compromised, by:

10.1 That person's personal gain, or gain to immediate family (or a person with whom the person has a close personal relationship)<sup>1</sup>, whether financial or otherwise.

10.2 The commitments and obligations that person owes to another person or body.

11. There can be situations in which the appearance of conflict of interest is present even when no conflict actually exists. Thus it is important for all staff and students when evaluating a potential conflict of interest to consider how it might be perceived by others.

12. The duty to declare a possible conflict applies to the perception of the situation rather than the actual existence of a conflict. However, the duty is not infringed if the situation cannot reasonably be regarded as likely to give rise to a conflict of interest.

13. Conflicts of interest may be financial or non-financial or both. Further information about both types is set out below.

#### *Financial conflicts of interest*

14. A financial conflict of interest, for the purposes of this Policy, is one where there is or appears to be opportunity for personal financial gain, financial gain

<sup>1</sup> For the purpose of this policy, 'immediate family' is defined as follows: spouse or civil partner, son, daughter. However, the 'close personal relationship' giving rise to an interest could extend to the following (this is not intended to be an exhaustive list): unmarried partner, parent, brother, sister, grandparent, grandchild, mother-in-law, father-in-law, sister-in-law, brother-in-law, son-in-law, daughter-in-law, the (unrelated) child of an unmarried partner, as well

as half and step members of family) to close relatives or close friends, or where it might be reasonable for another party to take the view that financial benefits might affect that person's actions.

15. Financial interests, encompassing various forms of monetary value, hold significance in determining potential conflicts of interest. These interests include:

15.1. Payments for services.

15.2. Equity interests, such as stocks, stock options, or ownership stakes.

15.3. Intellectual property rights, including patents, copyrights, and royalties.

16. However, the magnitude of these financial interests does not singularly dictate the necessity for disclosure. What may appear insignificant to one individual could bear substantial weight for another. Optimal practice often entails the disclosure of every financial interest, regardless of its scale.

A conflict arises not merely from the degree of financial interest, but from the potential for such interest to incentivize the individual's actions. This influence becomes pertinent when the individual possesses the capacity to impact decisions within IPM setting or other activities. This scenario arises when the individual occupies a role like that of a decision-maker or principal investigator in a research endeavor.

#### D. Procedure

17. It is the duty of every member of staff or student to disclose any conflict of interest or any circumstances that might reasonably give rise to *the perception* of conflict of interest. Apparent or perceived conflicts of interest can be as damaging as actual conflicts of interest.

18. The general rule is that disclosure should be made *at the time the conflict* first arises, or it is recognised that a conflict might be perceived, in writing to IPM accounts. If IPM accounts has an interest in the matter to be discussed, the disclosure shall be made to the finance manager.

19. In the case of students, the student should discuss the relevant issues with Head-School of Management & Technical Studies, who, where appropriate, will consult with IPM accountant following which an approach for dealing with the conflict might be agreed.

20. In cases arising in relation to student admissions processes, a disclosure should be made in writing to the Head-School of Management & Technical

Studies, who, where appropriate, will consult with the IPM accountants following which an approach for dealing with the conflict might be agreed.

21. Many situations will require nothing more than a declaration and a brief written record of that declaration, which must be held in the Institutes' records.

22. Some instances will however need to be dealt with by agreeing how the conflict can be actively managed. The approach adopted should be documented and copies provided to the relevant parties. A copy of the final plan will be kept at the Institutes records. To manage the conflict of interest, one or more of the following strategies may be suitable:

- 22.1 Abstaining from participating in discussions regarding specific matters;
  - 22.2 Refraining from engaging in decisions related to particular matters;
  - 22.3 Referring certain matters to others for decision-making;
  - 22.4 Making a commitment not to act as the supervisor for a specific individual;
  - 22.5 Divesting or placing specific financial interests in a trust;
  - 22.6 Issuing a notice of interest publicly;
  - 22.7 Recusing oneself from any involvement in a specific project;
  - 22.8 Disclosing an interest to a specific sponsor or third party.
23. It is the responsibility of those impacted to adhere to the agreed-upon approach.







## **Malpractice Policy and Procedures**

### **Access to the Policy**

The policy document can be accessed at IPM website: <http://www.ipm.or.ke> (students downloads)

### **Introduction**

The Institute of Pension Management (IPM) treats all cases of suspected malpractice very seriously and will investigate all suspected and reported incidents of possible malpractice, whether or not described below, where there are sufficient grounds to do so.

All students and staff are expected to observe all IPM regulations, policies and procedures that govern the effective organisation and management of specific areas of activity within the Institute, including those relating to financial requirements, health and safety, the use of IT resources, and recreational facilities.

The Institute will also report to the Kenyan Authority all claims of suspected malpractice either by candidates or Centre staff, academic and administrative.

Failure to notify, investigate and report allegations of suspected malpractice constitutes malpractice. Also failure to take action as required by IPM or to co-operate with legal authority investigation constitutes malpractice.

The purpose of this document is to set out how allegations of malpractice are dealt with. The scope of the policy is to provide:

- A definition of malpractice;
- Examples of Centre malpractice and student malpractice;
- How to report suspected malpractice;
- The procedure for investigating suspected malpractice; and
- Possible sanctions that may be imposed in cases of malpractice.

The Malpractice policies and procedures will be disseminated to all staff and students through IPM web site and staff and student handbooks.

## **1. Terminology and Definitions**

Malpractice means any act, default or practice (whether deliberate or resulting from neglect or default) which is a breach of IPM rules and regulations, government legal requirements including any act, default or practice which:

- Compromises, attempts to compromise or may compromise the process of assessment, the integrity of any qualification or the validity of a result or certificate; and/ or certificate; and/or
- Damages the authority, reputation or credibility of IPM, the examiner and its employee(s) or agent(s).

Malpractice can arise for a variety of reasons:

1. Some incidents are intentional and aim to give an unfair advantage or disadvantage in an examination or assessment (deliberate non-compliance). Examples might include:
-

- Failure to carry out adequate /published internal quality assurance arrangements
  - Completing assessment work on behalf of learners; or
  - Falsification of information leading to certification
2. We define maladministration as including incidents that arise due to ignorance of Kenya National Qualifications Authority(KNQA) requirements, carelessness or neglect in applying the requirements. Examples might include:
- Seeking approval to offer a new qualification after the deadline for new approval applications has passed, or
  - Requesting late certification of learners after a regulated qualification's certification end date

Malpractice can include both maladministration in the assessment and delivery of KNQA qualifications and deliberate non-compliance with KNQA requirements.

Whether intentional or not, it is necessary to investigate and act upon any suspected instances of malpractice, to protect the integrity of the qualification and to identify any wider lessons to be learned.

Where KNQA becomes aware of concerns of possible malpractice, its approach will be fair, robust and proportionate to the nature of the concern. These procedures will be applied where KNQA's view is that there is a risk to the integrity of certification, which is not being successfully managed through our regular processes, for example verification.

### **3. Candidate Malpractice**

Candidate malpractice means any type of malpractice by a candidate which threatens the integrity of an examination or assessment. Any cases of candidate malpractice must be reported to KNQA. Malpractice by a candidate can occur, for example, in:

- The preparation and authentication of coursework
- The preparation or presentation of practical work
- The compilation of a portfolio of assessment evidence
- The completion of an examination paper, or the controlled write-up stage of externally assessed coursework; and
- Conduct during or after an assessment

The following are examples of candidate malpractice, but you should be vigilant to other instances of suspected malpractice that may undermine the integrity of qualifications. Examples could include:

- Breaching the security of assessment materials in a way which threatens the integrity of any exam or assessment – including the early and unauthorised removal of a question paper or answer booklet from the examination room.
- Collusion with others when an assessment must be completed by individual candidates.
- Copying from another candidate (including using ICT to do so) and / or working collaboratively with other candidates on an individual task.
- Misconduct – inappropriate behaviour in an assessment room that is disruptive and / or disrespectful to others. This includes talking, shouting and / or aggressive

behavior or language, and having a prohibited electronic device that emits any kind of sound in the assessment room.

