

# Certified Management Consultant (CMC) Application Pack

## Contents

<i>1</i>	<i>Guidelines to Potential Candidates</i>	<i>2</i>
<i>2</i>	<i>Introduction to the CMC Assessment Procedure</i>	<i>4</i>
<i>3</i>	<i>Steps in the application process</i>	<i>5</i>
<i>4</i>	<i>What is competence-based assessment?</i>	<i>6</i>
<i>5</i>	<i>What is the CMC designation?</i>	<i>6</i>
<i>6</i>	<i>Evidence of Competence</i>	<i>6</i>
<i>7</i>	<i>Evidence of Professionalism and Ethics</i>	<i>7</i>
<i>8</i>	<i>Evidence of Learning</i>	<i>7</i>
<i>9</i>	<i>Assessing Readiness to Apply</i>	<i>7</i>
<i>10</i>	<i>Notes for Candidates on Preparation of Portfolio of Evidence</i>	<i>8</i>
<i>11</i>	<i>What happens next?</i>	<i>10</i>
<i>12</i>	<i>The Assessment Interview</i>	<i>11</i>
<i>13</i>	<i>Notes regarding the IMCSA Assessors</i>	<i>12</i>
<i>14</i>	<i>The Competency Framework</i>	<i>14</i>
	<i>Appendix 1 - New Member Application</i>	<i>19</i>
	<i>Appendix 2 - CMC Declaration and Application</i>	<i>25</i>
	<i>Appendix 3 Assignment profile</i>	<i>28</i>
	<i>Appendix 4 Suggested Format for Cross-Referencing</i>	<i>29</i>
	<i>Appendix 5 - Examples Of questions Asked of Referees</i>	<i>30</i>
	<i>Appendix 6 - Codes of conduct</i>	<i>31</i>
	<i>The IMCSA's Code of Professional Conduct</i>	<i>32</i>
	<i>IMC Ethical Guidelines</i>	<i>36</i>
	<i>Some questions for testing possible ethical dilemmas</i>	<i>37</i>
	<i>Conclusion</i>	<i>39</i>

# 1 Guidelines to Potential Candidates

## **The Certified Management Consultant qualification (CMC) - *in a nutshell***

The CMC is a competency-based qualification - based on Evidence of your work as a management consultant - which is measured against the IMCSA statements of competence and supporting requirements.

### **How do I apply?**

Use this CMC Application Pack. This explains how to apply step-by-step. You need to be a member before applying for certification.

### **What if I still require clarification, perhaps on issues which relate just to my personal experience of consulting?**

Contact the IMCSA registrar if you would like more details.

### **What does an application consist of?**

A CMC application is in two parts, namely:

- The Portfolio of Evidence and
- The Interview.

The Portfolio of Evidence is split down into:

- An Assignment Study and
- A Professional Record.

The interview includes a Presentation on the same subject as the Assignment Study, and you will be asked Questions about all of the Evidence submitted.

### **Is the Assignment Study something like a dissertation?**

The assignment study is not as rigorous as a dissertation. Your assessor will be looking for a clear and succinct narrative describing an interesting and challenging assignment that you have played a major role in and where you can demonstrate your understanding of a wide range of consulting skills. Something in the region of 3000 words is about right. It should be written in the first person, describing exactly what part *you* took in this project. The assessor will be interested in some particular aspects of this study and will ask pertinent questions regarding your study.

For example,

1. the problems presented and solutions found, and
2. where these solutions were drawn from e.g. experience of an earlier assignment, from a relevant course or some recent reading about consultancy issues.

To make life easier for the assessor, it is important to cross-reference the Assignment Study to the **Statements of Competence** where possible (this includes both consultancy and management competencies) described in this CMC Application Pack in **section 14 – providing proof of competence**.

## **What's the difference between the Professional Record and a portfolio of evidence?**

If you are starting from scratch, there may be little difference. You are gathering Evidence of your competence as a consultant in the form of:

- Copies of proposals, reports, analyses etc, plus
- Evidence of education and training, and

matching them to the Statements of Competence.

The real difference emerges later. A portfolio is something that you assemble once for assessment in the format required by the IMC. The IMCSA recommends that you keep an ongoing Professional Record as a basis for continuous professional development (CPD) as a consultant over the coming years.

## **How do I cross reference all of my Evidence?**

The approach is up to you. Be creative and think of your assessor as a valued client. It is the IMCSA's intention to treat you as a competent consultant. We only ask that you prove it to us.

## **What if I am unable to provide Evidence against some of the Statements of Competence?**

The Statements of Competence have been designed to cover the complete spectrum of management consultants, in all their rich variety. If any of the Statements are not congruent with your experience or speciality, explain to the assessor why this is so and why there are gaps in the competencies. The IMCSA assessors are aware that each consultant is different and has different strengths and emphases. It is when Statements of Competence are simply ignored that problems with the assessment arise.

## **What does it mean that Evidence must be relevant, timely and sufficient?**

The IMCSA is trying not to be too prescriptive; to allow for individuality, relevance and flair, thus minimising restrictive rules. In this way, the IMCSA aims to treat the assessment in a similar manner to your relationship with a client in practice.

**Relevant** means just that: if the Evidence is not relevant it will not be assessed (not even if it is worth a PhD in its own right). Evidence provided must be relevant to the assessment process and specific to the profession of management consulting.

**Sufficient:** your assessor, an experienced consultant will spend about an hour on your Portfolio of Evidence. Use your own experience to judge how much Evidence to submit and how best to present it for clarity. Evidence provided must be as succinct as possible, without major omissions in what is being requested from you.

**Timely:** the golden rule is that the more recent, the better. Certain evidence, such as a **first degree**, may be 20 years old. That is still timely, in the sense that it was the first step in the process of acquiring knowledge. The older your **assignment** experience, the less timely it becomes, so use your most recent experience as evidence where possible, applying the sufficiency rule at the same time.

### **What if there is something missing in my application?**

If part of your application has just been left out, the Professional Registrar will ask you to check it and will request anything that is missing. If your assessor decides that there is insufficient Evidence, you will be asked quite specifically to provide it and will be given sufficient time to respond, depending on the circumstances and nature of the additional Evidence required. If the Evidence is not submitted by the deadline or is insufficient, then the application lapses and the process needs to begin again. It is therefore in your interest to process your application as speedily as possible.

### **How is the Interview structured?**

1. The Assessment Interview takes an hour. The same assessor will lead the interview, perhaps assisted by one or two trained CMC volunteers as appropriate. During the first 10 minutes, you will be asked to give a presentation highlighting the key points of your Assignment Study.
2. The following 20 minutes will be spent on questioning you about the presentation and assignment study.
3. The remaining half-hour will be spent on questions about the Evidence in your Professional Record, your knowledge of the *Common Body of Knowledge* and your views regarding the IMCSA Code of Conduct, and Ethical Guidelines. *We remind you that you have signed acknowledgement and acceptance of the Code of Conduct when you applied as a member of the IMCSA.*

### **What if I fail?**

There is no pass or fail. You will either have *satisfied* your assessor that you have demonstrated sufficient Evidence of your competence or *not yet satisfied* your assessor. If it is the latter, you may apply again in 6 months time with the benefit of hindsight. A new assessor may be allocated for the subsequent assessment.

## **2 Introduction to the CMC Assessment Procedure**

To become a CMC, you need to be a full IMCSA Member and then demonstrate your skills against the IMCSA's Statements of Competence. If you are not a Member, an application form can be found in **appendix 1** of this pack and you need to complete this application and process before applying for certification.

