

# **EPA COMPLAINTS PROCEDURE**

March 2021

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**(INSIDE COVER)**

<b>EPA Complaints Procedure</b>	
<b>Applies to</b>	Employers, Training Providers, CMI Apprentices, CMI Staff and Associated Third Parties
<b>Effective from and replaces all previous versions prior to</b>	26 March 2021
<b>Owned by</b>	Awarding Body Team
<b>Reviewed and monitored by</b>	Senior Quality Manager (EPA) & Head of Awarding Body and Compliance
<b>Document Location</b>	Website
<b>Review Frequency</b>	Annually

## **Version Control**

This is version 1 of the Chartered Management Institute (CMI) EPA Complaints Procedure. This version replaces all previous ones, and it is each stakeholder's responsibility to ensure that all staff involved in the provision of CMI apprenticeships familiarise themselves with this version of the document.

This document is subject to revision and is maintained electronically. Electronic copies are version controlled. Printed copies are not subject to this control.

<b>History</b>			
<b>Page No.</b>	<b>Chapter Title</b>	<b>Amendments Made</b>	<b>Date Amended</b>
Whole handbook	Whole document	Thorough review and update	10/03/2021

## 1. Purpose

This procedure applies to all Chartered Management Institute (CMI) Training Providers, Employers and Apprentices registered on a CMI End Point Assessment . This document sets out guidance of how to make a complaint to CMI in regard to End Point Assessment and the procedure to follow.

## 2. Procedure to Make an EPA Complaint

All CMI Training Providers are required to have their own complaints process. If an Apprentice has a complaint about on-programme delivery of the Apprenticeship they must follow their Training Provider's own complaints procedure. EPA complaints to CMI must only concern the activity of the End Point Assessment process or service conducted by CMI.

CMI is committed to offering a quality and customer orientated service, and feedback from CMI Training Providers, Employers and Apprentices on any issue will be most welcome.

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:

1. Complaint received
2. Acknowledged
3. Complaint reviewed
4. Response made
5. Notifying the regulators (where necessary)
6. Record the complaint

### 2.1 Complaint Received

If you have a complaint about CMI's End Point Assessment Service, please put the complaint in writing and send it by email or post to the below address. Please give as much information as possible about your complaint, to enable CMI to investigate and review it.

**Email: [epa.absupport@managers.org.uk](mailto:epa.absupport@managers.org.uk)**

**Address:**

**FAO Awarding Body  
Chartered Management Institute  
Management House  
Cottingham Road  
Corby  
Northamptonshire  
NN17 1TT**

### 2.2 Acknowledged

CMI will contact the complainant **within 3 working days** of receiving the complaint via email or letter to acknowledge the complaint.

## **2.3 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 Training Provider 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 by a member of the Awarding Body Quality team
- Consider whether the regulators should be notified of the matter.

## **2.4 Response Made**

CMI will respond to the complainant by email or post within 28 working days, and will take the appropriate, preventative and/or corrective action required.

## **3. Notifying the Regulators**

In cases where there could be an adverse effect (e.g. cases with alleged fraud or serious threat to the integrity of CMI apprenticeships or CMI as an organisation) CMI is required to escalate the matter immediately to the appropriate regulatory bodies. CMI and the CMI Training Provider are required to co-operate in full, providing information and taking the appropriate action.

## **4. Record the Complaint**

The complaint needs to be recorded to ensure an audit trail; the complaint is recorded on CMI internal systems and documents by the Awarding Body admin team.

## **5. Investigation**

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.

Complainants will be informed as to the appropriate action taken/or to be taken and will be informed as to when they can expect a response regarding the outcome.

## **6. Appeals**

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

## **7. Alerting other End Point Assessment Organisations**

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

This will usually be appropriate where:

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

Every effort has been made to ensure that the information contained within this policy is true and correct at the time of publication. However, CMI products and services are subject to continuous development and improvement and the right is reserved to change products and services from time to time. CMI cannot accept responsibility for any loss or damage arising from the use of the information in this policy.

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