- Frivolous content – producing content that is unrelated to the assessment.
- Offensive content – content in assessment materials that includes vulgarity and swearing that is out with the context of the assessment, or any material that is discriminatory in nature.
- Personation – assuming the identity of another candidate or a candidate having someone assume their identity during an assessment.
- Plagiarism - failure to acknowledge sources properly and / or the submission of another person's work as if it were the candidate's own.
- Prohibited items – items that candidates must now have with them at their allocated seat in the exam room because they can give an unfair advantage, including: mobile phones; electronic devices such as an MP3 player, iPod, tablet, smartwatch or any other device that is web-enabled or stores information; books, notes, sketches or paper; pencil case; calculator case; calculator or dictionary (except in specified subjects – unless any of these things have been approved by KNQA as part of an assessment arrangement).

#### **4. Centre Malpractice**

Cases of malpractice by staff arise for a variety of reasons:

Any incidents that are intentional and aim to give an unfair advantage in an examination or assessment or other academic misconduct (non-compliance). Any cases of centre malpractice must be reported to KNQA. This includes cases of:

- Knowingly allowing an individual to impersonate a student or staff;
- Allowing a student to copy another student's assignment work, or allowing a student to let their own work be copied;
- Allowing students to work collaboratively during an assignment assessment, unless specified in the assignment brief;
- Allowing a student to possess and/or use material or electronic devices that are not permitted in the examination room;
- Completing an assessed assignment for a student or providing them with assistance beyond 'normally' expected;
- Damaging a student's work;
- Exposing any information to anyone other than the student; and
- Failing to report a suspected case of student malpractice, including plagiarism.

Any incidents that arise due to ignorance of KNQA requirements, carelessness or forgetfulness in applying the requirements (maladministration). This includes:

- Maladministration and the failure to maintain appropriate records or systems;
- The deliberate falsification of records or documents for any reason connected to the award of any qualification;
- Failure to keep examination question papers, examination scripts or other assessment materials secure, before during or after an examination; and
- Leaving students unsupervised during an examination.

## **5. Procedures of reporting a suspected case of malpractice**

This process applies to, lecturers, including visiting lecturers, invigilators, students and administration staff.

Any case of suspected malpractice should be reported in the first instance to IPM academics office

1. Depending on the seriousness of the malpractice:
  - Suspected malpractice must be reported as soon as possible to the person identified, and at the latest within two working days from its discovery. Where the suspected malpractice has taken place in an examination, the incident be reported urgently, and the appropriate steps taken as specified by KNQA.
  - A written report to be sent to the person identified, clearly identifying the factual information, including statements from other individuals involved and / or affected, any evidence obtained, and the actions that have been taken in relation to the incident.
  - Wherever possible other students are not disrupted by actions to be taken.
2. The individual suspected of malpractice should be warned immediately that their actions may constitute malpractice, and that a report will be made to IPM academics office and ~~unlady~~ to KNQA.
3. In cases of suspected malpractice by IPM academic staff, invigilators and administration staff, the report should include as much information as possible, including the following:
  - a) the date time and place the alleged malpractice took place,
  - b) the name of the centre teacher/tutor, invigilator or other person(s) involved,
  - c) a description of the suspected malpractice, and
  - d) any available supporting evidence.

In cases of suspected malpractice reported by a third party, or an individual who wishes to remain anonymous, IPM will take all reasonable steps to authenticate the reported information and to investigate the alleged malpractice.

## **6. Reporting suspected malpractice to KNQA**

All cases of suspected malpractice must be reported to KNQA:

Any suspected cases of centre malpractice must be reported to KNQA as soon as we have carried out an initial screening exercise to establish the nature of the concern. This includes any concerns where we take the view that no further action is necessary. We must inform KNQA of any investigation carried out by an awarding body, industry body, funding agency or regulator which may or may not affect the delivery of KNQA qualifications. We must also promptly bring to KNQA's attention any findings of centre malpractice or maladministration communicated to us by another awarding or industry body.

We must notify KNQA promptly if another awarding body removes approval from our centre, regardless of the reason given for this withdrawal. KNQA expects centres to bring candidate malpractice concerns for internal assessments to their attention only if:

- the concern came to our centre's attention after submission of internal assessment marks
- the concern relates to candidate malpractice for a qualification regulated by KNQA Accreditation, Of qual or Qualifications Wales
- a candidate affected by a malpractice decision, who has exhausted their right of appeal within our centre, wishes to exercise their right of appeal to KNQA ; or
- there are other exceptional circumstances, eg we believe that the malpractice case involves a criminal act (if the malpractice involves a criminal act the matter must also be reported to the police)

## **7. Investigating suspected cases of malpractice**

- IPM will investigate each case of suspected or reported malpractice to ascertain whether malpractice has occurred. The investigation will aim to establish the full facts and circumstances. Any suspected cases of malpractice must be reported to KNQA (see above).
- IPM will promptly take all reasonable steps to prevent any adverse effect that may arise as a result of the malpractice, or to mitigate any adverse effect, as far as possible, and to correct it to make sure that any action necessary to maintain the integrity of KNQA accredited qualifications and reputation is taken.
- IPM will acknowledge all reports of suspected malpractice within five working days. All the parties involved in the case will then be contacted within 14 working days of receipt of the report detailing the suspected malpractice. IPM may also contact other individuals who may be able to provide evidence relevant to the case.
- The individual(s) concerned will be informed of the following:
  - that an investigation is going to take place, and the grounds for that investigation;
  - details of all the relevant timescales, and dates, where known;
  - that they have a right to respond by providing a personal written response relating to the suspected malpractice (within 14 working days of the date of that letter);
  - that, if malpractice is considered proven, sanctions may be imposed either by IPM or by KNQA, reflecting the seriousness of the case;
  - that, if they are found guilty, they have the right to appeal against a malpractice outcome if they believe that the policy or procedure has not been followed properly or has been implemented to their detriment.

IPM has a duty to inform KNQA and other relevant authorities/regulators, but only after time for the appeal has passed or the appeal process has been completed.

This may also include informing the police if the law has been broken and to comply with any other appropriate legislation.

Where more than one individual is contacted regarding a case of suspected malpractice, for example in a case involving suspected collusion, we will contact each individual separately, and will not reveal personal data to any third party unless necessary for the purpose of the investigation.

Records of all malpractice cases and their outcomes are maintained by IPM for a period of at least Eight years and are subject to regular monitoring and review. Retention of records of all investigations of malpractice to be provided to KNQA on request.

## 8. Actions and Sanctions if malpractice is proven

Following an investigation, if a case of malpractice is upheld, IPM may impose sanctions or other penalties on the individual(s) concerned in line with the seriousness of the malpractice that has occurred. Where relevant we will report the matter to KNQA, and KNQA may impose one or more sanctions upon the individual(s) concerned.

At any stage of the procedure the outcome of the investigation will be one of the following:

- **Case dismissed**, as there is insufficient evidence to substantiate the allegation(s), or
- **Sanctions** to be applied.

Sanctions listed below may be applied to a student, to a lecturer, tutor, invigilator or other staff who has had a case of malpractice upheld against them on a case-by-case basis. This is when there is evidence to support the allegation(s) with the result that an appropriate type of sanction is recommended.