As a member of the International Council of Management Consulting Institutes (ICMCI- see [www.ICMCI.org](http://www.ICMCI.org) ), the IMCSA has links with many similar bodies around the world, which provide members with an international network of professionals with similar standards and goals. Only members of the ICMCI can award the CMC qualification. The CMC is a registered mark. The CMC assessment process has been developed over many years and the IMCSA seeks to partner with academic institutions in further developing its intellectual capital.

The CMC assessment process requires the applicant to produce Evidence of competence, experience, education and training. It is therefore necessary to have quality experience as a management consultant before applying to become a CMC.

The IMCSA is looking for Evidence of your *ability* and *competence* as a management consultant, *not a minimum period* of time as a practising consultant. However, you are unlikely to be able to satisfy the requirements if you have less than three years' relevant management consulting experience.

### 3 Steps in the application process

#### Step 1 - Preparation

Start to compile the portfolio of evidence consisting of:

- A Professional Record to demonstrate competence against the CMC standards, including a CV, Academic and training record plus relevant client references.
- An Assignment Study which is a detailed description, critique and reflection on a real consultancy project that considers the successes and difficulties encountered. It should contain an analysis of the skills and techniques which were applied and what outcomes were achieved.

#### Step 2 - Submission

Fill in the CMC application form with details of two independent client referees, the portfolio of evidence and the assessment fee.

#### Step 3 - Review

If your paper-based Evidence is assessed as acceptable, you will be invited to attend an hour-long interview. It will be linked to the information in the Portfolio of Evidence. If it is not yet acceptable, you will have three months in which to provide further Evidence as requested by the assessor.

#### Step 4 - Interview

Subject to the review of the application material, the candidate will be interviewed regarding his or her submission. The interview will yield a result of *comply* or *not yet comply* and is the pre-final step in the process.

### Step 3 - Feedback

The candidate will be given written feedback regarding the outcome of the certification process and if he or she has complied with all the requirements, the candidate will be invoiced for the difference between the annual CMC and membership fees and a CMC certificate will be issued. To retain the certificate, the candidate must submit evidence of CPD over each three year period.

## 4 What is competence-based assessment?

Competence-based assessment is a method of establishing competence in the performance of a task or a range of tasks. Competent performance of tasks is measured against very specific criteria.

A set of unit standards is prepared and published for each sector, trade or profession by the South African Qualifications Authority (SAQA). In many cases these unit standards have been used as a basis for the development of qualifications and learnerships.

As a CMC candidate you must claim all-round competence as a management consultant using the guidelines in this application pack. You are asked to select from your experience, summaries of assignments which relate to one or more of the competency standards and, if possible, corroborate the Evidence with a signature of a representative of the client company.

For example, an actual proposal and final report may be sufficient if accompanied by a brief narrative giving an outline of the assignment with dates and reflective comments. Evidence provided must be cross-referenced to the CMC standards. All Evidence must make clear the specific role you played in the assignment.

## 5 What is the CMC designation?

The CMC is an internationally agreed and recognised competence-based designation, which is based on the competency framework attached in **section 13**. The responsibility rests with you, the candidate, to produce *sufficient, relevant and timely* Evidence of competence as a management consultant.

## 6 Evidence of Competence

*Evidence of competence is provided by:*

- Producing a detailed assignment study.

- Completing a professional record including a CV, academic record, and relevant client references.
- Cross-referencing the material in the assignment study and professional record against the CMC statements of competence.
- Making a presentation on the subject of the assignment study.
- Providing corroboration of the Evidence provided in the assignment study and professional record at an assessment interview.
- Giving details of two independent referees who can vouch for your competence as a management consultant.
- Completing a CMC application form.

## 7 Evidence of Professionalism and Ethics

You must provide Evidence that you comply with the IMCSA Code of Professional Conduct and Ethical Guidelines. These are contained in this application pack. How you provide this evidence is your personal choice.

## 8 Evidence of Learning

To achieve the CMC standard, there must be Evidence of specific learning. Any credits awarded by an accrediting university will recognise learning rather than experience. In most instances, this will be a necessary part of preparing to demonstrate competence against all, or nearly all, of the standards, but it is important to include in the professional record an account of what learning has been undertaken and how it was done.

Exceptionally, it may be possible to claim competence against all of the standards without specific formal learning for the purpose. Such confidence will have been achieved as a result of earlier learning in one form or another, so you should include a resume of formal and informal training, study and practical learning situations. (Recognition of Prior Learning (RPL) principles will be applied in this situation)

## 9 Assessing Readiness to Apply

Carefully study the requirements and the statements of competence given in this pack, especially the paragraph on learning. If you require further help, telephone the professional registrar.

### **Time to prepare the application**

This may depend on the records which you keep about training, development, CPD and consultancy assignments, but an estimate of the average time for a consultant with complete records is 20-30 hours.

### **Fees**

If you have not already applied as a Member of the IMCSA, please complete the Member application form in **appendix 1**. This process needs to be completed before you apply to be assessed as a CMC.

Please attach your CMC application and assessment fees as detailed in the annual fee sheet, (payable to the IMCSA) to your completed application. Payments may be made by bank transfer. (*Proof of payment required with your application*).

## 10 Notes for Candidates on Preparation of Portfolio of Evidence

### 1. Produce the Assignment Study

The assignment study should be based on an assignment which you have carried out successfully within the *last three years*. The project should be typical of your work during that period and should, wherever possible, draw out your full range of strengths as a management consultant.

The assignment study should:

- Be written in the first person.
- Make it absolutely clear which aspects of the work were carried out by you and which by other consultants and support staff.
- Summarise the brief given by the client.
- Describe the assignment in detail, linking together the internal aspects of the work with the following external elements: political, economic, social, technological, legal and environmental (PESTLE).
- Include a reflective commentary, describing the outcome of the assignment, and drawing out major successes or difficulties encountered.
- Critically analyse the assignment.
- describe what was learned from undertaking this assignment, with reflection on how it was learned or how something might have been done differently..
- Be clear and succinct, yet of sufficient length to allow for detailed analysis (estimate 3000 words). Diagrams or charts may be included if they add clarity.
- Be cross-referenced against the CMC Units of Competence and other requirements e.g. PESTLE / professional specialism portfolio, if applicable. Candidates may wish also to cross-refer to reference sources, showing how reading or research has been used in reaching conclusions.

The assignment study should fully integrate the areas of competence, knowledge and understanding in the following areas:

- Consulting competence
- Management competence
- Professional and/or sectoral specialism
- Socio/technical/economic/political/legal/environmental awareness
- Acting, communicating and thinking like a management consultant

The assignment study offers a clear opportunity to cross-reference against the standards.

It may be helpful to think of it as the primary source of Evidence which is supported by the broader range of Evidence within the professional record.

## 2. Complete the Professional Record

The professional record\* consists of the following:

- An up-to-date CV.
- Summaries of consultancy assignment e.g. briefings, analyses and final reports.
- Evidence of qualifications - academic and vocational.
- Evidence of on-going training and continuing professional development (CPD).
- Evidence of contractual arrangements with clients.
- Reflections on what has been learned from an assignment.

\* The IMCSA will respect the confidentiality of all documentation. If necessary, you may remove the names of clients or confidential details from documentation, stating where this has been done and the reason for it.

- Evidence should be *sufficient, relevant and timely*. Think of the Assessor as an astute client who must be fully convinced by what is produced. The Assessor will spend a fixed amount of time on the paper Evidence from all candidates, so you should aim for clarity and brevity.
- Evidence will be assessed only if it is cross-referenced to the particular standards for each of the stated competency areas.
- You should retain all originals and keep a full duplicate of your Professional Record and Assignment Study.

The format of cross-referencing is at your discretion. It should be clear and unambiguous. There is a suggested format in this application pack.

## 3. Cross-reference your portfolio

The assessor will **only** assess material that has been clearly cross-referenced against:

- The management consultancy and management Statements of Competence
- The portfolio of prior learning and experience in the professional and /or sectoral specialism area (if applicable)
- And the headings of socio/technological/economic and political awareness.

