



## UK HARBOUR MASTER CERTIFICATE PROGRAMME

### Certificate Management Group Rules 2025 VERSION 9.5

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**AMENDMENT RECORD:**

CURRENT VERSION AND EXISTING RULE	AMENDED TO	REMARKS	PUBLISHED	
V9.2 DEC21	3.1. The Certificate Management Group will meet three times per year, before each Council Meeting.	3.1. The Certificate Management Group will meet four times per year, in January, April, July and October .	Agreed at CMG Oct 2021; to align with cohort intake months and to reduce workload at live conferences.	V9.3 MAY22
V9.2 DEC21	none	3.2. The quorum for a CMG meeting is four, made up of the Chair and one representative from each of the following: UKHMA, PSS, and the Training Provider .	New Rule agreed at CMG Feb 2022.	V9.3 MAY22
V9.2 DEC21	none	15.10 Certificate Holders may use the postnominals “HM Cert” after their names in recognition of their achievement.	New rule: approved in principle by Council Nov 2021, implementation agreed at CMG Feb 2022.	V9.3 MAY22



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V9.3	5.8-5.14	Misnumbering corrected	<i>Misnumbering corrected, now 5.8-5.15</i>	V9.3 MAY22 230630
V9.3	HEADING	LOGO UPDATED	-	V9.3 MAY22 231121
V9.3 MAY22 231121	3.1. The Certificate Management Group (CMG) meets four times per year, in January, April, July and October.	3.1. The Certificate Management Group (CMG) meets four times per year, in January, April, July and October - except when the CMG members agree that such meetings may be superseded by a comprehensive Training Provider's Report, submitted by the Provider to the CMG before every full UKHMA Council meeting. Any CMG Member has the right to call a virtual meeting if the circumstances of the case require convening	<i>This amendment legitimises the agreement by email that the CMG meetings could be superseded by a Provider's Report, and allows for CMG members to meet to discuss any particular important issue. As Council meets before every Conference and the AGM, it is more efficient to state the Report Frequency in this fashion.</i>	V9.4 JAN24 240412



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V9.3 MAY22 231121	5.7. Approved applications will receive confirmation that they have been booked onto a cohort, at which point the full course fee will be due for payment. Details of the fees and payment options are available on the application form.	5.7. Approved applications will receive confirmation that they have been booked onto a cohort, at which point the full 18-month Registration Subscription Fee will be due for payment. Details of the fees and payment options are available on the application form. Any extensions to the Registration Subscription may be applied for and will be charged <i>pro rata</i> if granted, at the prevailing tariff at the time of application.	<i>This amendment removes the consumer obligation argument that may be made under the Consumer Rights Act when Candidates who do not complete may demand refund of their fees. The service that the Provider is providing is one 18 month period, during which Candidates are free to access the Programme material, attend webinars and Candidate Meetings, and to have their submitted work assessed, to be examined by the Oral Examiner. Candidates are not buying a Course, they are buying access to the materials comprising the Course Programme. It is our intention to charge for Extensions as a further encouragement for Candidates to complete on time.</i>	V9.4 JAN24 240412
V9.3 MAY22 231121	7.1. Candidates are expected to complete the Certificate within a period of 18 months.	7.1. Candidates are expected to successfully complete all written and oral attempts for the award of the Certificate within a period of 18 months from commencement, known as their Registration Period.	<i>This amendment clearly defines the Registration Period and places a duty on Candidates to complete during that time.</i>	V9.4 JAN24 240412



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<p>V9.3 MAY22 231121</p>	<p>7.5. Extensions to the Course period will only be given by exception (e.g. significant personal/family health or significant work change); being 'busy' is not a reason for an extension.</p>	<p>7.5. Extensions to the Registration Period are primarily intended to enable Candidates to complete any subsequent submission that may be required after having submitted all their first attempts at all the assessed/examined components of the Programme. Excessive workload, or "being too busy" is not a reason to grant an extension. Extensions may only be granted under the following circumstances:</p> <p>(a) Once Candidates have submitted all valid First Attempts at every written unit for assessment, and as a result they require extra time to complete and submit any subsequent attempt(s) at any of those units that they have not yet met at their first attempt. Any First Attempts, submitted for the sole strategic purpose of meeting this clause and thereby attempting to ensure eligibility for an extension, which are not, in the reasonable opinion of the Provider, considered serious attempts at passing the unit, will be returned to Candidates and the Attempt declared invalid.</p> <p>(b) Where, in the opinion of the Training Provider (or the Certificate Management Group on appeal) Candidates who have not submitted all</p>	<p>7.5. - <i>This amendment defines the reason that extensions may be granted and sets conditions for the granting of extensions.</i></p> <p>7.5.(a) - <i>This amendment specifies the exact conditions that enable "normal" extensions to be granted. This will tighten the current situation and force Candidates to finish on time. It ensures that Candidates do not reach the end of their Registration Period with a number of not yet attempted units, for which they want an extension to successfully complete, turning the 18 month course into a 32 month one (as has occurred in the past). Not only is this unfair on Candidates who do manage to complete in time, but it is also a drain on the Training Provider's resources. We have been guilty of allowing extensions to enable Candidates' success, but now it is in danger of becoming normalised, hence this tightening up is</i></p>	<p>V9.4 JAN24 240412</p>