If the allegation is upheld, then at any stage of the procedure the person(s) investigating the alleged offence can recommend one or more of the following sanctions (in order of severity) as

deemed appropriate to the gravity of the offence, the context of the malpractice, and whether the allegation is a first or repeated malpractice:

- **Informal verbal warning**, the matter to be resolved through counselling, advice, apology or a compromise agreement.
- **Formal verbal warning**, the verbal warning will be recorded in the personnel file for future reference. The note/record to be signed by the concerned individual suspected with malpractice.
- **A written warning** - Warning given to student or staff will be taken into account should there be any future breach of IPM rules and malpractice cases.
- **Warning with Revision of Marks** - Marks awarded will be revised in cases of collusion and plagiarism.
- **Notification** to any other organisation, employer, regulator or the police depending on the severity of the malpractice.
- **Suspension** while an investigation is being carried out.
- **Removal/expulsion** from the programme.
- **Fines and compensation payments**, this would mainly be applied to the students receiving financial support (full or partial bursary for their study).
- **Cancellation** of the award.
- **Imposition of special conditions** for the future involvement of the individual(s) in the conduct, teaching, supervision or administration of students and/or examinations.
- **Dismissal** from employment.

8.1 The outcome of any disciplinary or appeal hearing will be based on the balance of probability after considering all the evidence.



- 8.2 At the end of each stage the student should be informed of the outcome of the procedure and should agree to any recommendations for sanctions. In relation to verbal warnings a note is made on the student's file, which they signs.
- 8.3 Written warnings are also signed by the student or staff and remain on their file for a specified period of time, normally one year and usually state the consequences if the offence is repeated.
- 8.4 Fines and compensation payments should pay due regard to the means of the student and may allow time for the payment to be made or to be discharged in instalments. If the recommendation involves suspension, fines, dismissal, expulsion and/or cancellation of the award, then verification must be sought from IPM board or their nominee.
- 8.5 At any stage in the malpractice procedure IPM reserves the right to recover any damages that it has incurred as a result of action by the individual concerned.
- 8.6 The individual charged with the allegation of misconduct has the right of appeal at any stage of the procedure and against any form of recommended sanction as well as against a suspension while an investigation is being carried out. If an appeal is upheld, then the process moves automatically to a higher stage or the suspension is removed.

## **9. Appeal against alleged malpractice cases and sanctions**

Individuals, who have valid grounds on which to report a malpractice or to appeal against a malpractice decision, should raise the matter promptly. Where an appeal arises from a communication of IPM decision, this must be submitted within 30 days following receipt by the candidate of the formal feedback.

An appeal should be forwarded to KNQA providing information including:

- Candidate's name and address;
- The programme of study the candidate is undertaking;
- Specific details of the ground(s) for the appeal;
- Any other information which the applicant feels is relevant. All relevant information should be submitted at one time and IPM will not consider information which is submitted later in the process without good reason; and
- An indication of the outcome being sought (without prejudice to the final outcome).

- 9.1 After the candidate has received formal written feedback of the decision from the investigation into the suspected malpractice by IPM with regard to the appeal.

We have the right to appeal a decision where a case of reported malpractice by our centre has been confirmed through investigation by KNQA. We also have the right to appeal a decision in the case of suspected malpractice by a candidate reported by our centre to KNQA.

Candidates have the right to appeal to KNQA where:

- KNQA has conducted an investigation and the candidate disagrees with the decision
- our centre has conducted an investigation, the candidate disagrees with the outcome and has exhausted our centre's appeals process
- KNQA has asked our centre to conduct an investigation and the candidate disagrees with the outcome and has exhausted our centre's appeals process,

and for regulated qualifications only:

- Our centre and our candidates have the right to request a review by the appropriate regulator (KNQA Accreditation, of equal or Qualifications Wales) of the awarding body's process in reaching a decision in an appeal of a malpractice decision.

9.2 Appeals will be investigated by IPM and the outcomes will be communicated promptly to the candidate. IPM aims to thoroughly and fairly investigate all appeals and resolve such matters during this initial investigation. As such, the decisions taken following completion of this process will be considered as final and the Institute does not operate a further appeal system. The Institute will aim to respond to the appeal/complaint within 30 days of receipt.

9.3 Individuals lodging malpractice case(s) and those against whom appeals are made can expect the information to be dealt with confidentially and with due regard for their privacy. It may be disclosed to those members of the Institute who have a need to see it in order to investigate the malpractice case or the appeal. This disclosure will be undertaken solely to expedite the thorough investigation of the case and will not be undertaken to disadvantage any party.

## **10. Record Retention**

10.1 In the case of reporting malpractice, the Institute will retain records, including all materials and candidate evidence, until the issue has been resolved. Thereafter, malpractice records and appeal records must be retained for several years.

10.2 Where an investigation of suspected malpractice is carried out, the Institute will retain related records and documentation for a period of Eight years.

- Records must include any work of the candidate and assessment or verification records relevant to the investigation.

10.3 In an investigation involving a criminal prosecution or civil claim, records and documentation will be retained for Eight years after the case has been heard.

10.4 In the case of an appeal to KNQA against the outcome of a malpractice investigation, assessment records must be retained for six years.

10.5 The personalised records and any supporting papers will be destroyed one year following resolution of the case. Anonymised data may be kept longer in order to facilitate monitoring and review of the Institute's admissions process.

## **11. Monitoring and review**

The Malpractice Policy and Procedures and the reporting forms (for student and staff) will be reviewed regularly. This is the responsibility of the Institute as guided by KNQA. Monitoring of the process is undertaken by:

- Maintaining a complete tracking system and record of each malpractice case;
- Ensuring all staff responsible for dealing with cases of malpractice are aware of the procedure; and
- Establishing a rigorous and effective system of dealing with any proven liability or risks to prevent the same situation happening again.

## **12. Student support:**

Student Society (or equivalent) will assist the students in explaining the regulations, explain potential penalties and advise students on evidence they can submit.

## Student Complaints and Appeals - Academic & Non- Academic Policy and Procedure

### 1.0 Purpose

The purpose of this policy and procedure is to the Institutes system for dealing with student complaints and appeals relating to academic and non-academic matters.

The policy document can be accessed at IPM website: <http://www.ipm.or.ke/students/downloads>

### 2.0 Definitions

2.1 Complaint: a statement that something is unsatisfactory or unacceptable. As a student of IPM, you are entitled to make a complaint about your student experience at any time should the need arise. A complaint can be about any aspect of our business, and includes issues regarding the conduct of:

- the management, trainers, assessors or other staff;
- a third party providing services to IPM, its trainers, assessors or other staff; or
- a learner of IPM. Complaints may be submitted via mail: [info@ipm.or.ke](mailto:info@ipm.or.ke).

### 2.2 Appeal

To apply for review of decisions, including assessment decisions, made by IPM or a third party providing services on IPM's behalf. As a student of IPM, you are entitled to appeal assessment outcomes or complaints handling outcomes if you feel they are unjust. You can appeal assessment decisions up to Thirty (30) days after the decision has been made. A copy of the appeals form can be requested by emailing IPM administration team at [info@ipm.or.ke](mailto:info@ipm.or.ke).

### 3.0 Responsibility

The Head-School of Management and Technical Studies is responsible for the implementation of this policy and procedure and to ensure that staff and students are aware of its application.