A suggested **cross-referencing format** is provided in **appendix 4**.

## 4. Obtain two independent client referees

Contact details of **two independent client referees** must be given on the application form. The IMCSA will contact all of these referees directly. Examples of questions asked of these referees are attached in **appendix 5**.

References forwarded by the applicant CMC may be used as additional evidence, but the nominated referee will be contacted directly by the IMC. You should notify your referees before submitting an application. Referees should ideally be end-users of your consultancy work.

## **5. Complete the CMC application form and CV.**

You are asked to complete the CMC declaration and application form attached in appendix 2 and to include in your professional record a complete career CV which should include all relevant dates.

## **11 What happens next?**

- Send two copies of the completed application, the portfolio of evidence and the application/assessment fee to the Professional Registrar at IMCSA.
- Confirmation of receipt of complete application will be emailed to your designated email address within a week.
- Assessment of Portfolio of Evidence takes place by the IMCSA.
- You will receive an assessor's report stating:
  - either that the Portfolio of Evidence submitted is acceptable
  - or that additional Evidence must be supplied within three months of the date of the letter (the assessor will state exactly which areas need to be addressed).
- Arrangements for your assessment interview will be made once the Assessor has accepted your Portfolio of Evidence.
- At the assessment interview you will be expected to be able to expand on and corroborate any of the Portfolio of Evidence supplied.
- After the interview you will:
  - either receive a letter confirming that you are now a CMC
  - or receive an assessor's report stating which areas require further Evidence if you need to make a new application. If a new application is required, it will be necessary to pay a further assessment fee, but Evidence may be re-submitted where appropriate.
- Within a few weeks of being accepted you will receive an individually signed CMC Certificate.

You will be invoiced for the difference in your annual subscription between the Member and CMC rate.

## 12 The Assessment Interview

Assessment interviews are held for candidates for the CMC qualification and take one hour.

### 1. Introduction

The assessment interview panel consists of the assessor and an IMCSA qualified panellist

*The criteria against which you are assessed are set out in this application pack under the competency framework.*

The purpose of the assessment interview is to corroborate the Evidence which has already been assessed at face value. It is also an opportunity for the assessor to probe any aspect of the Portfolio of Evidence and for the candidate to elaborate on any aspect of the portfolio. The final decision and assessor's report is the responsibility of the assessor.

### 2. Preparation for a presentation

You should prepare a succinct presentation on the salient points of your assignment study, aiming to spend a maximum of 10 minutes on it.

### 3. Making a presentation on the subject of the Assignment Study (10 Minutes)

You will be asked to give a 10-minute presentation to the assessor. View this presentation as if you were making a presentation to a client. The assessor may stop you if the allocated 10 minutes are exceeded.

This is an opportunity to emphasise the most important aspects of your assignment study, drawing particular attention to what was learned from this assignment.

### 4. Questioning on the Assignment Study (20 Minutes)

During the following 20 minutes of the assessment interview, the assessor will question you about the assignment study and related presentation. The aim of the questioning is to corroborate the Evidence you have presented in both written and oral forms, and to ensure that the assignment has afforded you scope for learning at post graduate degree level.

### 5. Questioning about the Portfolio of Evidence (30 Minutes)

During the remaining 30 minutes of the assessment interview the assessor will question you on the Evidence presented in your Portfolio of Evidence. The aim of the questioning is to corroborate the Evidence which has been presented, and to determine the stage of professional self-development you have attained.

The assessor and panellist(s) may probe any aspect of your Portfolio of Evidence. It is essential that you are fully conversant with all of the paper Evidence which has been presented.

However, the questions will not be directed at unnecessary detail or designed to catch you out in an unreasonable fashion. Whilst the interview is intended to provide a rigorous corroboration of the Portfolio of Evidence which has been presented, it will be held in a relaxed and informal atmosphere.

## **6. Continuing Professional Development (CPD)**

You will be asked about the CPD records given as Evidence, and may be asked about CPD plans for the coming year.

## **7. Professionalism, quality and ethics**

The assessor will ask you to formally confirm that you are willing to abide by the IMCSA Code of Professional Conduct and the IMCSA Ethical Guidelines.

## **8. Appeal**

If you wish to appeal against a decision, you should write to the Professional Registrar outlining your reasons for the appeal.

The IMCSA Moderator and Professional Registrar will take responsibility for the appeal and may:

- Uphold the decision of the assessor *or*
- Request further written Evidence *or*
- Request a second written assessment/ assessment interview/ complete assessment (by a second Assessor).

Details of all moderator/professional registrar interventions are submitted to the IMCSA professional board. Appeal decisions are final.

# **13 Notes regarding the IMCSA Assessors**

## **1. Role of the Assessor**

- To review the Assignment Study, Professional Record and CV.
- To match the Evidence presented against the CMC standards within the CMC assessment groupings.
- To write an Assessor's Report on the basis of the Professional Record and Assignment Study which is sent to the candidate if the application is deemed to be *not yet acceptable*.
- To lead the assessment interview and to make the final decision.
- To write a further assessor report which will be sent to the candidate if the application is deemed *not yet acceptable* at this stage.

The Assessor must be satisfied that:

- all of the statements of competence (consultancy and management assessment groupings) that are relevant to the particular work of the candidate have been met in full and
- that a relevant qualification at *graduate or postgraduate* level, or an equivalent portfolio of prior learning and experience has been submitted to match the professional quadrant requirements and
- sufficient awareness of socio/ technological/ economic/ political awareness has been demonstrated (i.e. awareness within these headings which is directly relevant to the specialism, type of client and geographical location of the candidate)

## 2. The assessor works within the following structure:

<b>STRUCTURE DIAGRAM</b>
<b>Review Committee</b> Is chaired by the professional registrar
<b>Moderator</b> Monitors and reviews the work of the assessors.
<b>Assessors</b> Carry out the paper assessment and Assessment Interview for the same candidate.
<b>Professional Registrar</b> The professional registrar makes an initial check of the paper Evidence, to ensure that the application is complete and fully cross-referenced against the statements of competence.
<b>Candidate</b> The candidate has a right of appeal. This should be made to the Professional Registrar who will confer with the Moderator. The candidate has responsibility to submit appropriate Evidence for appeal.

## 3. Who is the Assessor?

Assessors are CMC/ FCMC qualified consultants who have volunteered to assist in the assessment process. They take part in the questioning of the candidate and offer guidance and advice to the assessor.

In addition, an assessor either:

1. has successful experience of the assessment of candidates at the IMCSA or at another comparable institute which is using a competence-based assessment system, *or*
2. is a qualified assessor, *or*
3. has significant experience of the internal assessment of their colleagues as part of their management, HR or consulting function at an appropriate level.

All Assessors are interviewed prior to appointment and undergo a CMC assessor induction course before undertaking their first assessment.

#### **4. Who is the Moderator?**

The moderator is an IMCSA qualified consultant who is highly experienced in competence-based assessment. The moderator works with the professional registrar to ensure uniformity of standards, monitors the work of assessors and panellists, and deals with appeals and complaints.

#### **5. What is the Review Committee?**

The review committee draws on a range of experience from consultants, assessors and trainers. It has overall responsibility for all matters connected with the CMC qualification and is the highest point of appeal. The chair of the committee is normally the vice-president (professional) of IMCSA and secretary to the committee is the professional registrar.