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		<p>their first attempts at units have suffered exceptional extenuating circumstances reasonably preventing them from doing so, and who require extra time to complete (eg national emergency preventing work from being done for whatever reason, significant personal/family health circumstances, or a significant work change, or any other valid reason).</p> <p>(c) The total extension period granted by the Training Provider shall not exceed six months; Candidates may, through the Training Provider, request an additional extension from the Certificate Management Group, whose decision shall be final.</p> <p>In the case of a blanket extension granted to all Candidates in a national emergency, the Certificate Management Group will determine the length of any such extension.</p>	<p><i>recommended to the CMG.</i></p> <p><i>7.5.(b) - This amendment places the determination of the circumstances on the Training Provider or the CMG, rather than on the opinion of the Candidate. It also allows for the possibility of a recurrence of the blanket "Covid Extension" that we granted Candidates during the recent Pandemic by specifying a national emergency as grounds for granting an extension.</i></p> <p><i>7.5.(c) - This amendment places strict limits on the extension periods available to avoid the Registration stretching into infinity.</i></p> <p><i>7.5.(d) - This amendment places a duty on the CMG to decide the length of any blanket extension applicable to all Candidates in the event of a national emergency. This formalises current practice and places it under the control of the CMG, not the Training Provider.</i></p>	



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V9.3 MAY22 231121	7.8. The Candidate's registration will normally expire at the end of the extension period. If the Candidate has outstanding units that require further attempts to meet the criteria for a pass at that time, the Provider will decide on the deadline for resubmission and communicate it to the Candidate. If the Candidate has not submitted any Units within the extension time and the registration has expired, the Candidate will have deemed to have failed the Course through failing to complete. Decisions will be communicated to the Candidate and the Certificate Management Group.	7.8. The Candidate's Registration will normally expire at the end of any extension period. If the Candidate has outstanding units that require further attempts to meet the criteria for a pass at that time, the Provider will decide on the deadline for resubmission and communicate it to the Candidate. If the Candidate has not submitted any Units within the extension time and the registration has expired, the Candidate will have deemed to have failed the Certificate through failing to complete. Decisions will be communicated to the Candidate and to the Certificate Management Group.	<i>This amendment changes two key words to align it with current usage, viz capitalises "Registration" and changes "Course" to "Certificate".</i>	V9.4 JAN24 240412



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V9.3 MAY22 231121	10.13 The resit Oral Examination fee is £250 per examination.	10.13 The resit Oral Examination fee is listed on the Provider's Tariff of Fees.  <i>This amendment updates the fee from £250 to £300. Currently, the direct assessment costs for the Oral Examiners are £220, but travel mileage, costs of PTL representative and accommodation and booking rooms for examinations where necessary mean that this figure is hopelessly small. <u>It would be better if a fee was not stated, but a prevailing tariff was referenced instead, to future-proof the Rules.</u></i>	V9.4 JAN24 240412
V9.3 MAY22 231121	14.7 The Training Provider will provide each Candidate with a Quarterly Progress Report every quarter, and where a Candidate is sponsored, a copy will be sent to the Sponsor.	14.7 The Training Provider will provide each Candidate with a Quarterly Progress Report every quarter, and where a Candidate is sponsored, a copy will be sent to the Sponsor. 14.8 A Candidate's Sponsor is defined as the entity who funds the Candidate's Registration, namely: (a) The Employer, or a servant of the Employer (eg authorised line manager or supervisor); or (b) Any other person or institution who has paid fully or partially on the Candidate's behalf and who has an interest in the Candidate's progress, eg family, UKHMA Executive Officer in the case of the UKHMA Bursary Grant, or	V9.4 JAN24 240412



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		any other reasonably-construed person.	
NONE	NONE	<p>5.16. Where a Candidate does not complete the Programme within the specified Registration Period, that Candidate may reapply within THREE years of the original, unextended Registration End Date in order to complete the Programme under the following conditions:</p> <p>(a) Such Candidates will pay the full registration fee and will have a full registration period within which to complete the Programme;</p> <p>(b) No extensions will be permitted, under any circumstances;</p> <p>(c) The work that had been completed prior to re-registration will be recognised by the Training Provider at the grades assessed at the time, except in the case of any units that had been amended or updated in the interim, which such Candidates would have to reattempt; and</p> <p>(d) In the event of such a reregistered Candidate not being able to complete for any reason, that Candidate would not be permitted to reattempt the Programme, except at the sole discretion of the Certificate Management Group.</p>	<p><i>A new rule which allows for Candidates to return to the Programme after having either withdrawn or reached the end of their registrations, and allows for recognition of grades awarded during the first registration period, subject to units having been updated.</i></p> <p>V9.5 DEC24 241217</p>



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V9.4 JAN24 240412	10.3. The quorum for an Oral Examination to take place is two Examiners plus the Provider's technical representative.	10.3. The quorum for an Oral Examination to take place is two Examiners plus the Provider's technical representative, except in an extraordinary situation where the quorum will be reduced to only one Oral Examiner at the discretion of the Provider's technical representative.	<i>This amendment allows for the Oral Examination to proceed in the case of an emergency preventing one of the Oral Examiners to be present, necessary due to the costs and travel for all attendees.</i>	V9.5 DEC 2024 241217
V9.4 JAN24 240412	11.1. Certificate Holders may revalidate their qualification by submitting a record of continuing professional development (CPD) evidence for the previous 5 years using the CPD Scheme on the UKHMA website <sup>1</sup> .	11.1. Following a decision by the UKHMA Council in June 2024 <sup>2</sup> , revalidation of Certificates is suspended until further notice, and will be reimplemented should the Certificate become a mandatory qualification. The suspended process is: Certificate Holders may revalidate their qualification by submitting a record of continuing professional development (CPD) evidence for the previous 5 years using the CPD Scheme on the UKHMA website <sup>3</sup> .	<i>This amendment removes the requirement to revalidate without changing the process, in case it is needed later.</i>	V9.5 DEC 2024 241217

<sup>1</sup> Certificate Holders revalidating through the CPD Scheme needs to attain a minimum of 300 CPD points over the 5-year period with a minimum of 50 CPD points per year. 50% of the points should be of verifiable activity.