### 4.0 Policy

The Institute is committed to maintaining an effective, timely, fair and equitable complaints and appeals handling system that is easily accessible. This is achieved by:

- 4.1 having a culture that views complaints and appeals as an opportunity to improve the Institutes systems and processes;
- 4.2 having a complaints and appeals handling system that is student focused;
- 4.3 handling complaints and appeals promptly, objectively and sensitively, with due regard to natural justice, procedural fairness and confidentiality;
- 4.4 ensuring the Student Complaints and Appeals – Academic and Non- Academic Policy and Procedure is publicly available at all times via the website and front office;
- 4.5 instructing all prospective students to read the Student Complaints and Appeals – Academic and Non-academic Policy and Procedure is prior to making the decision to enrol with the Institute;
- 4.6 encouraging the parties to approach a complaint or appeal with an open view and to attempt to resolve problems through discussion and conciliation.
- 4.7 ensuring that the views of all parties to a complaint or appeal are respected, and not discriminated against nor victimised;
- 4.8 acknowledging complaints and requests for appeals in writing;
- 4.9 implementing the complaints and appeals policy and procedure at no cost to the student;
- 4.10 ensuring there is consistency in our response to complaints and appeals;
- 4.11 informing the student that, at any stage in the complaint or appeal process, they are entitled to have their own nominee included to accompany and support them;
- 4.12 providing for a review by an appropriate party, independent of the Institute and the student, at the request of the student making the complaint or appeal, if the Institutes processes fail to resolve the complaint or appeal;
- 4.13 maintaining a student’s enrolment whilst a complaint or appeal is in progress and the outcome has not been determined.
- 4.14 providing the student with a written statement of their complaint or appeal outcome at the conclusion of the process, including details of the reasons for the outcome;
- 4.15 ensuring that where the outcome of a complaint or appeal process has highlighted a systemic Institutes issue, the Management Committee implements appropriate rectification action to prevent the issue reoccurring;

## 5.0 Complaints Procedure

5.1 Students should initially attempt to resolve a complaint through an informal process directly with the person involved. This aims to resolve the complaint as quickly and as close to the source of complaint as possible.

5.2 If an attempt to resolve a complaint informally with the person involved is unsuccessful, or the student is unsatisfied with the outcome, the student is invited to request a meeting with the Head-School of Management and Technical Studies to discuss the matter. He or she will assist the student to resolve the complaint informally at the meeting. If required, He or she will commit to investigating the matter and arrange a follow up meeting with the student to discuss the outcome of investigation and offer a solution if necessary.

5.3 If the attempt to resolve a complaint informally with the assistance of the Head Management and Technical Studies is unsuccessful, or the student is unsatisfied with the outcome, the student is invited to submit a formal complaint using the Institutes complaint form to [info@ipm.or.ke](mailto:info@ipm.or.ke) or by a hard copy form available at the student affairs office. If the student submits a hard copy complaint form, it must be emailed attention of the Head of School of Management & Technical Studies at [info@ipm.or.ke](mailto:info@ipm.or.ke).

Then he or she will then email the student confirming that the College has received the complaint.

5.4 Any students that experience difficulty when completing the complaint form should ask the student affairs officer or a front office staff member to assist them.

5.5 Once a complaint form has been lodged (with any relevant supporting material), the formal complaints process will commence within Seven (7) working days from the day it was received.

5.6 A record of the complaint is recorded in the student's file, on the student record management system, and on the Institutes complaints handbook by the student affairs officer.

5.7 The head of school of management will contact the student to arrange a formal meeting regarding the complaint. The students will have the opportunity to formally present their case in writing or in person. There is no cost to the student to for this process. During the meeting, the student may be accompanied and assisted by a support person. This applies to any meetings involving the complaint. IPM aims to resolve any complaint within fourteen (14) working days from the commencement of the formal complaint process, unless all parties agree in writing to extend this time.

5.8 A complaint can only be dealt with by the School of Management & Technical Studies Head or the Executive Director. Whoever deals with the complaint must not be the subject of the complaint and cannot be involved in any subsequent appeal of the decision. In the event that the Head of School of Management and the Executive director are not eligible to hear the complaint, the complaint will be directed to an external body for review at no cost to the

student. The external body to hear a student complaint shall be agreed upon by the Institute and the student parent or guardian.

5.9 The Head of School of Management & Technical Studies or the Executive Director will:

- work with the student to identify how the complaint can be resolved to the satisfaction of the student;
- consult and negotiate with all parties involved with the complaint in order to obtain their commitment and agreement to the proposed solution;
- formally document the resolution to the complaint including reasons for the method of resolution, and provide the student with a written copy of the document;
- arrange for the proposed resolution to be signed off by the student;
- monitor the implementation of the resolution to ensure that all parties adhere to the agreed resolution; and
- advise the student to take the complaint to appeal if a resolution cannot be agreed upon.

5.10 Where IPM considers that more than 30 calendar days will be required to process and finalise the complaint or appeal, IPM:

- will inform the complainant or appellant in writing, including reasons why more than 30 calendar days are required, and
- regularly update the complainant or appellant on the progress of the matter.

5.11 At the conclusion of the complaints handling process, the Head of School of Management will provide the student, in writing within Seven (7) working days, the formal outcome of the complaint, including associated reasons for the outcome. The record of the outcome, and reasons for the outcome, will also be placed in the students file. A copy of this document will be provided to the student.

5.12 At the conclusion of the complaints handling process, the Institute will implement the outcome (as conveyed to the student) and undertake any continuous improvement activities arising from the complaint. If any matter arising from a student formal complaint indicates a systemic Institute issue, The Head of School of Management & Technical Studies will report the findings, in writing, to the Executive Management Committee so the matter can be used to inform the continuous improvement activities of the Institute.

5.13 Students who are not satisfied with the outcome of the formal complaints handling process are entitled to lodge an appeal against the outcome by:

- obtaining a copy of the student appeal form from the student affairs office;

- completing the student appeal form;
- lodging the student appeal form with the Head of School of Management and Technical Studies or Executive Director.

5.14 Once the Student appeal form is lodged with the above personnel, it will be dealt with as described in the Internal Appeal Process below.

## 6.0 Internal Appeal Procedure

6.1 Internal appeals may arise from a number of sources including assessment decisions, disciplinary decisions, and complaint decisions. The essential nature of an appeal is that it is a request by a student to reconsider a decision made by the Institute or a third party providing services on the Institute's behalf.

6.2 Students who are not satisfied with a decision made by the Institute or a third party providing services on the Institutes' behalf are able to appeal the decision by:

- obtaining a copy of the student appeal form from the student affairs office;
- completing the student appeal form;
- lodging the student appeal form with the Head of School of Management or executive director via email at [info@ipm.or.ke](mailto:info@ipm.or.ke).

6.3 Any students that experience difficulty when completing the complaint form should seek support from the student affairs office.

6.4 The student's enrolment will be maintained whilst the appeal is in progress and the outcome has not yet been determined.

6.5 Once a student appeal form has been lodged (with any relevant supporting material), the formal appeals process will commence within Seven (7) working days from the day it was received.

6.6 A record of the appeal is recorded in the student's file.

6.7 The Head of School of Management & Technical Studies will contact the student to arrange a formal meeting regarding the appeal. The students will have the opportunity to formally present their case to the to the Head of School of Management & Technical Studies, in writing or in person.

There is no cost to the student to for this process. During the meeting, the student may be accompanied and assisted by a support person. This applies to any meetings involving the appeal. The Institute aims to resolve any appeal within Fourteen (14) working days from the



commencement of the formal appeal process, unless all parties agree in writing to extend this time. Appeals related to disciplinary decisions or complaint decisions

6.8 Appeals relating to disciplinary decisions or complaint decisions will be heard by a three-person appeals panel, with panel members selected from the Institutes executive director, Head of School of Management & Technical Studies, Non-teaching staff member, and faculty member. No member of the appeals panel is to have been directly involved in the original decision.