#### **6. Notes**

- If any statement of competence from the management consultancy or management competency groupings has not been addressed, the responsibility lies with the candidate to explain why e.g. “this statement is not relevant to my work as a consultant because...”
- Only qualifications, which are directly relevant to the work being undertaken as a consultant, may be used to demonstrate competence. If the qualification is more than 10 years old, the certificate must be supplemented by Evidence of continuing professional development during the last five years. All degree courses with similar syllabuses are counted as equivalent – no distinction is made for grade, honours or the university attended.
- Objectivity - assessors aim to be as objective as possible during the assessment process. This involves avoiding personal prejudice, subjective first impressions and reacting to differences of personal chemistry. Assessors abide by the IMCSA Equal Opportunities policy.

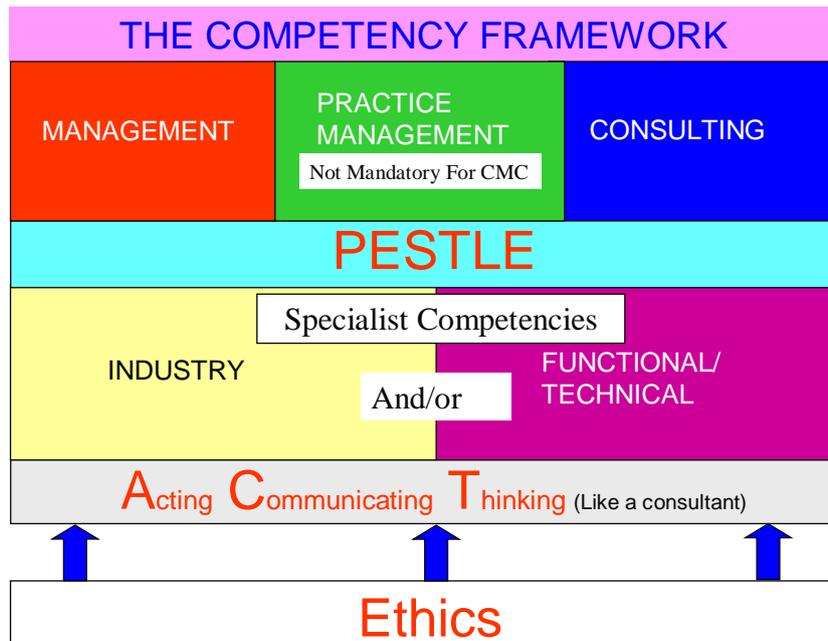
## **14 The Competency Framework**

Applicants for the CMC qualification must satisfy IMCSA of their competence, knowledge, awareness and understanding within each grouping of competencies as follows:

- Consulting competence
- Management competence
- professional specialism – either functional/technical or sectoral/industry
- PESTLE – Political/Economic/Social/Technological/Legal/Environmental awareness
- ACT - Acting Communicating and Thinking like a management consultant
- Ethics and Ethical practice

Competency in **Practice Management** is not mandatory for the CMC qualification.

CMC applicants must agree to abide by the profession's standards and ethics, as embodied in IMCSA's Code of Professional Conduct and Ethical Guidelines.



## 1. Statements of competence

Each of the above competency groupings are segmented into competency standards or units.

Some Standards appear in both the Consulting and Management Competency lists below. This is quite deliberate, and applicants should note that the Evidence required to satisfy the Standards within these two contexts is likely to be quite separate.

With particular regard to consultancy competence, applicants should note that that if their work does not involve them in **management situations** or in the **management interactions** they would not qualify for the CMC designation. They would be classified as **Specialists**.

The IMCSA has utilized the NQF Consulting Unit Standards, Management Standards and Personal Competency Models, the IMCSA's own Body of Knowledge and Experience and the ICMCI guidelines on competency standards as sources for the IMCSA CMC Standards.

## 2. Evidence of Consultancy competence

Relevant Evidence must be produced against the CMC Statements of Competence. As many as possible must be addressed. If any statement cannot be addressed, you should briefly explain why (e.g. not relevant to my particular specialism because...).

Candidates are asked to address as many of the statements as they are able to and which are relevant to their consultancy work, and to explain briefly why any standard has not been addressed.

### **Demonstrate:**

- C1. How you market and sell your consultancy services.
- C2. How you approach new clients and develop mutual understanding with a potential client about the possibilities for an appropriate intervention.
- C3. How you assure the client of your integrity and competence as a consultant and define your specialisms.
- C4. How you apply appropriate diagnostic tools to determine the current position of the client.
- C5. How you ensure that the client shares your perception of their situation.
- C6. How you scope the intervention.
- C7. How you prepare a proposal for a client.
- C8. How you present your proposals to a client.
- C9. How you determine the potential of each option with the client, whilst ensuring that you (or your practice) are able to deliver everything suggested within each option.
- C10. How you conclude the negotiation with the client and how the details of the agreement are recorded.
- C11. How the contractual arrangement and fee basis are agreed with the client.
- C12. How you implement the agreed intervention and manage the client's expectations according to the agreed plan.
- C13. How you build on the initial rapport created with the client to produce a professional working relationship throughout the term of the assignment (and on-going if appropriate).
- C14. How you identify suitable and accurate sources of information, and the methods of obtaining it.
- C15. Your ability to make a clear and appropriate analysis of information which is used in the decision making process within a consultancy context.
- C16. Your ability to select and put into place suitable systems for recording, storage and retrieval of information within a consultancy context.
- C17. How you advise, educate and inform colleagues and clients on the basis of your analysis of information within a consultancy context.
- C18. The use of appropriate techniques to manage financial resources within a consultancy context.
- C19. How you plan the use of physical resources with the client to meet the objectives of your assignment.
- C20. How sufficient and appropriate consultancy hours can be made available to fulfil the requirements of the intervention.

- C21. How you would ensure sufficient client staff resources with appropriate skills to meet the objectives of your assignment.
- C22. How you introduce, plan and control change management with a client.
- C23. How you resolve conflicts within the parameters of an assignment.
- C24. How you explain, establish and monitor the systems, processes and methods necessary for completion of the intervention.
- C25. How you ensure that all of the assignment's objectives have been met in full.
- C26. The process by which you enable your client to take ownership of the developments which you have introduced in the intervention.
- C27. How you assess your own performance during the assignment.
- C28. How you manage your time within the assignment.
- C29. How you manage withdrawal from the client.

### 3. Evidence of Management Competence

Evidence to be produced in the same way as for the management consultancy groupings.

#### **Demonstrate:**

- M1. Your ability to make effective and appropriate contributions to meetings and to understand when leading a meeting or making a contribution to a meeting is the more appropriate role to adopt.
- M2. Your ability to select and put into place suitable systems for recording, storage and retrieval of information.
- M3. Your ability to make a clear and appropriate analysis of information which is used in the decision making process.
- M4. How you advise, educate and inform colleagues and clients on the basis of your analysis of information.
- M5. How you motivate and develop staff.
- M6. How you plan and implement the development of a business.
- M7. The use of appropriate techniques to manage financial resources.
- M8. How you obtain and plan the use of physical resources.

### 4. Evidence of Professional / Sectoral Specialism

You must provide Evidence in one of the following forms:

- a relevant first degree
- a relevant higher degree
- a relevant qualification from a recognised professional institute
- a portfolio of Evidence of prior experience and learning which can be accepted as at least the equivalent of one of the above. This portfolio must give detailed Evidence of your competence within your professional specialism

The term **relevant** means that the qualification must be in the same specialism as your primary work as a management consultant.

## 5. Evidence of Political/ Economic/ Social/ Technological/ Environmental (PESTLE) awareness

You should demonstrate your awareness of the current external issues which affect your work as a consultant. This awareness should be demonstrated throughout the assessment in the Professional Record, the Assignment Study and Assessment Interview. Below are some examples\* of issues which may be addressed. The list is not intended to be exhaustive.