<sup>2</sup> UKHMA Council, June 2024, implemented V9.5 Dec2024.

<sup>3</sup> Certificate Holders revalidating through the CPD Scheme needs to attain a minimum of 300 CPD points over the 5-year period with a minimum of 50 CPD points per year. 50% of the points should be of verifiable activity.



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**5.0. CANDIDATE APPLICATION**

- 5.1. The certificate process is available to all Full Members of the UKHMA, Appointed Harbour Masters (not members of the UKHMA) and other suitable candidates actively sponsored by a serving Harbour Master (who may or may not be a member of the Association).
- 5.2. All applications to enrol in the Course will be approved by the Provider, subject to the agreement of Certificate Management Group, on a case-to-case basis where appropriate.
- 5.3. Prior learning or the holding of other relevant certificates will not earn exemption from any part of this process, however, such certificates and prior learning are likely to provide valuable evidence that can be submitted by Candidates to demonstrate that they meet particular performance, skills and knowledge requirements in the appropriate sections of the Course.
- 5.4. Potential Candidates wishing to enrol on the Course should make contact with the Provider and the complete the application process.<sup>4</sup>
- 5.5. Only a limited number of applicants will be permitted to commence the programme each year. Applicants will be accepted on a first come, first served basis. Oversubscriptions will queue on a waiting list held by the Provider in date order.
- 5.6. Should an applicant have a learning difficulty, this must be declared on enrolment so that the Provider can arrange for appropriate support to be provided if at all possible.
- 5.7. Approved applications will receive confirmation that they have been booked onto a cohort, at which point the full 18-month Registration Subscription Fee will be due for payment. Details of the fees and payment options are available on the application form. Any extensions to the Registration Subscription may be applied for and will be charged pro rata if granted, at the prevailing tariff at the time of application.<sup>5</sup>

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<sup>4</sup> Application/Booking form is now currently online at <https://porttraining.co.uk/booking-form/> (March 2021).

<sup>5</sup> The course fee is currently £3,000.00 (agreed 27/11/18) for UKHMA members and £3,250 (agreed 27/11/18) for non-UKHMA members. Amended Reviser Report 2023.01 agreed by CMG Jan 2024 by tacit approval.



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- 5.8 Candidates who are sponsored by their employers or other persons are required to agree to their Sponsors receiving copies of their Quarterly Reports, on the grounds that Sponsors are funding their Programme and therefore have a right to know how their Candidate is progressing along the Programme.<sup>6</sup>
- 5.9<sup>7</sup>. There are four cohorts per year: in January, April, July and October. Each cohort will start with an Induction Period (Induction)<sup>8</sup>. An official welcoming email will be sent to each Candidate confirming relevant Course dates and times, and to indicate that the programme of study has started.
- 5.10<sup>9</sup>. Applications not selected to join a cohort will remain on the waiting list maintained by the Provider and will be selected for a cohort in date order of receipt of application. Their position on the waiting list will be available on request from the Provider.
- 5.11<sup>10</sup>. Candidates whose registration expires due to their failure to complete the Course within the specified timeframe (See Section 7 below) will need to wait for 2 years before reapplying<sup>11</sup>.
- 5.12<sup>12</sup>. Once a Candidate has started the programme, deferment or transfers will not usually be granted, however in exceptional circumstances, these may be considered by the Provider - whose decision may be appealed to the Certificate Management Group for consideration.
- 5.13<sup>13</sup>. Where deferment is granted, a fee will be charged (15% of the course fee that the Candidate has paid).
- 5.14<sup>14</sup>. Where deferment is refused, the Candidate may appeal to the Certificate Management Group, whose decision will be final.
- 5.15<sup>15</sup>. Correspondence regarding extension/deferment/appeal will only be entered into with the Candidate and not any other party.

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<sup>6</sup> Practice in place since 2018, reiterated by CMG 26.10.2021.

<sup>7</sup> Out of sequence numbering corrected to 5.9. CMG 25/10/2022

<sup>8</sup> Originally an Introductory Day Meet and Greet (Sept 16); improved by adding Candidates' Live Assessment process (wef Sept 2017); amended to an Induction Process consisting of two virtual meetings on a video conferencing platform, spread across four weeks (wef Sept 2020).

<sup>9</sup> Out of sequence numbering corrected to 5.10. CMG 25/10/2022

<sup>10</sup> Out of sequence numbering corrected to 5.11. CMG 25/10/2022

<sup>11</sup> This rule has been suspended (wef: November 2019) while the demand for the Harbour Master Certificate is low but can be reinstated when the demand is high.

<sup>12</sup> Out of sequence numbering corrected to 5.12. CMG 25/10/2022.