6.9 The role of the appeals panel is to:

- ensure the formal appeals process commences within Seven (7) working days from the day the appeal form was received;
- provide the student, or the students representative, with an opportunity to present their appeal to the appeals panel;
- review the evidence and information provided by the student, the students representative and the Institute.
- make an appeal decision based on the evidence provided to either support the students appeal and reverse the decision by the Institute that lead to the appeal, or to support the Institute case and proceed with the original decision.
- arrange for the decision to be signed off by the student and the executive director (this is not agreement by the student but to record that the decision has been transmitted to the student).
- within 48 hours of making its decision, the appeals panel must have formally documented the decision of the panel including reasons for the decision and convey the written decision and reasons for the decision to the student. A copy of this information is placed in the student's file. Appeals related to assessment decisions

6.10 Students appealing an assessment decision will be given the opportunity for reassessment. Costs of reassessment will be met by the student.

6.11 The recorded outcome from the assessment appeal will be the most favourable result for the student from either the original assessment or the reassessment.

6.12 Only one assessment appeal for each assessment task will be allowed.

#### **Internal Appeal Procedure – Finalisation**

6.13 The outcome of an internal appeal, and the reasons for the outcome, will be recorded in writing and signed and dated by the student and the Institute and placed in the student file. A copy of this document will be provided to the student.

6.14 At the conclusion of the appeals handling process, the Institute will implement the outcome (as conveyed to the student) and undertake any continuous improvement activities arising from the appeal. If any matter arising from a student formal appeal indicates a systemic Institute issue, The Head of School of Management & Technical Studies will report the findings, in writing, to the Executive Management Committee so the matter can be used to inform the continuous improvement activities of the Institute.

6.15 There are no further avenues within the Institute for complaints or appeals after the internal appeals process has been completed. However, students are entitled to initiate an external appeals process.

## 7.0 External Appeals

7.1 Students who are not satisfied with the outcome of an internal appeal are entitled to make an external appeal by:

- obtaining a copy of the student appeal form from the student affairs office;
- completing the student appeal form and selecting the external appeal option on the form;
- lodging the student appeal form with the Head of School of Management & Technical Studies or the Executive Director.

7.2 Once the Student appeal form is lodged with either of the officers above it will be dealt with as described in the External Appeal Process below.

7.3 The external body to hear a student complaint shall be determined by the Institute with the consent of the student and guardian. The cost of mediation is to be shared equally between the parties involved in mediation.

7.4 The external appeals procedure will be determined by the external mediator.

7.5 Following the receipt of the outcome of the external appeal, the Institute must immediately implement the decision, convey the outcome to the student, place a copy of the documentation on the student file and student record management system, and undertake any improvement actions arising from the complaint.

7.6 Nothing in this procedure inhibits student's rights to pursue other legal remedies. Students are entitled to resolve any dispute by exercising their rights to other legal remedies.

## 8.0 Record keeping and confidentiality

8.1 Records of all complaints and appeals handled under this procedure and their outcomes will be recorded in the student record management system and will be maintained for a period of at least five years. This is to allow all parties to the complaint or appeal access to these records, upon written request to the Head of School of Management & Technical Studies.



8.2 All records relating to external complaints will be treated as confidential and will be protected by the Institutes Data Protection Act.

If you have any suggestions as to how we can improve our performance with respect to our handling of complaints and appeals, or if you would like further information on anything included in this policy, please contact the Executive Director at [info@ipm.or.ke](mailto:info@ipm.or.ke)



Institute of  
Pension  
Management®

*The Bridge To Greatness*

**STUDENT/TRAINEE HANDBOOK**

**GUIDELINES, PROCEDURES AND POLICIES**

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## ***Acronyms***

**Students:** These are learners in the knowledge based curriculum context

**Trainees:** These are learners in the Competence Based Curriculum context

**Lecturers:** These are the instructors In the Knowledge based curriculum context

**Trainers:** These are the instructors in the Competence Based curriculum context

**Examination:** This is the way of testing the learners' qualifications in the Knowledge based curriculum context

**Assessment:** This is the way of testing the learner's competencies, in Knowledge, Skills and Attitudes in the competence curriculum context

**Surcharge:** Extra charges to be paid in form of a fee

**Suspension:** Stopped from learning for a period of time

**Expulsion:** Fully banning of a learner from the institute

## 1.0 INTRODUCTION




The Institute of Pensions Management (IPM) is a premier institute established to contribute to the growth of the Pension sector. It was established in Kenya in 2016 to promote advancement of knowledge, professional excellence, best practices and integrity in the practice of pension management. Indeed, it is one of its kind in East and central Africa. The Institute's main campus is at Crescent Business Centre in Parklands and a regional office in Lusaka, Zambia.

The institute was founded to bridge the training gaps and promote competence standards necessary in serving the industry; this resonates well with our Mantra '**Bridge to Greatness**'.

Since the witnessing of significant augmentation of the pension sector over the last decade; there exist gaps in vocational and professional training that require capacity development and it was against this premise that the Institute of Pension Management was started.

The installation of the Institute of Pension Management was a key milestone to the Pension and Management industry and its professionals as it was geared towards bridging training gaps and promoting competency standards necessary in service provision to the members.

### Our Mandate:

-  To provide professional training designed to strengthen the capacity of employees and institutions.
-  Initiate a professional membership of corporate and individual members within the Pension industry for the advancement of professional knowledge and practice
-  Conduct Research that will inform policy and Advocacy for the Pension Sector

## 1.1 VISION

To be the Leading institute in knowledge advancement in the Pension industry in Africa

## 1.2 MISSION

To promote professionalism through training, research and advocacy in Pension and Management

## 1.3 CORE VALUES

- ❖ **Collaboration and Engagement:** Partner with likeminded institutions and encouraging perspectives that contributes to the growth of the Institute and the pension sector.
- ❖ **Professionalism:** Maintain highest ethical and professional standards in our dealing with staff, customers and stakeholders.
- ❖ **Integrity:** To enforce the highest standards of good governance in its processes and operations.

- ❖ **Innovativeness:** To encourage and promote an environment that nurtures individual and institutional creativity.
- ❖ **Excellence:** Promote outstanding Individual and Institutional performance.

## **2.0 PROFESSIONAL COURSES**

### **2.1 CERTIFIED PENSION MANAGER (CPM)**

The course is designed for Pension professionals who intend to specialize in all aspects of pension Management. It is structured to equip the trainees with relevant working knowledge skills and attitudes that relate to all functional areas of Pension i.e. Trusteeship, Pension administration, Investment management, custodial, legal, secretarial, audit and accounting.

### **2.2 CERTIFICATE OF COMPETENCY QUALIFICATIONS**

The Institute is offering certificate of competency courses in specialty areas of pension management. Upon completion, a trainee will be awarded a Certificate of Competency Qualification.

- a.) Certificate in Pension Administration
- b.) Trust Secretary Certificate
- c.) Certificate in Pension Fund Investments
- d.) Certificate in Custody of Pension Assets
- e.) Certificate in Pension Audit and Accounting

### **2.3 CERTIFIED HUMAN RESOURCE PROFESSIONAL (CHRP)**

The Institute of Pension Management (IPM) offers programs that promote learning, best practice and standards of professional excellence in the practice of Pension and Management in Kenya. The institute became a Human Resource Management Professionals Examination Board (HRMPEB) accredited training and exam centre for the Certified Human Resource Professional (CHRP) in the year 2018. The CHRP (K) certification is a compliance requirement for those working in or aspiring to get into the HR field.

### **2.4 ACADEMIC CALENDAR**

- The intakes for pension courses are in January, May and September.
- CHRP Intakes are in January and June.
- Each semester is 6 months long.



