

# **CMI Awarding Body**

Apprenticeship Assessment Complaints  
Procedure - V3.1

November 2025

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Apprenticeship Assessment Complaints Procedure

AB/POL/0040 - November 2025 - V3.1

## History

<b>Date</b>	<b>Amendments Made</b>
03/09/2025	Review of document and inclusion/amendments to the reporting process to include CPC actions.
05/03/2025	Annual review undertaken. Headers/footers updated, no further amendments
04/03/2024	Review of CMI EPA Complaints Procedures - taking account of Ofqual General Conditions of Recognition- I2.  Test of email address - all working  Initial capitals changed for consistency and End Point Assessment abbreviated to EPA for consistency throughout the document. No change to context.
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

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## Intended Audience

- Employers and Centres
- CMI staff and associated third parties

All of CMI's policies are published on the [CMI Policies Webpage](#)

## Purpose

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

## Scope

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 Apprenticeship Assessment.

## Regulatory Requirements

This policy meets the regulatory requirements set out by our regulators: Ofqual.

[Ofqual - General Conditions of Recognition](#)

Regulator or Relevant Regulatory Body	Reference Details	Legislation/Regulatory Reference
Ofqual	General Conditions of Recognition	Condition D4

## Definition of Complaints

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

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A complaint may relate to, but is not limited to:

- A failure to provide a service
- Inadequate quality or standard of service
- Wrong information about CMI's products and services
- The quality and accessibility of assessment
- The behaviour of a member of CMI staff

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

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

## Complaint Procedure

All CMI Centres 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 CMI Centre's own complaints procedure. Apprenticeship Assessment complaints to CMI must only concern the activity of the Apprenticeship Assessment process or service conducted by CMI.

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

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/Organisations

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## Complaint Received

If you have a complaint about CMI's Apprenticeship Assessment Service, please put the complaint in writing and send it by email, post to the below address, or log via CMI Partner Connect. Please give as much information as possible about your complaint which may include copies of emails sent/received, records of telephone calls, letters, etc, to enable CMI to investigate and review it.

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

**By post to:** FAO Awarding Body, Chartered Management Institute, 77 Kingsway, London, WC2B 6SR

**Centres:** Complaints can be notified to CMI by completing the CMI Partner Connect Form - Complaint Form (Created by Centre).

## Complaint Acknowledgment

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

Where a Centre has raised a complaint on the CMI Partner Connect System, they will receive an immediate acknowledgement.

## 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 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 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 20 working days. Complainants will be informed as appropriate of any actions taken/to be taken.

Where a complaint is submitted by a third party, CMI may be unable to share the outcome(s) of any investigation with the complainant. This is to avoid potential conflicts of interest and to uphold confidentiality.

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## 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 apprenticeships or CMI as an organisation) CMI is required to report the matter immediately to the appropriate regulatory body. CMI and the CMI Centre are required to co-operate fully with any requests from the Regulator, to provide information and take the appropriate action.

## Recording the Complaint

The complaint will be formally recorded to ensure a clear audit trail. When a complaint is received by the Awarding Body Support Team, it will be logged on the CMI Partner Connect System, and any correspondence related to the complaint will be attached to the Complaint Form. Where the complaint is made by the Centre directly using the Complaint Form on CMI Partner Connect, this will create a record of this Form, and any correspondence related to the complaint will be attached.

## Appeals

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

## Alerting Other Awarding Organisations

Regulations require that CMI notifies other Awarding Organisations of cases of complaint where these cases are likely to impact on the other Awarding Organisations. In dealing with the complaint, CMI must pay due regard to this requirement and notify other Awarding 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 Organisation (for the same or different apprenticeships) and the (suspected) complaint could potentially impact on the activities undertaken on behalf of that other Awarding Organisation.
- The CMI Centre where the complaint has occurred (or is suspected) is also approved with another Awarding Organisation for the same apprenticeships and there is the potential for the CMI Centre to move their operations to the other Awarding Organisation in an attempt to avoid sanctions and continue substandard practices.
- The CMI Centre where the complaint has occurred (or is suspected) has indicated that they are seeking approval with another Awarding Organisation (for the same or different

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apprenticeships).

## **Monitoring and Review**

This policy will be reviewed in line with CMI's Document Control Policy.