<sup>13</sup> Out of sequence numbering corrected to 5.13. CMG 25/10/2022

<sup>14</sup> Out of sequence numbering corrected to 5.14. CMG 25/10/2022

<sup>15</sup> Out of sequence numbering corrected to 5.15. CMG 25/10/2022



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- 5.16. Where a Candidate does not complete the Programme within the specified Registration Period, that Candidate may reapply within THREE years of the original, unextended Registration End Date in order to complete the Programme under the following conditions:
- (a) Such Candidates will pay the full registration fee and will have a full registration period within which to complete the Programme;
  - (b) No extensions will be permitted, under any circumstances;
  - (c) The work that had been completed prior to re-registration will be recognised by the Training Provider at the grades assessed at the time, except in the case of any units that had been amended or updated in the interim, which such Candidates would have to reattempt; and
  - (d) In the event of such a reregistered Candidate not being able to complete for any reason, that Candidate would not be permitted to reattempt the Programme, except at the sole discretion of the Certificate Management Group.<sup>16</sup>

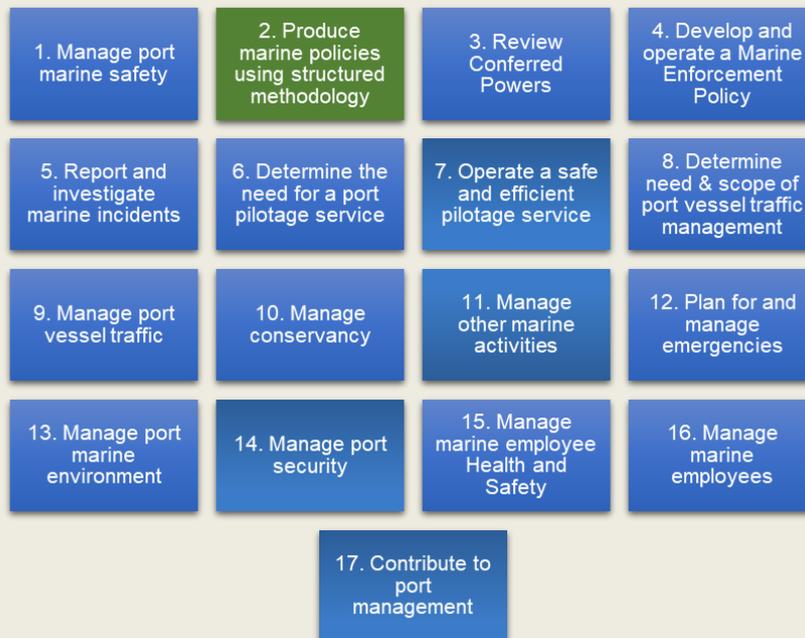
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<sup>16</sup> New rule to allow Reregistration and Accredited Prior Learning, Dec 2024.



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**6.0.CERTIFICATE UNITS**



*Figure 1 - Harbour Master Certificate Units after January 2018*

- 6.1. All 16 Units (fig.1) are mandatory<sup>17</sup>. All 16 Units must be successfully completed by Candidates to meet the requirements of the programme.
- 6.2. Unit 2 does not require an individual Unit submission by because it is largely subsumed within Unit 1. It has also been cross-referenced with the evidence provided for the other units in a Mapping Document within the Training Management Manual. Assessors will use the standards set out in Unit 2 when assessing the other Units.
- 6.3. The time to complete all 16 Units is 18 months<sup>18</sup>.

<sup>17</sup> There are no longer any optional units, effective from the January 2018 cohort.

<sup>18</sup> Course completion time has been extended to 18 months from 12 months; the original Pilot group course time was 6 months.



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6.4. Candidates that joined cohorts before January 2018 must successfully complete up to 17 Units (fig.2) to meet the requirements of the Certificate. Four of the 17 Units are ‘optional’ (green) these are Units 7, 11, 14 & 17.



Figure 2 - Harbour Master Certificate Units for Candidates before January 2018

- 6.5. Pre January 2018 Candidates who chose not to initially complete an Optional Unit may, at a later date, request to be assessed for any omitted Optional Units<sup>19</sup>.
- 6.6. The Certificate Management Group will levy an additional charge for completing Optional Units that were not completed by the Candidates at the time the Certificate was originally issued.
- 6.7. Candidates cannot submit any work until they have officially started on the programme and will be introduced to the Course and the Programme as part of the Induction.

<sup>19</sup> See Working Procedure 2021.04: “Completing Optional Units”



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- 6.8. Candidates will be given Unit 3 to complete as part of the Induction<sup>20</sup>.
- 6.9. After successfully completing Unit 3, Candidates may do the remaining units in any order that suits them<sup>21</sup>. Candidates do not need to wait for the result of a Unit before submitting an additional Unit. Candidates' submissions should be evenly spread out throughout the duration of the course.
- 6.10. Candidates may contact the Provider at any time during the Course should they require assistance<sup>22</sup>.
- 6.11. The Harbour Master Certificate that is issued to successful Candidates will be endorsed with the units that have been completed and contain the MCA recognition number.

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<sup>20</sup> Following a successful trial, candidates were being given Unit 1.1 to complete before attending the then Introductory Day where it was assessed by two assessors to enhance their experience of the course. Candidates were then required to submit Unit 1.2-1.6 in the normal way (2018). This process was changed with effect from 1 March 2021, where Candidates were given the new version of the course to work on, starting with Unit 3.

<sup>21</sup> Agreed at CMG meeting 26.10.2021.

<sup>22</sup> [admin@porttraining.co.uk](mailto:admin@porttraining.co.uk).