## 2.5 ADMISSIONS

Admissions are carried out by the Admission's Office 3 weeks prior to the start of the semester a candidate wants to begin studies. This means the relevant application forms must have been completed and received in the office of the Admin. -Students affairs at least 4 weeks prior to the date an applicant wishes to commence studies.

### a) General minimum requirements:-

The minimum entry requirements for different programs are stipulated for each of the programmes as appearing in the programme prospectus.

### b) Application procedure

An applicant must complete an official application form available online on the institute's website or available at the Institute Reception at Crescent Business Centre, 6<sup>th</sup> floor, Those outside Nairobi may get the forms in the Institute's website, [www.ipm.or.ke](http://www.ipm.or.ke). All relevant documents should be attached to the forms.

### c) Fees

The Fees charged covers Registration, Administration, Caution, Library, Student/Trainee ID, Internal Exams, Tuition, Continuous Assessments and Examination/Assessment fee. The modest amount charged varies from course to course (See course brochures).

- Fees once paid is not refundable or transferable
- At least 75% fees must be paid before start of classes and the balance should be cleared in the following month after which there will be a 1% accrual on the remaining fees per day. Full fees must be cleared before sitting for Continuous Assessment Tests and not later than before sitting for the external Assessment. In case of any special challenges, the students/trainees will be required to discuss with the principal and commit in writing on a payment plan.
- Fees may be reviewed from time to time but will give sufficient notice to the students/ trainees
- In a case where a student/trainee only needs to sit for exams/assessments, they will upon approval be charged the administrative charges as well as that specific exam/assessments fee as guided by the relevant body. In a case where some level of tuition is required, the same shall be charged as per the advice of the management
- Failure to pay fees as required may lead to discontinuation or denial of services.
- A student/Trainee who has not finished clearing fees, for instance, will not be allowed to sit for examinations as well as Assessments.
- A student/trainee who wishes to defer or change his/her classes/course for one reason or another **MUST** do so in writing to the Principal. Any paid fees will be carried forward; they will be allowed to resume their classes without paying any additional fee if they do so within one (1) year after deferring, so long as they had written to the Principal regarding the issue. If the deferral is for a period of more

than one (1) year, a re-admission fee of Ksh. 2000 will be paid in addition to any balances arising based on the current fee structure. Such a change will only be allowed to happen within the first two weeks of the semester. Any classes attended further than this will mean that the fees paid has been fully utilized hence any further engagement will need to be paid for.

## **2.6 PROGRAMMES COURSES AND REQUIREMENTS**

The catalogue of courses is updated regularly to reflect the courses currently on offer. The academic requirements for entry into these courses and the requirements for graduation including the classification of certificates and diplomas will be indicated in the individual programme/ courses brochures.

Students/Trainees should take it as their responsibility to ensure they thoroughly understand these requirements to avoid penalties.

### **a) Course loading**

Each course has a specific load in terms of units / modules/ hours.

The number of units a student/trainee is required to take in any given term is indicated in the semester's time table. On average, students/ trainees take between 2-6 units in a semester of 16 weeks.

The current programs have been prepared for use by TVET CDACC and HRMPEB

All courses must be in line with the Institute's philosophy, objectives and core values, professional and academic requirements and must meet the concerns and views of relevant professional bodies.

### **b) Orientation of New Students/Trainees**

The Institute carries out orientation for all new students/trainees on the 1<sup>st</sup> and 2<sup>nd</sup> days of the term they are starting studies. This is a very crucial session for students/trainees as all matters pertaining to the various aspects of the course are clarified and guidance given.

## **2.7 MODES OF STUDY**

The following modes are available.

### **a. Part-Time - Evening**

This mode is suitable for students/trainees who cannot attend classes during the day but are willing to put in hours of study after work. Classes/ sessions are held everyday from Monday to Friday beginning at 5.30pm-7.30pm. Courses are completed within the set duration for each course.

### **b. Part-Time - Sunrise**

This mode is suitable for students/trainees who cannot attend classes either full time or in the evening but are able to put in part time hours of study during the day. Classes/

sessions are held every day from Monday to Friday beginning at 6.30 am – 8.30 am. Courses are completed within the set duration for each course.

**c. Full - Time Saturday**

This mode is for those students/trainees, who by virtue of the nature of their employment cannot attend classes any other day except on Saturdays. Such will be expected to participate in class activities throughout the day without much flexibility. These classes will take place between 8.30am-5.00pm. Those who can consistently attend classes may complete their studies within the stipulated duration.

**d. Full Time – Week Days**

This mode is suitable for students/trainees who are yet to start working and can attend classes full time or in the evening. Classes/ sessions are held every day from Monday to Friday beginning at 8.30 am – 4.00 pm. Courses are completed within the set duration for each course

**e. Distance Learning**

## **2.8 REGISTRATION FOR COURSE UNITS**

Each student/trainee is required to register for course units at the beginning of their course. The registration is done in the relevant office upon evidence of fee payment. To be allowed to register, a student/trainee is expected to have paid at least 75% of the fee for the term or have special clearance from the student affairs office /Accounts Department to proceed for registration.

Students/trainees register by filling in unit registration forms which must be signed by the student/trainees and the Administrator – Students affairs or the undersigned. No fee refund may be made for a student/trainee who decides to withdraw from a course. If such a student/trainee has completed course units, the Admission's office may organize to prepare provisional transcripts for them for internal assessment /examinations done if applicable.

**a) Semester Registration**

Registration is done once at the beginning of each semester and is the responsibility of the student/trainee. They pick registration forms and fill in before proceeding to class.

**b) Class attendance**

Class attendance and participation in all class activities is mandatory for all students/trainees. The trainees must attend at least 75% of classes and this will count in their assessment

It is the responsibility of the student/trainee to make the necessary arrangements to attend classes as scheduled. Reasons for not attending classes may be communicated to the administrator-Student affairs, who has the authority to accept or reject such reasons. Unauthorized absence from classes or other scheduled activities may lead to disciplinary action.

Absenteeism beyond 3 weeks without satisfactory reasons will lead to discontinuation from the course. No fees may be refunded. Students/trainees who experience difficulties with regard to class attendance must communicate in writing with their unit instructor or Administrator-Student affairs in good time to avoid penalties.

#### **c) Course Evaluation**

At the end of the semester, students/trainees evaluate the various courses by filling in feedback forms available at the admissions office/ front office. Individual course instructors together with the Administrator-students affairs are required to ensure this is done and the forms returned to the administration desk. This may be done any other time as may be deemed necessary by the management.

#### **d) Repeating a Subject / Unit**

A student/trainee who fails to attain a minimum of "PASS" grade in a given subject may apply for a repeat of the failed subject or unit. This means he/ she is required to pay for the unit afresh and take the unit only when it is on offer. No student/trainee may graduate with a failed unit/ course.

For the Competent Based Curriculum/courses, a trainee who is declared **Not Yet Competent** at the end of the Semester will be required to study more and practice further and re-sit for the assessment. This will attract a fresh charge of 100% Assessment fee as well as tuition fee. They will seat the unit when it is on offer.

#### **e) Academic Advancement**

Students/trainees have different abilities with regard to academic performance. IPM advises students/trainees whose performance falls below the accepted level for continuation to relax and try something else to avoid letting them go all the way to the end of the course yet they cannot graduate.

NB.: Each student/trainee gets, from the Institute Administration Office, a term grade sheet indicating the results he/ she attained in the semester. A student/trainee who for whatever reason has not done at least 75% of course work shall not be allowed to do end term examinations/Final Assessment in that subject.

## **2.9 GRADUATION**

The following requirements **MUST** be met by students/trainees before they can be considered for graduation.