\* address any issue which is relevant to your work or geographical location. Below are some examples of issues which may need to be addressed. This list is not intended to be exhaustive:

<b><i>Social</i></b>	<b><i>Legal</i></b>
Training and development issues	Legal directives
Demographic trends	Health and Safety requirements
<b><i>Technological</i></b>	<b><i>Economic</i></b>
Quality initiatives	Business location issues
Communications advances	Export/import conditions
<b><i>Political</i></b>	<b><i>Environmental</i></b>
Political trends	Environmental issues
Political changes	Climatic issues
Race & equity issues	

## 6. Evidence of Acting, Communicating & Thinking Like a Consultant

Candidates need to demonstrate the personal and interpersonal skills required of a management consultant in order to perform effectively. These skills include diagnostic, fact finding, listening skills, presentation, communication, report writing and intuition.

## 7. Evidence of Ethical Behavioural Competencies

All candidates are asked questions at their Assessment Interview on the IMCSA Code of Professional Conduct and the IMCSA Ethical Guidelines.

## Appendix 1 - New Member Application

Note: If outside of South Africa ensure you have included international dialling codes and country names:

(Please type or use BLOCK LETTERS)

Certified Member <input type="checkbox"/>	Member <b>XX</b> <input checked="" type="checkbox"/>	Associate <input type="checkbox"/>	Upgrading <input type="checkbox"/>
---	--	------------------------------------	------------------------------------

Surname: \_\_\_\_\_

First Names: \_\_\_\_\_

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

Title: \_\_\_\_\_ ID No. \_\_\_\_\_

Company: \_\_\_\_\_

No. Employees: \_\_\_\_\_ Position Title: \_\_\_\_\_

Business Address: \_\_\_\_\_

\_\_\_\_\_ Country: \_\_\_\_\_

\_\_\_\_\_

Post Code: \_\_\_\_\_ (W) Tel. (\_\_\_\_) \_\_\_\_\_

Fax: (\_\_\_\_) \_\_\_\_\_ E-Mail: \_\_\_\_\_

Home Address: \_\_\_\_\_

\_\_\_\_\_ Country: \_\_\_\_\_

\_\_\_\_\_

Post Code: \_\_\_\_\_ (H) Tel. (\_\_\_\_) \_\_\_\_\_

Fax: ( ) \_\_\_\_\_ e-Mail: \_\_\_\_\_

Cell: \_\_\_\_\_ Web Site: \_\_\_\_\_

Send Mail to:  Business Address  Private Address

	<u>Office use only</u>
<b>Date application received:</b>	_____
<b>Date Provisionally Approved:</b>	_____
<b>1. Reference Check</b>	_____
<b>2. Signature from CMC</b>	_____
<b>Date of interview:</b>	_____
<b>Date Accepted:</b>	_____
<b>Accepted as M/A/CMC/Upgrading:</b>	_____
<b>Signed:</b> _____	_____

## EMPLOYMENT HISTORY

Note: If outside of South Africa ensure you have included international dialling codes and country names:

## MANAGEMENT CONSULTING

Name, Address, Phone No. Of Consulting Firm	Position Held	From (Month/Year)	To (Month/Year)	Name & Position of Supervisor

## OTHER EMPLOYMENT

Name, Address, Phone No. Of Consulting Firm	Position Held	From (Month/Year)	To (Month/Year)	Name & Position of Supervisor

**SUMMARY OF EXPERIENCE**

**NO. OF YEARS**

Employment in Management Consulting \_\_\_\_\_

Employment other than Management Consulting \_\_\_\_\_

Total Years Employed \_\_\_\_\_

**Please attach CV in support of this**

**EDUCATIONAL QUALIFICATIONS**

DIPLOMAS	COLLEGE	YEAR
DEGREES	UNIVERSITY	YEAR

**NB: Please attach documentary proof**

**EXPERIENCE QUALIFYING YOU FOR MEMBERSHIP**

In support of your application, complete the attached summaries, setting out recent consulting assignments on which you have been employed.

These should include:

1. Duration of the assignment.
2. Nature of the assignment.
3. Size of the assignment (size of team/value).
4. Your role.
5. The Member of the Institute who supervised the project.

To safeguard client confidences as well as any proprietary information, it is not absolutely necessary to use actual names or locations of the client involved.

## SUMMARY OF CONSULTING ASSIGNMENTS

Note: If outside of South Africa ensure you have included international dialling codes and country names

Please give brief summaries of up to five recent consulting assignments in which you were employed. These summaries will serve to support your application when considered by National Council

---

Assignment 1 \_\_\_\_\_

Duration: \_\_\_\_\_ Size: \_\_\_\_\_ Date Completed: \_\_\_\_\_

Nature: \_\_\_\_\_

---

---

---

Your Role: \_\_\_\_\_

---

Supervisor: \_\_\_\_\_ Contact Number: \_\_\_\_\_

---

---

Assignment 2 \_\_\_\_\_

Duration: \_\_\_\_\_ Size: \_\_\_\_\_ Date Completed: \_\_\_\_\_

Nature: \_\_\_\_\_

---

---

---

Your Role: \_\_\_\_\_

---

Supervisor: \_\_\_\_\_ Contact number: \_\_\_\_\_

---

---

Assignment 3 \_\_\_\_\_

Duration: \_\_\_\_\_ Size: \_\_\_\_\_ Date Completed: \_\_\_\_\_

Nature: \_\_\_\_\_

---

---

---

Your Role: \_\_\_\_\_

---

Supervisor: \_\_\_\_\_ Contact number: \_\_\_\_\_

---

---

Assignment 4 \_\_\_\_\_

Duration: \_\_\_\_\_ Size: \_\_\_\_\_ Date Completed: \_\_\_\_\_

Nature: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Your Role: \_\_\_\_\_

\_\_\_\_\_

Supervisor: \_\_\_\_\_ Contact number: \_\_\_\_\_

=====

**VERIFICATION**

I, \_\_\_\_\_

certify that the information contained herein is correct, and that if admitted to the Institute, I agree to abide by the Constitution and follow the Code of Conduct of the Institute, which are attached to this application form.

Applicant's signature: \_\_\_\_\_

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

As a principal / executive of the applicant's present organisation, I endorse the correctness of this application and support the claim for admission to the Institute as an Associate/Member/Certified Member.

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

\_\_\_\_\_

As Certified members of the Institute of Management Consultants and Master Coaches of South Africa we support the applicant's claim for admission to membership as an Associate/Member/Certified Member.

1) Name: \_\_\_\_\_ Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
Name and Address of business: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

2) Name: \_\_\_\_\_ Signature: \_\_\_\_\_ Date: \_\_\_\_\_  
Name and Address of business: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

If no Certified members signed the abovementioned, we require two written client references.

Note: If outside of South Africa ensure you have included international dialling codes and country names

1. Name: \_\_\_\_\_ Company: \_\_\_\_\_

Contact number: \_\_\_\_\_ Email \_\_\_\_\_

2. Name: \_\_\_\_\_ Company: \_\_\_\_\_

Contact number: \_\_\_\_\_ Email \_\_\_\_\_

**NB: Please attach the two written references from the abovementioned clients, on their company letterhead, indicating designation and required contact details.**

## Appendix 2 - CMC Declaration and Application

### CMC Application Form

- I am an existing IMCSA member
- I have compiled the Evidence necessary for my application to become a CMC, which I attach hereto.
- I have transferred the full amount into the IMCSA's bank account. Proof of deposit attached.
- I attach a cheque for the full amount to this application.

### Personal Details

Note: If outside of South Africa ensure you have included international dialling codes and country names

<b>Forenames</b>	<b>Surname</b>
<b>IMCSA membership number</b>	<b>Daytime telephone number</b>
<b>Email Address</b>	
<b>Physical Address</b>	
<b>Postal Address</b>	
<b>Signature</b>	<b>Date</b>

### Client references

Please provide the names and addresses of three client referees whom IMCSA can approach.