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**7.0. CERTIFICATE TIMETABLE**

- 7.1. Candidates are expected to successfully complete all written and oral attempts for the award of the Certificate within a period of 18 months from commencement, known as their Registration Period <sup>23</sup>.
- 7.2. It is mandatory for Candidates to attend the online Induction sessions which form part of the Induction Period<sup>24</sup>.
- 7.3. An official welcoming email will be sent to each Candidate to confirm Course dates and times and to indicate that the programme of study has started.
- 7.4. All Candidates will be sent individualised progress reviews (Quarterly Reports), copied to each Candidate's Sponsor and Mentor, to show what progress has been made since starting the Programme <sup>25</sup>.
- 7.5. Extensions<sup>26</sup> to the Registration Period are primarily intended to enable Candidates to complete any subsequent submission that may be required after having submitted all their first attempts at all the assessed/examined components of the Programme. Excessive workload, or "being too busy" is not a reason to grant an extension. Extensions may only be granted under the following circumstances:
- (a) Once Candidates have submitted all valid First Attempts at every written unit for assessment, and as a result they require extra time to complete and submit any subsequent attempt(s) at any of those units that they have not yet met at their first attempt. Any First Attempts, submitted for the sole strategic purpose of meeting this clause and thereby attempting to ensure eligibility for an extension, which are not, in the reasonable opinion of the Provider, considered serious attempts at passing the unit, will be returned to Candidates and the Attempt declared invalid.
  - (b) Where, in the opinion of the Training Provider (or the Certificate Management Group on appeal) Candidates who have not submitted all their first attempts at units have suffered exceptional extenuating circumstances reasonably preventing them from doing so, and who require extra time to

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<sup>23</sup> Course completion time has been extended to 18 months from 12 months; the original Pilot group course time was 6 months. Amended January 2024, agreed after Reviser Report 2023.01 by tacit approval.

<sup>24</sup> See *Working Procedure 2021.01: "Induction Process"*. These sessions consist of two separate virtual meetings spread across four weeks, interspersed with Candidates having to complete Unit 3 and it being assessed. The first meeting is the Induction Welcome meeting; the second is the Induction Assessment Debriefing meeting.

<sup>25</sup> For the purpose of the Progress Review, it is envisaged that each unit should take approximately one and an eighth months to complete.

<sup>26</sup> Usually, a maximum of one single 3-month extension per Candidate is allowed. Amended January 2024, agreed by CMG after Provider Report 2023.01 through tacit acceptance.



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complete (eg national emergency preventing work from being done for whatever reason, significant personal/family health circumstances, or a significant work change, or any other valid reason).

- (c) The total extension period granted by the Training Provider shall not exceed six months; Candidates may, through the Training Provider, request an additional extension from the Certificate Management Group, whose decision shall be final.
- (d) In the case of a blanket extension granted to all Candidates in a national emergency, the Certificate Management Group will determine the length of any such extension.

7.6. The decision on whether to grant an extension is entirely at the discretion of the Provider and may be referred to the Certificate Management Group on appeal.

7.7. A Candidate wishing to apply for an extension must send the request to the Provider who will contact the Candidate's Mentor for an assessment of the Candidate's ability to complete the programme if an extension is granted. If deemed necessary, the Provider will make a recommendation to the Certificate Management Group for formal approval, whose decision will be communicated to the Candidate and Mentor.

7.8. The Candidate's Registration will normally expire at the end of any extension period. If the Candidate has outstanding units that require further attempts to meet the criteria for a pass at that time, the Provider will decide on the deadline for resubmission and communicate it to the Candidate. If the Candidate has not submitted any Units within the extension time and the registration has expired, the Candidate will have deemed to have failed the Certificate through failing to complete. Decisions will be communicated to the Candidate and to the Certificate Management Group<sup>27</sup>.

7.9. In the event of a dispute or appeal against the decision for an extension, this will be considered by the Certificate Management Group.

## **8.0. MENTORS**

8.1. The Provider will assign a Mentor to every Candidate undertaking the Certificate and every effort will be made to locate Mentors and Candidates within the same geographic area.

8.2. Mentors and Candidates will normally be paired for the duration of the Certificate. They are not required to meet face to face but may choose to do so by agreement.

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<sup>27</sup> Amended for clarity, January 2024, agreed by CMG after Provider Report 2023.01 through tacit acceptance.



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- 8.3. In addition to the provision of support, the Mentor will be expected to routinely enquire about the Candidate's progress through the units and encourage the Candidate to remain on schedule, but it is the responsibility of all Candidates to manage their own work so that they complete the Certificate before their registration expires.
- 8.4. Mentors will be advised if a Candidate has declared a learning disability on the application form so that appropriate support can be provided if possible.
- 8.5. Mentors will be included in the Candidate Progress Reviews which are communicated to the Candidates by the Provider.
- 8.6. Mentors will be paid a fee for each Candidate that they are assigned to. Mentors will be paid on course completion, or if their Candidate's registration lapses.
- 8.7. Mentors will be contacted by the Provider for their support/comment when their Candidate submits a request for an extension. The Mentor should provide an assessment of the Candidate's ability to complete the programme. The decision will be made by the Provider and will be communicated to the Candidate and Mentor.
- 8.9. Should a Mentor or Candidate wish to terminate the relationship during the course of the assessment period the Provider shall determine whether an alternative mentoring provision is appropriate. Such a decision shall be final and without right of appeal.

## **9.0. ASSESSMENT PROCESS**

- 9.1. The full assessment process for Unit submissions should take a maximum of 18 months, after which an Oral Examination will be arranged<sup>28</sup> as close as possible to the completion time.
- 9.2. Candidates will submit their attempts as set out in the Working Procedures<sup>29</sup>, briefly as follows:
  - 9.2.1. Candidates submit work (usually a completed unit) to the Provider;
  - 9.2.2. The Provider sends the work to two Remote Assessors who arrive at a joint result;

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<sup>28</sup> Usually timed to coincide with an UKHMA seminar or AGM, but have occurred outside these dates.

<sup>29</sup> See Annex I: Working Instruction 2021.01.02. (April 2021)



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9.2.3. The lead Remote Assessor communicates the result to the Provider;

9.2.4. Provider communicates the result to the Candidate.

9.2.5. If the work has met the requirements for a pass, the cycle completes, if not the Candidate resubmits until the work has met the requirements or the submission deadline expires.