- Complete and pass all the units.
- Attain an Overall Pass in all subjects
- Have no pending disciplinary case.
- Meet all financial obligations
- Clear all outstanding liabilities.
- Declare intention to graduate by completing **INTENT TO GRADUATE** forms
- Seek clearance by all Institute departments by circulating clearance forms to all departments and having heads of those departments clear them and the forms finally taken to Admin. Assistant-Student affairs for **FINAL** clearance.

### **a) Collecting of Certificates and Transcripts**

Provisional Academic Transcripts are given during graduation. Final Certificates can be collected as soon as the examination/Assessment bodies release them, information of which is communicated to the students/trainees via email.

Where transcripts are required by a third party, a student/trainee may request the institute to send the same. A fee is charged for this service.

## **3.0 EXAMINATIONS/ ASSESSMENT**

### **a) Continuous Assessment/Assignments/internal examinations**

- Continuous assessment may include assignments, tests, class activities etc. For each course, students/trainees must do at least one assignment and one CAT per Unit.
- Results of continuous assessment are made available to students/trainee before they sit for the end of Course examinations/External Assessments. No student/trainee is allowed to sit for the exams/ external Assessments before completing course work assessments- assignment, projects, CATS etc.
- Continuous Assessment Tests are set and invigilated by unit/ subject/ module instructors/trainers.
- All class assignments must be submitted within 2 weeks of issuance.

### **b) Administration of Examinations/Assessments**

- The Administrator-Exams ensures that the facilities and materials required are in place.
- The Administrator-Exams ensures there are enough invigilators.
- Examiners/Assessors collect their examinations and Assessment's answer books from the Institute's Administration Office and administer the examinations/Assessment. As much as possible, only lecturers/ trainers may invigilate examinations. Any other persons called in to assist MUST have been trained by the Institute Administration department prior to being allowed to invigilate.
- For each examination/assessment's day/ session there is a designated chief invigilator who ensures examinations are administered in accordance with the laid down examination/assessment's rules. Examination/assessment's papers are collected 30 minutes before the examination/assessment begins and students are in the examination/assessment room at least 30 minutes before the examination/assessment begins.
- The invigilators supervise entry and exit of students/trainees and ensure no unauthorized materials are carried into the examination's/assessment's rooms. Invigilators ensure orderliness and proper "Examination/assessment's culture" is adhered to by all (see section on Academic Discipline).
- Students/Trainees write their answers on the official answer books provided. No other materials may be allowed into the examination/assessment room unless the examiner/assessor has so indicated. Cell phones and other gadgets are left outside and NEVER allowed into examination/ assessment's rooms unless otherwise advised by the assessor/examiner.
- Every student/trainee taking an examination/assessment signs the "attendance Roll" as he/ she hands in the answer book. The answer books and attendance rolls are taken

back to the academic Registry where the lecturers / trainers sign up for their examinations/Assessments before taking them away for marking.

- Reports on the examination/ assessment; a copy of each examination/assessment paper and “attendance roll” are taken to the Institute Administration office by the invigilators.
- Up to date examination/assessment rules, regulations and procedures are posted on the notice boards by the Administrator, before examinations begin. It is the responsibility of students and invigilators to update themselves before examinations begin.

#### **c) External Examinations/Assessments**

Setting, supervising and marking external examinations is the responsibility of the External examiner. Currently we have 2 external examiners, namely, TVET CDACC and HRMPEB.

#### **d) Marking and Grading of External Examinations/Assessments**

##### **i. Pension professional courses are assessed at two levels:**

- a.) Internal assessments are marked and graded by Institute of Pension Management
- b.) External assessments marked and graded by TVET CDACC

##### **ii. CHRP**

- a.) Certified Human Resource Professional (CHRP) examinations are examined, marked and graded externally by HRMPEB.
- b.) An internal Assessment is conducted by the lecturers to enable revision and in preparation to the Main exams

#### **e) Reporting Examination/Assessment Irregularities**

- The involved student/Trainees are required by the invigilator to leave the examination/assessment room and make a written statement. The student/Trainee may then continue doing his/ her examination/Assessment.
- The material used in the irregularity is confiscated by the invigilator.
- The chief invigilator prepares a written report which is countersigned by the invigilator and forwards it to the Principal’s office together with the student’s/trainee’s scripts and the confiscated material, if any.
- The Principal constitutes a faculty disciplinary committee which adjudicates the matter and takes appropriate action as provided for in the institute’s policies.

#### **f) Right of Appeal procedures**

- A student/Trainee wishing to have his/ her examination/assessment papers remarked must adhere to the rules and regulations laid out by the Examining body

### **4.0 ACADEMIC DISCIPLINE**

- All IPM students/Trainees are expected to exhibit academic and moral integrity in their pursuit of Certificates and Diplomas. They are expected to conduct themselves in conformity to the institutes Vision, Mission, Objectives and Core Values.
- The trainees are expected to dress in decent official dress code

- Any activity or behaviour that does not fall within the stipulated procedures as established by the Institute regarding examinations is regarded an examination/assessment irregularity and attracts penalties as indicated.
- No smoking or use of alcohol while at the Institute's premises. Failure to comply with this rule will lead to disciplinary action which could include suspension and a termination as may be guided by a disciplinary committee to be composed of a counseling officer, a faculty member and any other member as may be advised by the Principal.
- Such activities or behaviour may be expressed in various ways before, during and after the examination/assessment and include, but are not limited to the following:-
  - i) Being late for examinations/Assessments.
  - ii) Disobeying an invigilator
  - iii) Disrupting an examination/Assessment by being a nuisance: making noise, eating in the examination/assessment room, dragging chairs and desks etc.
  - iv) Being in the possession of used or unused answer book outside the examination /Assessment room.
  - v) Passing verbal, written or electronic communication to other students in the examination/Assessment room.
  - vi) Being in possession of unauthorized materials such as books, notes, papers, electronic devices etc.
  - vii) Copying other students/Trainee's work or reading from unauthorized sources.
  - viii) Lobbying for underserved grades.
  - ix) Abetting, aiding or covering up an examination/Assessment malpractice.
  - x) Forging medical reports in order to obtain deferment of examination/Assessment.
  - xi) Plagiarism.
  - xii) Being absent from class without official authorization.
  - xiii) Offering or attempting to offer gifts, bribes or present to an instructor or any other official for purposes of gaining undue advantage in academic work, examination/Assessment or change of grades.
  - xiv) Threatening or attempting to threaten an instructor or any other official for the purpose of gaining undue advantage.
  - xv) Presenting assignments or subjects containing materials lifted from another student/trainee or copying from another student/trainee.
  - xvi) Impersonating another student/trainee
  - xvii) Presenting or attempting to present oneself for examination/Assessment without official clearance and authorization.
  - xviii) Failing to do examination/assessment without acceptable reasons.
  - xix) Failure to respond to summons by an institute official.
  - xx) Being a nuisance
  - xxi) Destroying or attempting to destroy evidence
  - xxii) Being involved in any activity considered an academic offence.

## **4.1 Disciplinary Procedures and Penalties**

### **4.1.1 Faculty Disciplinary Committee**

This committee handles examination/assessment malpractices and its membership is:-

- |                                       |             |
|---------------------------------------|-------------|
| • The Principal                       | Chairperson |
| • 2 Faculty/Members                   | Members     |
| • 2 Student/trainee Representatives   | Members     |
| • Administrator-Student affairs       | Member      |
| • Administrator-Examinations/Verifier | Secretary   |

#### **4.2 Disciplinary Action:-**

##### **i) Disqualification**

A student/Trainee who commits an academic offence may be disqualified from a unit or an examination/Assessment. This means the affected student/Trainee enrolls for the unit afresh

##### **ii) Warning**

If a student's/Trainee's offence is not too grave, he or she may receive a warning.

