

# CMI Complaints Policy and Procedure

AB/POL/0030 • May 2024 • V12.0



## History

### History

Date	Amendments made
May 2024 V12	<ul style="list-style-type: none"><li>• Full review of the document</li><li>• URLs embedded into the document</li><li>• Addition of SQA Accreditation email and telephone contact details</li><li>• Addition of Ofqual email, telephone and contact form details added</li><li>• Addition of Qualifications Wales email and contact form added</li><li>• Addition of CCEA Regulation email and telephone contact details added</li></ul>
September 2021 V11	<ul style="list-style-type: none"><li>• SQA principles update</li></ul>
September 2019 V10	<ul style="list-style-type: none"><li>• SQA now altered to SQA accreditation</li><li>• For all SQA accredited qualifications the learner should contact SQA Accreditation: FAO Senior Regulation Manager, SQA principles update</li></ul>
June 2019 V09	<ul style="list-style-type: none"><li>• Thorough review of the document.</li><li>• Insertion of 'History' and 'Distribution' sections</li><li>• Created as a Policy – AB/POL/0030/July 19/V09</li><li>• Procedure document AB/PRO/0014/Jul18/V08 now discontinued</li><li>• Numbered sequential steps were added to the procedure for clarity</li></ul>

## Distribution

### Distribution List

- All Quality Managers
- All Lead Moderators
- New Partner Relationship Manager
- Customer Service team
- Assessment and Support Coordinator
- HE Partnership Support Executive
- Digital Delivery
- Quality Auditor
- CMI Centres

This policy will be published on the [CMI website](#).

## Purpose

### Document Purpose

This procedure applies to all Chartered Management Institute (CMI) Centres, Employers and Learners registered on a CMI qualification. This document sets out guidance about how to make a complaint to CMI and the procedure to follow.

## Scope

### Scope

This policy applies to all CMI Awarding Body staff (including contractors), CMI Centres and CMI-registered Learners and Apprentices, Training Providers and Employers who use CMI as their End Point Assessment Organisation.

## Introduction

### Document Introduction

CMI is committed to providing a duty of care to its Learners, to supporting its Centres and to delivering a high standard of customer service.

Feedback is most welcome and will help towards improving our service.

Regulations require CMI to publish procedures to Learners and CMI Centres for dealing with complaints. This is to maintain the integrity of the CMI qualifications. This document fulfils that requirement.

## Definition of Complaints

### Complaint

The term “complaint” means a communication to CMI in which a person expresses dissatisfaction with a particular situation.

A complaint may relate to, for example:

- A failure to provide a service.
- Inadequate quality or standard of service.
- Wrong information about CMI’s products and services.
- The quality and availability of facilities and learning resources.
- Accessibility of assessment.
- The behaviour of a member of CMI staff.

To establish whether the nature of the incident is a 'complaint' or 'whistleblowing' or an 'appeal', this policy should be read in conjunction with the following policies:

- [CMI Awarding Body Whistleblowing Policy](#)
- [CMI Appeals Policy and Procedure](#)

## Regulatory Requirements

### Regulatory Requirements

As part of the regulators' requirements ([CCEA Regulation](#), [Ofqual](#) and [Qualifications Wales](#)), there is a requirement under Condition D4 and [SQA Accreditation Regulatory Principles](#), SQA Principle 16; for all regulated awarding organisations/bodies to publish a complaints procedure. This document fulfils that requirement.

#### Regulatory Requirements and Definitions

This policy meets the regulatory requirements set out by the [CCEA Regulation/Ofqual](#)- General Conditions of Recognition, [Qualifications Wales](#) - Standard Conditions of Recognition -

#### Condition D4 - Responding to enquiries and complaints procedures

##### Responding to enquiries from Users of qualifications

**D4.1** An awarding organisation must answer accurately, fully and within a reasonable time any reasonable enquiries received by it from Users of qualifications.

**D4.2** Nothing in this condition obliges an awarding organisation to disclose information if to do so would breach a duty of confidentiality or any other legal duty.

##### Complaints procedures

**D4.3** An awarding organisation must establish, maintain, publish and at all times comply with a written complaints procedure.

**D4.4** The complaints procedure must in particular include procedures and timescales for –

- (a) responding to complaints, and
- (b) dealing with the subject matter of complaints.

This Policy also meets the requirements of the [SQA Accreditation Regulatory Principles](#):

**SQA Principle 16.** The awarding body and its providers are responsible for demonstrating effective handling of complaints, in line with published procedures and timescales, and without unreasonable delay.