9.3. Candidates who do not complete the assessment within 18 months will automatically be deemed to have failed through failure to complete the course within the allotted timeframe, unless they have been granted an extension.

9.4. Candidates who fail to submit additional attempts within the deadline set by the Provider as outline above will be deemed to have failed through failure to complete the course within the allotted timeframe.

9.5. Candidates should complete and submit Units at evenly spread periods throughout the 18 months. Should a Candidate fail to manage this and to avoid unreasonable time pressure on the assessors, the Harbour Master Certificate Management Group reserve the right to remove the Candidate from the process.

9.6. Remote Assessors, appointed by the Certificate Management Group<sup>30</sup>, are nominated to assess Candidates' work<sup>31</sup>.

9.7. Remote Assessors aim to complete their assessment within 2 weeks of receipt of the Unit, and the Provider will chase Remote Assessors to send in outstanding assessment results. If the results are not received by the Provider after several such emails, the Certificate Management Group will be copied into the next chasing email and the appointment of the assessor may be reviewed.

9.8. The Provider will moderate the assessments and provide support to the Remote Assessors.

9.9. The completion of Units, submission, assessment and commentary will continue for all relevant Units until they are all completed.

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<sup>30</sup> CMG appoints Remote Assessors, Mentors and Oral Examiners in writing by issuing Letters of Accreditation, agreed at CMG meeting 26.10.2021.

<sup>31</sup> Initially, 2 Assessors followed one Candidate; this was changed to a Candidate submitting work to a panel of Assessors who assess as they become available due to Assessor and Candidate numbers.



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- 9.10. Remote Assessors will be required to provide results of their assessment<sup>32</sup> which includes confidential feedback to identify target areas for Oral Examiners and to alert the Provider to errors or areas for updating in course units.
- 9.11. The Provider will compile a Remote Assessment Summary for the Chief Oral Examiner's use to support the oral examination preparation for each Candidate.
- 9.12. Once all the Units have been completed and assessed with the required criteria being met the Candidate will be eligible to apply for the Oral Examination.
- 9.13. Candidates who repeatedly fail to meet the required criteria will have their progress reviewed by the Certificate Management Group and may be removed from the programme.
- 9.14. Remote Assessors will be advised if a Candidate has declared a learning disability on the application form so that appropriate support can be provided if possible.
- 9.15. Remote Assessors will be paid a fee for each completed and finally graded assessment<sup>33</sup>.
- 9.16. Assessors will be appointed by the Certificate Management Group. Assessors will normally be existing Harbour Masters with at least 2 years' experience as a Harbour Master. Retired Harbour Masters and other appropriate assessors are appointed at the discretion of the Certificate Management Group, who will also determine the duration of their appointment.
- 9.17. The Training Provider will issue Letters of Appointment on behalf of the Certificate Management Group and maintain records.<sup>34</sup>
- 9.18. The cost of assessors and other administration will be covered by the Certificate fee.

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<sup>32</sup> Introduced with effect from November 2019; superseded by the Candidate Result Form (March 2021).

<sup>33</sup> See Annex I: Working Procedure 2021.01,03 (March, April 2021)

<sup>34</sup> Agreed at CMG meeting 26.10.2021.



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**10.0 ORAL EXAMINATION<sup>35</sup>**

- 10.1. On satisfactory completion of all Units an Oral Examination<sup>36</sup> will be held before an Oral Examination Panel, consisting of the Chief Examiner<sup>37</sup> plus one additional Oral Examiner<sup>38</sup>, the Provider's technical representative<sup>39</sup> and an MCA representative<sup>40</sup>.
- 10.2. Should the Chief Oral Examiner not be available, then at least one of the Oral Examiners will be a UKHMA HM Certificate holder.
- 10.3. The quorum for an Oral Examination to take place is two Examiners plus the Provider's technical representative, except in an extraordinary situation where the quorum will be reduced to only one Oral Examiner at the discretion of the Provider's technical representative<sup>41</sup>.
- 10.4. Oral Examinations will normally be conducted on the day before each UKHMA Seminar or before the UKHMA AGM; usually before the Certificate Management Group Meeting - but may be held outside these venues for operational reasons.
- 10.5. Oral Examinations may be conducted through a virtual medium<sup>42</sup> for operational reasons.
- 10.6. The Provider will organise the Oral Examination arranging the times with the Candidates and sending the Candidate's documentation<sup>43</sup> to the Oral Examiners.

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<sup>35</sup> See Annex I: Working Instruction 2020.01: Guidelines for Oral Assessment

<sup>36</sup> Formerly known as the "Face-to-Face Assessment"

<sup>37</sup> Oral Examiners will be kept separate from the assessing process. There will be a transition period while current assessing commitments are finished before an assessor can solely take on the role of examiner. Also, CMG agreed that a Chief Oral Examiner would be identified who would become a member of the Certificate Management Group (April 2019).

<sup>38</sup> This person may be a Remote Assessor, co-opted for operational reasons

<sup>39</sup> to provide moderation of the process, with effect from 2018

<sup>40</sup> The MCA is present as a witness for their own Quality Management purposes and has no examining authority.

<sup>41</sup> Amended to allow for emergency situations, Oct 2024.

<sup>42</sup> See Annex 1: Working Instruction 2020.02: Virtual Oral Assessment Guidelines

<sup>43</sup> Includes but not limited to Remote Assessment Summary, Oral Examination Assessor Sheet, Oral Examination Guidelines.