##### **iii) Suspension**

A student/Trainee who commits a serious academic offence may be suspended for a specified period. If there are further investigations to be carried out, a student/trainee may be suspended indefinitely.

On completion of suspension period, such student/Trainee is required to apply afresh for re- registration. The institute may give conditional re- admission, extend the suspension period or discontinue the student /Trainee altogether. Only one suspension is allowed. A second suspension shall lead to discontinuation.

##### **iv) Discontinuation**

A student/Trainee may be discontinued for any of the following reasons:-

- Failure to attain the required level of academic performance
- Long periods of unauthorized absence
- Incapacitating health
- Voluntary withdrawal.
- Second examination/Assessment irregularity
- Suspension for a second time.
- Gross misconduct e.g. Insulting an invigilator/ instructor/ institute official.

The decision of the Faculty disciplinary committee on any case of academic indiscipline is communicated by the Administrator-Student affairs.

The affected student/trainee receives a copy of the decision. His / her sponsor receives a copy as well.

##### **v.) Expulsion from the Institute**

A student/trainee may be expelled from the Institute under the following circumstances:-

- Involvement in academic malpractice
- Irregular admission into a course
- Gross misconduct.



NB: A student/Trainee who is expelled from the Institute may not be entitled to any records of performance or testimonials.

## Appendix 1

### Schedule of Charges-Effective 2019

Ref.	Item	Amount (Kshs)
1.	Readmission Fees	500/=
2.	Refundable Caution Fees	2 000/=
3.	Fees for Replacement of Lost Internal transcript	200/=
4.	Fees for Preparation of Make-up CATS (referrals/failed) & Marking	1 000/= per paper
5.	Fees for preparation of CATs (if 4} above are missed)	1 500/= per paper
6.	Re-admission Fee if deferred classes more than a year	2 000/=
7.	Withdrawal from program within one month ( <i>thereafter no refund but amount can be retained for resumption of studies</i> )	15% of amount paid

## 5.0 RULES & REGULATIONS GOVERNING THE CONDUCT OF STUDENTS/TRAINEES

### Introduction

Institute of Pension Management is open to all prospective students/trainees irrespective of, religion, colour or sex, but reserves the rights of admission on the ground of academic performance and good behaviour. The following provisions shall apply with respect to the conduct of students/trainees within and so far as is applicable outside the Institute's precincts.

The rules and regulations shall apply to all those who have registered in this Institute for a Certificate, Diploma, or any other programme

### 5.1 General Conduct

All students/trainees shall conduct themselves in accordance with the highest standards of integrity, personal discipline and morality and in particular shall:-

5.1.1. Respect and adhere to the administration and training procedures and structure established by the Institute

5.1.2 Respect the rights and privileges of the members of the Institute at all times

5.1.3 Refrain from any conduct that might bring the Institute or any section or program thereof to disrepute

5.1.4 Carry themselves in all public places with such humility and dignity as befits their status as mature and responsible citizens.

### 5.2 Training Conduct

All students/Trainees shall apply themselves diligently to their respective courses of study approved by the Institution and for which they are registered and in particular shall:-

5.2.1. Except for good reason(s), attend all lectures, seminars, practicum and other scheduled courses or instructions.

5.2.2 Refrain from any conduct whose object or logical consequence is to disrupt the operation of training programs of the institute and comply with all other regulations made by departments for the proper conduct of specific programs.

### **5.3 Dress Code/Institute's Etiquette:**

Good grooming standards and wearing of appropriate garments contributes to an atmosphere conducive to positive learning. Therefore students/Trainees are required to dress appropriately, i.e., a professional manner, that befits academics and professional learning.

The following guidelines shall apply to the Institute's Student/trainee dress code:-

#### **5.3.1 Unacceptable Attire:-**

- No indecent exposure, (tumbo cuts, sagging trousers, etc) funny hats, coats, caps and hair-do-(cornrows on male students/trainees, brightly coloured braids on female students/trainees, etc). It is important that men must appear like men and vice versa, etc.
- Clothing with underwear showing
- See through garments
- Spaghetti tops
- Backless shirts (shirts that do not cover the back entirely)
- Micro-mini skirts, dresses or skirts and shorts

**5.3.2** Indecently dressed students/trainees will be barred from the Institute or expelled if the behaviour persists.

## **6.0 DISCIPLINARY OFFENSES**

Any infringement, infraction or persistent disregard or contempt of any of the above rules and regulations shall constitute a disciplinary offence for which disciplinary action will be taken against a student/trainee in accordance with the clause herein.

6.1 Without prejudice to the generality of the above provision, the following conduct shall constitute specific disciplinary offences under these regulations:

- 6.1.1 Malicious or wilful damage or loss of Institute's property
- 6.1.2 Disorderly conduct and molestation of other members of the Institute
- 6.1.3 Boycott of scheduled training sessions and other courses of instruction
- 6.1.4 Smoking, use of alcoholic drinks and drugs, or improper conduct within the Institute's premises. This also involves distribution of drugs to other students/trainees within the Institution. Any student/trainee found under the influence of alcohol/drugs will be suspended or expelled.
- 6.1.5 Dishonesty in connection with any Institute's activity, e.g., knowingly furnishing false information to the Institute's forgery of identification or records.

### **6.2 Disciplinary Measures**

- 6.2.1 Surcharge
- 6.2.2 Suspension

### 6.2.3 Expulsion

## **7.0 DISCIPLINE OF STUDENTS/TRAINEES – Enforcement of Rules & Regulations**

The following provisions shall apply to disciplinary actions taken against students/trainees in respect of disciplinary offences specified herein;

- 7.1 The responsibility of maintaining discipline in the institution is vested in the Principal who may delegate such authority and power to any officer of the staff
- 7.2 Other administrative and academic staff have authority in areas that fall within their jurisdictions to ensure that the rules and regulations are observed.
- 7.3 Students/Trainees on internship/practical's/attachments/Mentorship sessions shall be subject to both Institutes staff and the officers of the host institutions/organizations where they are attached.

## **8.0PROCEDURE FOR SOLVING PROBLEMS**

To ensure orderliness and good relations, the following shall be done when students/trainees encounter a problem in receiving services from an academic or administrative member of staff:-

- 8.1 Try to arrive at an amicable solution with the officer concerned. Discuss the matter exhaustively.
- 8.2 If the matter is not settled at this level, discuss it with the relevant Head of Department who should know the next course of action.
- 8.3 If a student/trainee does not follow this procedure and instead wants to seek help from other officers, e.g., the Principal, such behaviour shall be considered a breach of order and shall attract disciplinary action.

## 9.0DECLARATION FORM

I ..... ID/Passport No. ....

Do declare that I have read the Guidelines, Policies and Procedures regulations governing the Institute's Conduct and Discipline of Students/Trainees at The Institute of Pension Management (IPM) and that I have understood their content and meaning and undertaken to abide by them, during the period that I am a bona-fide student/Trainee of the Institute.

Signed: \_\_\_\_\_ Date: \_\_\_\_\_

Course Admitted to: \_\_\_\_\_ Admn No. \_\_\_\_\_

Witness: (Parent/Guardian/Sponsor) – Tick whichever is applicable

Name: \_\_\_\_\_

Phone: \_\_\_\_\_

Address: Office: \_\_\_\_\_ Mobile \_\_\_\_\_

Home \_\_\_\_\_ Phone No. \_\_\_\_\_

Mobile \_\_\_\_\_

Profession: \_\_\_\_\_

Signature \_\_\_\_\_

Date: \_\_\_\_\_