Client	1	2	3
<b>Name</b>			
<b>Position</b>			
<b>Company</b>			
<b>Address</b>			

<b>Tel.</b>			
<b>Fax.</b>			

**i. I have included the following with this form:**

- Assignment profile (2 copies)
- Professional Record including c.v. (2 copies)
- Cross-referencing against IMCSA standards (2 copies)
- Assessment fee of R \_\_\_\_\_ (cheque made payable to IMC)

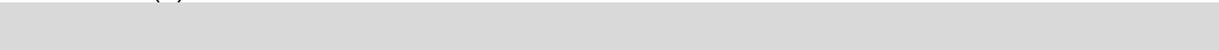
***Please ensure you keep the original documents.***

**Undertaking by the applicant**

- a) I agree that on becoming a CMC I will be governed by the rules of the Institute as they now exist or as they may in future be altered; I will further the objectives of the Institute as far as I am able; provided that when I give notice in writing to the Executive Director of the Institute that I wish to withdraw from the Institute, I shall after payment of any monies which may be due from me, be free from these obligations.
- b) I have read and agree to abide by the IMCSA’s Professional Code of Ethics.
- c) I certify that all the statements made by me in this application form (and attachments, including my C.V.) are correct.

<b>Signature</b>	<b>Date</b>
------------------	-------------

Please return to:  
The Registrar,  
Institute of Management Consultants & Master Coaches of South Africa,  
P.O. Box 130509  
Bryanston  
2021  
South Africa  
Tel +27 11 (0) 789 9996



## Appendix 3 Assignment profile

<b>Project Name</b>		
<b>Project No.</b>		
<b>Project Leader</b>		
<b>Project Length</b>	<b>Begin Date:</b> <b>End Date:</b>	
<b>Project Size</b>	<b>Rand:</b>	<b>Man Days:</b>
<b>Key words search</b>		
<b>Country that project was conducted in</b>		
<b>Other countries in which project took place</b>		
<b>Your role in the project</b>		
<b>Line of Business</b>		
<b>Practices</b>		
<b>Customer</b>		
<b>Customer Challenge / Opportunities</b>		
<b>The key project deliverables</b>		
<b>Outcome / benefits from customer's point of view</b>  (e.g. reduced time to market by X% or increase customer satisfaction etc)		
<b>Project Leader's personal comments (Optional)</b>		
<b>Contact Person for project (Please enter link for email address)</b>		

## Appendix 4 Suggested Format for Cross-Referencing

Please note that one item piece of Evidence may be set against more than one of the standards / statements of competence.

<b>STANDARD</b>	<b>Have provided evidence</b>	<b>Have competence Need to compile Evidence</b>	<b>Need further learning/ experience to meet requirement</b>	<b>Evidence compiled for assessment page / para no (prof. record/ assign. study)</b>
<b>CONSULTING</b>				
<b>C1</b>	✓			
<b>C2 etc</b>				
<b>Conduct</b>				
<b>Ethics</b>				
<b>MANAGEMENT</b>				
<b>M1</b>				
<b>M2 etc</b>				
<b>PROFESSIONAL SPECIALISM</b>				
<b>PESTLE</b>				
<b>Social</b>				
<b>Technological.</b>				
<b>Economic</b>				
<b>Political</b>				

## Appendix 5 - Examples Of questions Asked of Referees

The response of the questions below need to be on the letterhead of the client upon being returned to the IMCSA

1. Description of assignment.

.....

2. What is your view on the Character of the consultant?

.....

3. How would you rate his/her ethical standards on a scale of 1-10?

.....

4. Did the consultant's performance meet your specific requirements to your satisfaction?

.....

5. Did the Consultant's work involve providing independent advice? If so, what sorts of management issues were involved?

.....

6. Did the Consultant's work include help in implementing proposed solutions to management and business issues? If so, what role was played?

.....

7. What specific professional or technical skills were required? Did the consultant meet these requirements to your satisfaction?

.....

8. Any other comments you'd like to share?

.....



## Appendix 6 - Codes of conduct

### **The Institute has two Codes of Conduct, detailed in this document:**

- the Code of Professional Conduct is binding on all members of the Institute practising as Management Consultants - including AIMCs, CMCs, FCMCs, Registered Practices, Certified Practices and those Affiliates in practice,
- the briefer Code of Conduct is binding on all those members not in practice as management consultants - including Affiliates not in practice and Organisational Affiliates.

The objective of the Institute of Management Consultancy is the advancement of the profession of management consultancy through the establishment and maintenance of the highest standards of performance and conduct by all its members, and by the promotion of the knowledge and skills required for that purpose.

### **Professional Standards**

A management consultant is an independent and qualified person who provides a professional service to business, public and other undertakings, by:

- identifying and investigating problems concerned with strategy, policy, markets, organisation, procedures and methods
- formulating recommendations for appropriate action by factual investigation and analysis with due regard for broader management and business implications
- discussing and agreeing with the client the most appropriate course of action
- providing assistance where required by the client to implement the recommendations

In rendering such services to all levels of management, consultants carry a heavy burden of responsibility and an obligation to maintain the highest standards of integrity and competence. Recognising this responsibility, the Institute embodies within its Code of Professional Conduct those duties and obligations required of all members practising as consultants, which will ensure the highest standards of performance, and thereby enhance the reputation and public recognition of the profession, of the Institute and of all its members.

### **Qualities of a Management Consultant**

The personal qualities required of a person to enable them to carry out these duties effectively and efficiently are:

- objectivity, impartiality and independence
- knowledge of management organisation and techniques
- consulting skills
- practical experience
- technical expertise

Certified Management Consultants (CMC/FCMC) has demonstrated that they possess and are able to apply all these qualities. IMC Members (AIMC) is required to demonstrate that they are undergoing approved training and development to this end.

CMCs and Members have a basic responsibility to:

- exercise independence of thought and action
- hold affairs of their clients in strict confidence
- deal with management problems in perspective and give well-balanced advice
- strive continuously to improve their professional skills and to maintain a high quality of advice

- advance the professional standards of management consulting
- uphold the honour and dignity of the profession
- maintain high standards of personal conduct

In recognition of their obligations to clients, to the public at large and to the profession, all members in practice annually agree in writing to comply with the Institute's Code of Professional Conduct, and to undertake relevant Continuing Professional Development activities.

## The IMCSA's Code of Professional Conduct

### Background

The Institute's Code of Professional Conduct is structured on three basic principles dealing with:

- Meeting the client's requirements
- Integrity, independence, objectivity
- Responsibility to the profession and to the Institute

These principles are underpinned by detailed rules, which are specific injunctions, and practical notes, which either lay down conditions under which certain activities are permitted or indicate good practice and how best to observe the relevant Principle or Rule.

The Council of the Institute may, from time to time, issue further Principles, Rules or Notes, which will be promulgated in the Institute's publications before being incorporated into a revised edition of the Code. Members in practice are expected to abide by all such new provisions from the date of their publication. The Principles, Rules and Notes of the Code apply not only to the members personally but also to acts carried out through a partner, co-director, employee or other agent acting on behalf of, or under the control of, the member.

### Definitions used in the Code of Professional Conduct

<i>Member:</i>	A CMC, FCMC, MIMC or AIMC
<i>Client:</i>	The person, firm or organisation with whom the member in practice makes an agreement or contract for the provision of services.
<i>Declaration:</i>	A written statement referring to and disclosing the facts relevant to the situations covered by particular Rules of the Code.
<i>Independent:</i>	In a position always to express freely one's own opinion without any control or influence from others outside the (consulting) organisation, and without the need to consider the impact of such opinion on one's own interests.
<i>Institute:</i>	The Institute of Management Consultancy

### The Principles, Rules and Notes

#### Principle 1

Meeting the client's requirements - A member shall regard the client's requirements and interests as paramount at all times.