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- 10.7 A maximum of three Oral Examinations should be arranged for any one Oral Examination date, therefore a maximum of 3 candidates could be examined at one oral examination panel.
- 10.8 On successful completion of this final assessment, the Candidate is awarded the Harbour Master Certificate at the UKHMA Spring Seminar, UKHMA Summer AGM or UKHMA Autumn Seminar.
- 10.9 The Harbour Master Certificate will be valid for a period of 5 years.
- 10.10 A Candidate who does not meet the required standard at the Oral Examination may apply for re-examination after a minimum period of 1 month. The written work will remain valid for 12 months.
- 10.11 If after 12 months the Candidate has still not passed the Oral Examination this will be referred to the Harbour Master Certificate Management Group for a decision. This decision will be final with no right of appeal
- 10.12 A Candidate that has been unsuccessful at the first Oral Examination can attend unlimited attempts at the Oral Examination, but this would be subject to payment of the resit examination fee and at the discretion of the Certificate Management Group being able to arrange the examination dates.
- 10.13 The resit Oral Examination fee is listed on the Provider's Tariff of Fees<sup>44</sup>.
- 10.14 The Oral Examiners could re-examine the same Candidate.
- 10.15 An assessor wishing to become an examiner<sup>45</sup> may be asked to attend an examination as an observer in the first instance. Alternatively, they may be asked to be the assistant oral examiner without having attended an observation. The assistant oral examiners will always examine with experienced examiners and the Chief Oral Examiner will lead the examination.

## **11.0. REVALIDATION**

- 11.1 Following a decision by the UKHMA Council in June 2024<sup>46</sup>, revalidation of Certificates is suspended until further notice, and will be reimplemented should the Certificate become a mandatory qualification. The

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<sup>44</sup> Amended for clarity, January 2024, agreed by CMG after Provider Report 2023.01 through tacit acceptance.

<sup>45</sup> CMG agreed to limit Oral examiners to Harbour Masters who have been in post for some time (June 2019).

<sup>46</sup> UKHMA Council, June 2024.



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suspended process is: Certificate Holders may revalidate their qualification by submitting a record of continuing professional development (CPD) evidence for the previous 5 years using the CPD Scheme on the UKHMA website<sup>47</sup>.

- 11.2 Certificate Holders may also revalidate their qualification by submitting a letter of appointment from their Chief Executive/Employer/appropriate Designated Person confirming that the Certificate Holder has been an active serving Harbour Master throughout the 5 year period<sup>48</sup>.
- 11.3 The revalidation date is 5 years from the date that the Certificate was issued. The UKHMA Executive Officer will contact Certificate Holders 6 - 12 months prior to their expected revalidation date.
- 11.4 The Provider will collate the CPD activity for the Certificate Holder 12 months prior to the 5-year revalidation date for the Certificate Management Group to assess whether it meets the requirements for revalidation.
- 11.5 The Executive Officer will contact the Certificate Holder with the details.
- 11.6 On successful outcome of the reviews described above, the Certificate Management Group, acting on behalf of the Council, will confirm that the evidential criteria are met and that the applicant's Harbour Master Certificate may be revalidated for a further five year period.
- 11.7 The Executive Officer will issue a revalidated Certificate to the Certificate Holder, updating the records<sup>49</sup>.
- 11.8 Re-validation cannot be considered for Certificate Holders that are no longer in a serving Harbour Master position or a position within the Harbour Master's Office.

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<sup>47</sup> Certificate Holders revalidating through the CPD Scheme needs to attain a minimum of 300 CPD points over the 5-year period with a minimum of 50 CPD points per year. 50% of the points should be of verifiable activity.

<sup>48</sup> The Certificate Management Group will review the Certificate holder's CPD activity/revalidation letter 6 months prior to the revalidation date and will make a recommendation to the UKHMA Council.

<sup>49</sup> The UKHMA is responsible for issuing the Harbour Master Certificate and will maintain a record of the number of Certificates that have been issued. The UKHMA will advise the MCA when a Certificate is issued.



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- 11.9 Certificate Holders who were in post, but who have had a break in their service within the 5-year period counting to their revalidation, will be considered by the Certificate Management Group on a case-by-case basis<sup>50</sup>. The decision of the HM Certificate Management Group will be final.
- 11.10 Certificate Holders who work as Harbour Masters outside the jurisdiction of the UKHMA may apply for revalidation. can be achieved by Certificate holders who have moved to work in an overseas Port or Harbour<sup>51</sup>. The Certificate Management Group will rule on each application on a case-by-case basis and its decision will be final.

## **12.0. APPEALS PROCESS**

- 12.1 An appeals process is available for all Candidates.
- 12.2 Candidates wishing to appeal any part of their application, assessment or extension should submit their appeal in writing to the Provider within 3 months stating clearly the reason for appeal. The appeal will be reviewed by the Certificate Management Group and their decision will be final.
- 12.3 Appeals cannot be considered if they are sent from an employer or sponsor; the appeal must be received from the Candidate.
- 12.4 If the appeal is directly against the Provider then the appeal should be sent to the Executive Officer of the UKHMA. The appeal will be reviewed by the Certificate Management Group whose decision will be final.

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<sup>50</sup> It was envisaged that a short break of a number of months between leaving one Harbour Master position to starting a new Harbour Master position or similar position within the Harbour Master's Office would be acceptable but a longer break of 2 or 3 years would not be acceptable for revalidation. Also leaving a Harbour Master position and returning as a consultant or moving into academia would not be acceptable for revalidation.

<sup>51</sup> Providing that: a) the Port or Harbour that they are working in adheres to the principles of the PMSC, b) that the Certificate holder is an active serving Harbour Master, c) there has been no break in service throughout the 5-year period. The same revalidation criteria will apply to the Certificate holder as detailed above (November 2019).



