

CMI Awarding Body

Appeals (Qualifications) Policy and Procedure
V15

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AB/POL/0013 - January 2026 - V15

History

Date	Amendments Made
January 2026 / V15	<ul style="list-style-type: none">• Incorporated CMI Partner Connect• Transferred to the new CMI Policy Template• Full review• Change in SQA Accreditation to Qualifications Scotland Accreditation
May 2024 / V14	<ul style="list-style-type: none">• Amendments have been made to the complete document• URLs embedded into the document• Addition of the Regulatory Conditions and Principles section• Removal of Stages 3 & 5 from the previous policy• Change of wording of upheld or rejected at each stage• A legal representation statement was added• Fee sentence added
September 2021 / V13	<ul style="list-style-type: none">• Revision to stage two appeal, removing reference to external organisations• SQA new principles
December 2020 / V12	<ul style="list-style-type: none">• Adding clarity to appeal stages, amending Policy in line with revised Ofqual and CCEA Conditions of Recognition
November 2019 / V11	<ul style="list-style-type: none">• Updated SQA contact details following an external SQA Audit
July 2019 / V10	<ul style="list-style-type: none">• Complete revision of the previous document to add clarity regarding the procedure which should be followed by Learners at Approved and Registered Centres wishing to appeal an assessment decision made through the CMI EA marking system• Removal of reference to "enquiries" as the first stage of an

	<p>appeal.</p> <ul style="list-style-type: none">• Document created as a Policy AB/POL/0029/July 19/V10• Discontinuation of CMI Enquiry and Appeals Procedure AB/PRO/0015/March 17/V7
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Intended Audience

- CMI Quality Managers
- CMI Markers and Moderators
- CMI Partner Services Team
- CMI Partner Relationship Managers
- CMI Partner Engagement Managers
- CMI Awarding Body Support Team
- CMI Centres

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

Purpose

This procedure applies to all Chartered Management Institute (CMI) Registered and Approved Centres and Learners registered on a CMI qualification. This document sets out guidance on how to make an appeal to CMI and the procedure to follow.

All CMI Centres, as part of the approval process, are required to have in place their own appeals procedure. CMI expects Learners to exhaust the internal Centre Appeals process before contacting CMI and seeking to use the CMI Appeals Policy as a final stage of redress.

This Policy should be read in conjunction with the following CMI policies to check which is the most applicable:

- CMI Awarding Body Whistleblowing Policy
- CMI Complaints Policy and Procedure

These can be found on the [CMI website](#).

Scope

This procedure applies to all key stakeholders engaged with the CMI qualifications. This includes CMI

Centres, Centre staff and CMI Learners.

There are some instances where CMI will not be able to investigate or review an appeal:

- An appeal is received outside the timescales outlined in this procedure
- A situation that has taken place prior to CMI receiving the Learner's registration, or in the instance that the Learner has never been registered with CMI
- Anything that should first be dealt with by the CMI Safeguarding Policy (Quals), which can be accessed on [CMI Policies Page](#)
- Anything that should be dealt with under law, or the employer's disciplinary or grievance procedures

Regulatory Requirements

This policy meets the regulatory requirements set out by our regulators: Ofqual, CCEA Regulation, Qualifications Wales, and Qualifications Scotland Accreditation.

[Ofqual - General Conditions of Recognition](#)

[Qualifications Wales - Standard Conditions of Recognition](#)

[CCEA Regulation - General Conditions of Recognition](#)

[Qualifications Scotland Accreditation - Regulatory Principles \(2021\)](#)

Regulator or Relevant Regulatory Body	Reference Details	Legislation/Regulatory Reference
Ofqual	General Conditions of Recognition	Condition No: I1. Appeals Process
Qualifications Wales	Standard Conditions of Recognition	Condition No: I1. Appeals Process
CCEA Regulation	General Conditions of Recognition	Condition No: I1. Appeals Process
Qualifications Scotland Accreditation	Regulatory Principles 2021	Principle 17. The awarding body and its providers must have clear, fair and equitable systems, processes to manage appeals

Definitions

Appeal

The term “Appeal” relates to the dissatisfaction with a CMI decision or CMI Centre decision, which may include the following areas:

- Assessment decisions
- Decisions regarding the application for Reasonable Adjustments or Special Consideration
- Decisions made in cases of malpractice and maladministration
- Decision or Sanction resulting from an investigation
- Decisions made in relation to Centre/Qualification approval status
- The outcome of a complaint

Learner

The term “Learner” refers to an individual who has been registered on a specific CMI qualification at a CMI Approved or Registered Centre. The Learner will have received confirmation from CMI that they have been registered and will have been issued with a unique Learner number, which can be used to locate them on CMI records.