#### *Rules:*

##### **Competence**

- 1.1 A member will only accept work that the member is qualified to perform and in which the client can be served effectively; a member will not make any misleading claims and will provide references from other clients if requested.

### **Agreement on deliverables and fees**

- 1.2 A member shall agree formally with the client the scope, nature and deliverables of the services to be provided and the basis of remuneration, in advance of commencing work; any subsequent revisions will be subject to prior discussion and agreement with the client.

### **Sub-contracting**

- 1.3 A member shall sub-contract works only with the prior agreement of the client, and, except where otherwise agreed, will remain responsible for the performance of the work.

### **Confidentiality**

- 1.4 A member will hold all information concerning the affairs of clients in the strictest confidence and will not disclose proprietary information obtained during the course of assignments.

### **Non-poaching**

- 1.5 A member will not invite or encourage any employee of a client for whom the member is working to consider alternative employment, unless it is the purpose of the assignment.

### **Due care**

- 1.6 A member will make certain that advice, solutions and recommendations are based on thorough, impartial consideration and analysis of all available pertinent facts and relevant experience and are realistic, practicable and clearly understood by the client.

### **Communication**

- 1.7 A member will ensure that the client is kept fully informed about the progress of the Assignment.
- 1.8 A member will encourage and take note of any feedback provided by the client on the performance of the member's services.

### **Respect**

- 1.9 A member will act with courtesy and consideration toward the individuals contacted in the course of undertaking assignments.

## **Principle 2**

**Integrity, independence, objectivity** - A member shall avoid any action or situation inconsistent with the member's professional obligations or which in any way might be seen to impair the member's integrity. In formulating advice and recommendations the member will be guided solely by the member's objective view of the client's best interests.

### **Rules:**

#### **Disclosure**

- 2.1 A member will disclose at the earliest opportunity any special relationships, circumstances or business interests which might influence or impair, or could be seen by the client or others to influence or impair, the member's judgement or objectivity on a particular assignment.

2.1.1 Rule 2.1 requires the prior disclosure of all relevant personal, financial or other business interests, which could not be inferred from the description of the services, offered. In particular this relates to:

- any directorship or controlling interest in any business in competition with the client
- any financial interest in goods or services recommended or supplied to the client
- any personal relationship with any individual in the client's employ
- any personal investment in the client organisation or in its parent or any subsidiary companies
- any recent or current engagements in sensitive areas of work with directly competitive clients
- any work for a third party on the opposite side of a transaction e.g. bid defence, acquisitions, work for the regulator and the regulated, assessing the products of an existing client.

### **Conflicts of Interest**

2.2 A member shall not serve a client under circumstances which are inconsistent with the member's professional obligations or which in any way might be seen to impair the member's integrity; wherever a conflict or potential conflict of interest arises, the member shall, as the circumstances require, either withdraw from the assignment, remove the source of conflict or disclose and obtain the agreement of the parties concerned to the performance or continuance of the engagement.

2.2.1 It should be noted that the Institute might, depending on the circumstances, be one of the 'parties concerned'. For example, if a member is under pressure to act in a way, which would bring the member into non-compliance with the Code of Professional Conduct, in addition to any other declaration, which it might be appropriate to make, the facts should be declared to the Institute.

### **Inducements**

2.3 A member shall not accept discounts, hospitality, commissions or gifts as an inducement to show favour to any person or body, nor attempt to obtain advantage by giving financial inducement to clients or client staff.

2.3.1 Payment for legitimate marketing activity may be made, and national laws should be respected.

### **Privacy of information**

2.4 A member shall not use any confidential information about a client's affairs, elicited during the course of an assignment for personal benefit or for the benefit of others outside the client organisation; there shall be no insider dealing or trading as legally defined or understood.

2.5 When required or appropriate a member will establish specific methods of working which preserve the privacy of the client's information.

### **Objectivity**

2.6 A member will advise the client of any significant reservations the member may have about the client's expectation of benefits from an engagement.

2.7 A member will not indicate any short-term benefits at the expense of the long-term welfare of the client without advising the client of the implications.

## **Principle 3**

### **Responsibility to the Profession and to the Institute**

A member's conduct shall at all times endeavour to enhance the standing and public recognition of the profession and the Institute.

#### ***Rules:***

##### **Annual Affirmation**

- 3.1 A member will provide the Institute with annual affirmation of adherence to the Code of Professional Conduct.

##### **Continuing Professional Development**

- 3.2 A member will comply with the Institute's requirements on Continuing Professional Development in order to ensure that the knowledge and skills the member offers to clients are kept up to date.

- 3.3 A member will encourage management consultants for whom the member is responsible to maintain and advance their competence by participating in Continuing Professional Development and to obtain membership of the Institute.

##### **Professional obligations to others**

- 3.4 A member shall have respect for the professional obligations and qualifications of all others with whom the member works.

- 3.5 A member referring a client to another management consultant will not misrepresent the qualifications of the other management consultants, nor make any commitments for the other management consultant.

- 3.6 A member accepting an assignment for a client knowing that another management consultant is serving the client will ensure that any potential conflict between assignments is brought to the attention of the client.

- 3.7 When asked by a client to review the work of another professional, a member will exercise the objectivity, integrity and sensitivity required in all technical and advisory conclusions communicated to the client.

##### **Fees**

- 3.8 A member will negotiate agreements and charges for professional services only in a manner approved as ethical and professional by the Institute.

- 3.8.1 Members are referred to the Institute's 'Guidelines on Charging for Management Consulting Services'.

##### **Publicity**

- 3.9 A member, in publicising work or making representations to a client, shall ensure that the information given:

- is factual and relevant
- is neither misleading nor unfair to others
- is not otherwise discreditable to the profession

- 3.9.1 Accepted methods of making experience and/or availability known include:

- publication of work (with the consent of the client)
- direct approaches to potential clients
- entries in any relevant directory

- advertisement (in printed publication, or on radio or television)
- public speaking engagements

Members are referred to the Institute's 'Guidelines on the Promotion of Management Consulting Services'.

### **Personal Conduct**

3.10 A member shall be a fit and proper person to carry on the profession of management consultancy.

3.10.1 A member shall at all times be of good reputation and character. Particular matters for concern might include:

- conviction of a criminal offence or committal under bankruptcy proceedings
- censure of disciplining by a court or regulatory authority
- unethical or improper behaviour towards employees or the general **public**

3.11 A member shall not wilfully give the Institute false, inaccurate, misleading or incomplete information.

### **Affiliates' Code of Conduct**

The Institute has some members not practising as consultants - individual Affiliates and Organisational Affiliates. They are required to adhere to the standards set out in the brief Code of Conduct set out below:

### **Code of Conduct**

#### **An Affiliate Member:-**

- will further the objectives of the Institute in as far as they are able
- will not bring the Institute or profession of management consultancy into disrepute
- shall be a fit and proper person to be a member of the Institute of Management Consultancy
- shall at all times be of good reputation and character. Particular matters for concern might include:-
  - conviction of a criminal offence or committal under bankruptcy proceedings
  - censure of disciplining by a court of regulatory authority
  - unethical or improper behaviour towards members or the general public.
  - shall not wilfully give the Institute false, inaccurate, misleading or incomplete information

### **Disciplinary action**

All members are liable to disciplinary action if their conduct is found, by the Disciplinary Committee of the Institute to be in contravention of the Codes, or to bring discredit to the profession or to the Institute.

In accordance with the Bylaws, members may be required to make a declaration in answer to enquiries from the Institute concerning their professional conduct. A member failing to make such a declaration may be found in breach of the Principle to which the Rule or Note relates.