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**13.0. LEARNING DIFFICULTY**

13.1 Candidates who have declared a learning difficulty on the application form will be supported appropriately through the programme where possible. The Provider will communicate the Candidate's needs to the Remote Assessors and Mentor and will keep the Certificate Management Group informed as appropriate.

**14.0. GENERAL**

14.1 Candidates will be asked to provide feedback upon completion to enable the programme and procedures to be evaluated and improved.

14.2 The MCA will oversee the process and the MCA recognition number will be printed on each individual Certificate. They will have full access to all of the material that candidates supply and may elect to sit in during the Oral Examination sessions at their discretion. The MCA may withdraw their recognition if they believe that these rules and procedures have not been followed.

14.3 All documentation supplied by the Candidate will be handled confidentially. The documentation may be shared among the Provider, Assessors, Mentors, the Certificate Management Group, the MCA and others as is reasonably required for operational and logistical reasons. It is Candidates' responsibility to ensure that any evidence/documentation that they supply is done so in accordance with current data protection regulations and good practice.

14.4 Candidates should note that Unit 14 Manage Port Security may be particularly sensitive. Candidates must not supply confidential information<sup>52</sup>.

14.5 The Provider will maintain records and documents relating to individual Candidates, however the evidence submitted by each Candidate will be deleted from the Provider's records 6 months after the Candidate has successfully achieved the Certificate. Remote Assessors will delete evidence submitted to them for assessment immediately upon the Candidate successfully achieving the Certificate.

14.6 The Control Sheets containing the Candidate's progress details will be maintained by the Provider and circulated quarterly to the Management Group.

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<sup>52</sup> The CMG agreed to not require evidence for this unit in the new version of the Programme September 2021.



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- 14.7 The Training Provider will provide each Candidate with a Quarterly Progress Report every quarter, and where a Candidate is sponsored, a copy will be sent to the Sponsor. A Candidate's Sponsor is defined as the entity who funds the Candidate's Registration, namely:
- (a) The Employer, or a servant of the Employer (eg authorised line manager or supervisor); or
  - (b) Any other person or institution who has paid fully or partially on the Candidate's behalf and who has an interest in the Candidate's progress, eg family, UKHMA Executive Officer in the case of the UKHMA Bursary Grant, or any other reasonably-construed person.<sup>53</sup>
- 14.8 In the event of loss of a Certificate by the Certificate Holder, the Certificate Holder will be required to complete a Lost Certificate Form, pay the appropriate fee, and submit this to the Provider<sup>54</sup>.
- 14.9 Certificate Holders who change their names may request to update their names on the HM Certificate by completing and submitting a Duplicate Certificate Form to the Provider and paying the appropriate fee<sup>55</sup>.

**15.0. MCA RECOGNITION:**

- 15.1 The Certificate Management Group will follow the MCA recognition process to retain the MCA Recognition<sup>56</sup> and will be subject to an MCA audit at intervals of 5 years. The MCA may withdraw their approval if they find the rules and procedures are not being followed.
- 15.2 Should the Provider be changed within the 5-year MCA audit period then the MCA will audit the new Provider within three months of the new Provider being in post.
- 15.3 The Provider will maintain records for the Training Management Manual which contains all the documentation and QA procedures for the Harbour Master Certificate course.

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<sup>53</sup> CMG, 26.10.2021. Amended for clarity, January 2024, agreed by CMG after Provider Report 2023.01 through tacit acceptance.

<sup>54</sup> The Provider will check the HM Certificate Register records and consult with the Executive Officer. The Certificate Management Group will make the decision to re-issue the Certificate. The HM Certificate Register will be updated accordingly.

<sup>55</sup> The Provider will check the HM Certificate Register records and consult with UKHMA Executive Officer. The UKHMA HM Certificate Management Group will make the decision to re-issue the Certificate. The HM Certificate Register will be updated accordingly.

<sup>56</sup> Awarded to the Harbour Master Certificate course in (2019).



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- 15.4 The Training Management Manual is governed by the UKHMA and should only contain the UKHMA logo and branding.
- 15.5 The Certificate Management Group will undertake an annual Quality Assurance Management Review and these records are to be maintained by the Provider.
- 15.6 The Certificate Management Group or Provider will undertake QA Internal Audits as detailed in the Internal Audit Schedule of the Training Management Manual, and these records are to be maintained by the Provider.
- 15.7 The Internal Audit reports will be discussed at the Certificate Management Group meetings.
- 15.8 The UKHMA will retain a copy of every Harbour Master Certificate that is awarded to each candidate in accordance with the MCA approval process<sup>57</sup>.
- 15.9 The Trailblazer Apprenticeship Scheme<sup>58</sup> is a separate qualification for individuals to study as a route towards the Harbour Master Certificate qualification.
- 15.10 Certificate Holders may use the postnominals “*HM Cert*” after their names in recognition of their achievement.<sup>59</sup>

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<sup>57</sup> The copy of the certificates is to be kept for a minimum of 5 years or until the Certificate Holder’s 70th birthday.

<sup>58</sup> . The Certificate Management Group agreed that the Assessors would not get involved in the assessments of the written work for the Trailblazer Apprenticeship; that once a candidate had completed the written component of the Trailblazer Apprenticeship Scheme and had been put forward for the oral examination the CMG would make a decision whether that candidate was suitable to be put forward for the Oral examination. The CMG would organise an oral examination following the oral examination procedures for the HM Certificate candidates for the Trailblazer candidate.

<sup>59</sup> Approved by Council Nov 2021, implementation agreed at CMG Feb 2022.