Awarding body staff, providers and learners must be made aware of how and when they can complain to SQA Accreditation and, where appropriate, the Scottish Public Services Ombudsman (SPSO).

Where a complaint is upheld, the awarding body and/or provider should take appropriate, corrective and/or preventative action.

## Nature of complaint

### Nature

There may be various situations in which a complaint arises:

- A Learner wishes to complain about a CMI Centre at which they are registered for a CMI qualification.
- An Employer wishes to complain about a CMI Centre at which they have Learners registered for a CMI qualification.
- A third party (for example, parent/relation of Learner) wishes to complain about a CMI Centre at which the Learner is registered.
- A CMI Centre, Learner, Employer or other person wishes to complain about CMI.

### If the Complaint is about a CMI Centre

All CMI Centres are required to have their own complaints process. If a Learner has a complaint they must follow their Centre's own complaints procedure in the first instance. Then, if they are not satisfied with the formal outcome of the internal process they can refer to CMI.

If an Employer or other person has a complaint about the service being provided by a CMI Centre in respect of the delivery/teaching, marking, assessment or verification for a Learner or a group of Learners following a CMI qualification, they must first follow that Centre's complaints procedure. If the Employer or other person has exhausted the Centre's complaints policy and has not received a satisfactory response or resolution, then the complaint may be referred to CMI.

If the nature of the situation warrants notification to CMI via the Whistleblowing policy, then this will take precedence. It is likely that if a third party such as a member of Centre staff has a complaint about a Centre, this is more likely to fall under the CMI Whistleblowing policy.

CMI is committed to offering a quality and customer-oriented service, and feedback from CMI Centres and Learners on any issue will be most welcome.

### If the Complaint is about CMI

If there is a complaint about CMI, the complainant should put the complaint in writing, using the contact details below.

## Notification of complaints

### Notification

**Please notify all complaints in writing using one of the following options:**

**By email to:** [awardingbody@managers.org.uk](mailto:awardingbody@managers.org.uk)

**By post to:** FAO Awarding Body, Chartered Management Institute, Management House, Cottingham Road, Corby, Northamptonshire, NN17 1TT

## Procedure

Where CMI receives a complaint, it is important that this is dealt with promptly and in line with CMI procedures.

CMI's procedure for complaints may involve the following actions:

- Complaint received.
- Complaint acknowledged.
- Complaint reviewed and investigation undertaken (where necessary).
- Response made.
- Action taken/planned.
- Notifying the regulators (where necessary).
- Recording the complaint.
- Appeal handling.
- Alerting other Awarding Bodies.
- Final arbitration.

### **Complaint received**

Please provide as much information as possible regarding the complaint, which may include copies of emails sent/received, records of telephone calls, letters etc. Please make it clear that the communication is a complaint by putting the word "complaint" in the letter or email header/title.

If a complaint is received in person or by phone, the complainant will be asked to put it in writing.

### **Complaint acknowledged**

CMI will contact the complainant within 3 working days (UK) of receiving the complaint by email or letter to acknowledge the complaint.

### **Complaint Reviewed**

CMI will review the information presented and decide whether it is appropriate to either:

- Bring the matter to the attention of the CMI Programme Director at the Approved CMI Centre, asking them to investigate the complaint and to produce a written report on the outcome, or
- Investigate the complaint directly. This investigation will be carried out either by a CMI Quality Manager, a CMI Senior Quality Manager or the Head of Awarding Organisation as appropriate.

CMI will also need to consider whether the regulators should be notified of the matter.

Following a review of the complaint, it may be appropriate to investigate the matter in more detail. CMI staff will do this following the CMI Investigation Procedure.

### **Response Made**

CMI will respond to the complainant by email within 28 working days (UK). Complainants will be informed as appropriate of any actions taken/to be taken.

Please note that where a 'third party' has made the complaint, for example, an employer has complained about the service provided by a CMI Centre to Learners who are also employees of that employer, it may not be possible for CMI to share the details or outcomes of any investigations with the third party.

### **Action taken/planned**

CMI will take the appropriate preventative and/or corrective action. Complainants will be informed where appropriate about the action taken.

### **Notifying the Regulators (where necessary)**

In cases where there could be an adverse effect (for example, cases with alleged fraud or serious threat to the integrity of CMI qualifications or CMI as an organisation), the CMI is required to escalate the matter immediately to the appropriate regulatory bodies. CMI and the CMI Centre are required to cooperate in full, providing information and taking the appropriate action.

### **Recording the Complaint**

The complaint needs to be recorded to ensure an audit trail. The complaint is recorded on the CMI Awarding Body Google Drive by the Awarding Body Support Team,

### **Appeals handling**

Complainants who are dissatisfied with the outcome may appeal against the decision using the CMI Appeals Policy and Procedure.