## **IMC Ethical Guidelines**

### **Background**

In recent years the perceived lack of individual ethical behaviour has received increasing publicity and scrutiny in the media. The public response has been an increased level of

expectations of higher standards from public servants, elected representatives and professional advisors.

The Institute has published these guidelines to assist members and to provide some tests which can be used to gauge the extent or otherwise of members' ethical behaviour.

The Institute's Code of Conduct is founded on *three basic principles*, namely:

- high standards of service to the client
- independence, objectivity and integrity
- responsibility to the profession

This guidance describes two additional principles, which should attach to an ethical decision, and sets out a number of questions designed to assist individual members to gain an objective insight to their quandary. Having considered these questions, a member may feel the need to discuss the problem with someone else, and the Institute will provide access to a Confidential Ethical Help line. This service, which is free and without commitment, and which is aimed at assisting the member to develop their own resolution, is described at the conclusion of these guidelines.

## Basic Guidelines

A member should consider, with these guidelines, the interests of a wider number and range of 'stakeholders'. 'Stakeholders' has become common usage in ethical circles to refer to those individuals or organisations that have an interest or stake in the situation. Stakeholders may include the general public and the national interest.

**Two basic touchstones or tests to use are *transparency* and *vulnerability*.**

***Transparency*** means the degree to which there is openness in the situation, that is, how much knowledge or information has been made available to the stakeholders. If there is not full and complete openness the reason for such lack of transparency should be carefully examined by the member.

***Vulnerability*** refers to the extent to which each of the stake holder's interests are at risk as a result of the proposed action (or inaction). It may be that a client or a third party is vulnerable because of ignorance, incompetence or financial weakness. A member must give due weight to stakeholders' interests before acting. However, the client comes first, and a member's ethical concerns and any resulting actions must be explained to the client.

## Some questions for testing possible ethical dilemmas

Below are some questions designed to assist individual members to consider how to deal with an ethical problem. They are not equally applicable to every situation and discretion should be exercised in selecting those that are relevant.

### The Background

It is important to try to place dilemmas in context, and the initial questions are designed to obtain facts about the situation.

- Have you defined the circumstances accurately?
- This means 'pulling together' the facts as objectively as possible. It also means examining other issues, which may be less tangible and less easy to evaluate, such as

the motives or aims of stakeholders, which may have a bearing on the influences involved.

- How did this situation occur?
- Again, the circumstances surrounding the events leading up to the present situation, need to be considered carefully. This can be helpful in determining the motives of those involved.
- What is your role in this situation?
- Have you contributed to the circumstances wittingly or unwittingly? What have you to gain - or lose? What does others in the situation think is your role? Note that if you have a stake in the situation, you are probably breaking the Code of Conduct.
- How does your intention compare with the probable results?
- The answer to this question may lay bare the real core of the dilemma - how will you appear to your peers, the public, and the other stakeholders? Should you be influenced by such a consideration? Perhaps by the very act of your decision becoming public the nature of the dilemma changes, and this leads to another question:
- Are you confident that your position is as valid over a long period of time, as it seems now?
- With the passage of time, the dilemma may disappear, or it may be exacerbated. Perhaps the potential action (or inaction) will add to the complexity or introduce new factors. Will the solution still seem relevant?
- Under what conditions would you allow exceptions to your stand?
- If you can arrive at an acceptable solution (in your judgement), it may be that their can, and should, be exceptions. You must be careful about such a conclusion, since it is then a very short step to justifying a self-serving decision, on the basis that you are the exception.
- Up to this point you will be acting not unlike the way a professional management consultant should. Namely, independently and objectively establishing the facts of the situation and bringing to bear an informed and experienced judgement. This process itself may bring a different perspective to the matter, which may result in the potential dilemma dissolving without further action. The very act of seeking objective facts may expose the core of the problem and thus its potential resolution. Some consultants may find that progressing each of these questions with a trusted colleague or member may help to clarify the answers and make the action to be taken easier to identify.
- However, the clearer understanding obtained as a result of your self-questioning may serve to heighten the dilemma and expose a difficult challenge. The following questions are suggested to help you formulate a solution.

## **Vulnerabilities**

- What options do you have? As an adviser?
- It is important to attempt to see the situation as objectively as possible. Yet this may be difficult since ethical dilemmas by their nature are not normally publicised, and it is not normally practical to talk the issue over with a third party. Because you are probably the only one in possession of all the facts and who understands that a dilemma exists, you are almost certainly the only one who can understand what options there are.
- What opportunities do you have to discuss the issue with a colleague or third party?
- If you are a sole practitioner or part of a small firm you can be more vulnerable than if you work in a larger firm. If you have such opportunities, you can test your opinion against a knowledgeable trusted colleague.
- What are the consequences for each stakeholder of your action - or equally important - inaction?

- The consequences may be apparent but sometimes they are not easy to design. There may be damaging consequences, no matter what course of action is taken, and the dilemma rests in making a decision, which results in the least damage (at least in your judgement).
- To whom and to what, do you give your loyalty as a person and as a member of the organisation?
- Often the dilemma is coloured, or at least tinged, with personal and/or poor 'client' relationship. In business, one must make decisions, which can affect careers, and which can be seen to be disloyal or even hostile to a particular superior. This may result in an uncomfortable working environment, and could contribute to the nature of one's decision.
- Could your actions withstand cross-examination in court by an eminent barrister?
- This question is proposed as the strictest of all public credibility tests.
- This second group of questions is aimed at helping individual members to formulate an objective understanding of their quandary and to understand where the vulnerabilities lie.
- The next few questions are focused differently, and are concerned with transparency. If you feel uncomfortable about any of the answers, you should probe more deeply into the reason(s) for this.

## Transparency

- Can you discuss the problem with the client before you make the decision?
- The answer to this question indicates to what extent the principles of transparency are present. If there are any circumstances existing which make such a discussion unlikely, you need to consider why this is so. Is it possible that such a discussion could perhaps expose something with which you are uncomfortable or even weaken your legal position?
- Would you feel comfortable explaining your behaviour to your family? Your friends? Your fellow workers?
- The purpose of this question is to explore the degree of comfort you have with your behaviour. If you feel uncomfortable with the answer, you must seriously question your behaviour.
- Would you feel comfortable if your actions were announced on television or printed in a newspaper?
- Although you may feel comfortable with handling your family and friends, you may still be uncomfortable when faced with the possibility of having to explain your actions in the media. Does this have a bearing on your behaviour?
- Would you feel confident that the action you propose to take (or not to take) would be viewed as proper by your peers?
- While you may be confident that you can rationalise and explain your actions to your family, your friends, the stakeholders and to the media, what about your professional peers? They are more likely to understand the issues involved and to be able to form an informed point of view.

## Conclusion

Members are responsible for their own action, and these testing questions are offered as guidance for members to help in forming their own opinion. The questions are not exhaustive or exclusive, and other questions may suggest themselves during the course of working through the process.

For further confidential advice, contact the Registrar of the Institute who may refer you to the IMC Confidential Ethical Help line. If you decide to do so, the Registrar will ask you for the following information on a confidential basis:-

- the names of the parties involved (to ensure that conflicts of interest are excluded)
- the nature of the work involved, and your role in that work
- an outline of the issue
- the time-scale involved (is it urgent?)
- what sort of guidance you are seeking
- confirmation that you wish the Professional Registrar to approach the Ethical Help line

The Professional Registrar will refer the matter to the Help line, if it is an ethical problem. An independent panel member will be selected who will contact the member to define the problem and offer assistance - usually by phone. Other panel members will be involved if required and subject to the member's agreement.

The panel will aim to help the member come to his/her own resolution of the matter, and under no circumstances can the Institute or panel member accept responsibility for the consequence of members' actions.

**Please note that all application documents are to be sent to the IMCSA electronically.**