

## History

Date	Amendments Made
04/03/2024	<p>Review of CMI EPA Complaints Procedures - taking account of Ofqual General Conditions of Recognition- I2.</p> <p>Test of email address - all working</p> <p>Initial capitals changed for consistency and End Point Assessment abbreviated to EPA for consistency throughout the document. No change to context.</p>
27/02/2023	Review of whole document in context to Ofqual General Conditions of Recognition- I2, current CMI policy and procedure
22/02/2022	Thorough review and update of whole document in context to Ofqual General Conditions of Recognition- I2, current CMI policy and procedure
10/03/2021	Thorough review and update of whole document

# Distribution

## Distribution List

- This policy will be published on the CMI website
- All EPA Managers
- Employers
- Training Providers
- Associated Third Parties

# Purpose

## Document Purpose

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

# Scope

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The purpose of this policy is to set out the guidelines and procedures for raising, managing and responding to complaints relating to the delivery of CMI EPA.

# Procedure to Make an EPA Complaint

## Complaint Procedure

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 EPA process or service conducted by CMI.

CMI is committed to offering a quality and customer-oriented 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

## 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

## Complaint Acknowledgment

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

## Complaint Review

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.

## Response

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.

# Notifying the Regulators

## Notification to Regulators

In cases where there could be an adverse effect (for example, 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.

## Record of Complaint

### Record Management - Complaints Log

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 administration team.

## Investigation

### Investigation Activities

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.

## Appeals

### Right of Appeal

Complainants who are dissatisfied with the outcome may appeal against the decision using the CMI EPA Enquiries and Appeals Procedure or directly contact the relevant External Quality Assurance organisation (refer to the IfATE website for further information).

## Alerting Other End Point Assessment Organisations

### Grounds for Notification

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).

## **Monitoring and Review**

CMI will review this policy annually as part of our self-evaluation arrangements and revise it in line with any feedback from stakeholders, regulatory authorities or external agencies, or changes in our practices.