### **Alerting other Awarding Bodies/Organisations**

Regulations require that CMI notifies other Awarding Bodies/Organisations of cases of complaint where these cases are likely to impact on the other Awarding Bodies/Organisations. In dealing with the complaint, CMI must pay due regard to this requirement and notify other Awarding Bodies/Organisations, as appropriate.

This will usually be appropriate where:

- The CMI Centre where the complaint has occurred (or is suspected) is also approved with another Awarding Body (for the same or different qualifications) and the (suspected) complaint could potentially impact on the activities undertaken on behalf of that other Awarding Body/Organisations.
- The CMI Approved Centre where the complaint has occurred (or is suspected) is also approved with another Awarding Body/Organisation for the same qualifications and there is the potential for the CMI Approved Centre to move their operations to the other Awarding Body/Organisation in an attempt to avoid sanctions and continue substandard practices.
- The CMI Approved Centre where the complaint has occurred (or is suspected) has indicated that they are seeking approval with another Awarding Body/Organisation (for the same or different qualifications).

### **Final Arbitration**

The regulators are not appeal bodies and will only arbitrate if the evidence is provided. Anyone approaching the regulators for this purpose should provide written copies of all relevant communications. Regulators should only be contacted once previous steps have been followed.

### **The Regulators contact details are as follows:-**

For vocational qualifications in England - [Ofqual \(Office of Qualifications and Examinations Regulation\)](#), Station Square, Coventry CV1 2FL

Alternatively, contact them directly - <https://complaints.ofqual.gov.uk/>

Telephone number for assisted complaints - 0300 303 3344

If you think that the outcome of the internal review is wrong or if you do not agree with Ofqual's decision not to conduct an internal review, you can [contact the Parliamentary and Health Service Ombudsman](#). The ombudsman carries out independent investigations into complaints about public bodies.

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For vocational qualifications in Wales - [Qualifications Wales](#), Q2 Building, Pencarn Lane, Imperial Park, Coedkernew, Newport, NP10 8AR

Alternatively, contact them directly - Please complete the [complaint form](#) below and email it to - [report@qualifications.wales](mailto:report@qualifications.wales)

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For vocational qualifications in Northern Ireland - [CCEA Regulation](#), CCEA Regulation Complaints Coordinator, 29 Clarendon Road, Belfast, BT1 3BG

Alternatively, contact them directly - [info@ccea.org.uk](mailto:info@ccea.org.uk) / [ccearegulation@ccea.org.uk](mailto:ccearegulation@ccea.org.uk) or telephone 028 9026 1200.

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For all SQA-accredited qualifications, You can complain in person or in writing - [SQA Accreditation](#), The Optima Building, 58 Robertson Street, Glasgow G2 8DQ

Alternatively, contact them directly - [accreditation@sqa.org.uk](mailto:accreditation@sqa.org.uk) / telephone 0345 213 5249 or by completing their online complaints form: [https://accreditation.sqa.org.uk/accreditation/About\\_Us/Complaint](https://accreditation.sqa.org.uk/accreditation/About_Us/Complaint)

As part of SQA's Gaelic Language plan, complaints can also be submitted in Gaelic and Scottish Qualification Authority Accreditation will reply to you in Gaelic.

**Note** - In Scotland, users of public bodies also have the right to complain to the Scottish Public Service Ombudsman (SPSO) as the final arbiter. Users have to exhaust the public body's own complaints procedure before the SPSO will consider their complaint, and it must usually have been raised within the previous 12 months. The complaint cannot be under consideration in a court of law.

The SPSO will not consider complaints about academic decisions, such as the outcomes of an assessment. These types of complaints should be treated as an appeal using the CMI assessment review and appeal procedure as detailed in the SQA Accreditation's Regulatory Principles (2021). Although the SPSO's rules apply only to public bodies (for example, FE Colleges and local authority Centres), in this context SQA, the regulator for Scotland is also a public body. Therefore Learners at CMI Centres that are not public bodies will be able to escalate their complaints to the SPSO.

[Scottish Public Services Ombudsman](#), Bridgeside House, 99 McDonald Road, Edinburgh, EH7 4NSR

Alternatively, contact them directly -

- Freephone: 0800 377 7330
- Online contact: <https://www.spsso.org.uk/contact-us>
- Website: <https://www.spsso.org.uk/>
- Mobile site: <https://m.spsso.org.uk/>

## Monitoring and Review

### Monitoring and Review

This policy will be reviewed annually to ensure the appropriateness and approach are fit for purpose.