Centre

The term “Centre” refers to an organisation such as a training provider, employer, higher education institution or further education college approved by CMI to undertake the delivery of qualifications and assessments and, as the case may be, other activities for Learners on behalf of CMI.

CMI Appeals Procedure

- If you are a Learner wishing to appeal a CMI marking service decision.
- If you are a Centre wishing to appeal a CMI marking service decision.
- If you are a Centre wishing to appeal a CMI moderation decision.
- For a Centre wishing to appeal a decision made by CMI in respect of a malpractice or maladministration investigation, complaint outcome or other decision concerning your Centre's status.

Note - If a Learner, Centre or any other relevant party wishes to be legally represented in relation to any aspect of the appeal, we must be informed in writing; this must include details of who the representative is, what their credentials are and what interest they have in the appeal case. CMI reserves the right to also be legally represented.

Summary of Procedure

Stage	Purpose	Responsibility
Stage 1	<p>Learners wishing to appeal against a Centre decision regarding -</p> <ul style="list-style-type: none"> • An assessment decision made by an Approved CMI Centre • A decision regarding reasonable adjustments or special consideration • A decision regarding a malpractice outcome • A decision regarding a complaint outcome <p>Centres wishing to appeal against a CMI decision regarding -</p> <ul style="list-style-type: none"> • A CMI marking service decision. 	<p>The Centre's own Appeals procedure should be followed</p> <p>CMI</p>
Stage 2	<p>The purpose of this stage is to identify if CMI or the CMI Centre followed the correct processes, procedures and policies for any of the types of decisions listed above.</p> <p>Learners wishing to appeal against a Centre decision regarding -</p> <ul style="list-style-type: none"> • An assessment, malpractice or reasonable adjustments/special consideration decision made by the Approved Centre at which they are registered. • A CMI marking service decision. • A CMI complaint investigation outcome. <p>Centres wishing to appeal against a CMI decision regarding -</p> <ul style="list-style-type: none"> • A CMI moderation decision. 	CMI

	<ul style="list-style-type: none"> • A CMI malpractice or maladministration investigation outcome. • A CMI complaint investigation outcome. • A decision made by CMI in respect of their Centre/Qualification status 	
Stage 3	Independent Review of the Process - The purpose of this stage is to identify if CMI followed the correct processes, procedures and policies for any of the types of decisions listed above.	Independent Review Panel appointed by CMI

Fee

There are no fees applied to an appeal.

Appeal acceptance

The decision of whether to accept the application for an appeal at any stage is based on the following:

- Whether the appeal submitted falls within our acceptance criteria
- Whether any other relevant/required process, procedure or policy has first been completed
- Whether there is sufficient evidence that our relevant processes, procedures and policies have not been consistently and fairly applied

Stage 1 Appeal

Internal Centre Appeal (Applicable to Learners at Approved/Registered Centres)

Applies to:

- Learners wishing to appeal an assessment decision made by an Approved CMI Centre at which they are registered.
- Learners wishing to appeal a decision regarding Reasonable Adjustments or Special Consideration made by the CMI Centre at which they are registered.
- Learners wishing to appeal a decision regarding malpractice outcome made by the CMI Centre at which they are registered.
- Learners wishing to appeal against the complaint investigation outcome made by the CMI Centre at which they are registered.

As part of the CMI approval process, Centres are required to have in place their own policy in relation to appeals. This policy should set out the Centre's appeals procedure and how they will work with Learners informally to resolve any issues at an early stage.

Learners should exhaust their Centre's internal Appeals Procedure in the first instance. If, after this appeal, the issue remains unresolved, Learners can appeal to CMI as per Stage 2.

Stage 2 Appeal

CMI Review of assessment decision (Moderation/Marking) or other decision, including reasonable adjustments/special consideration decision, complaint investigation outcome, malpractice/maladministration investigation outcome or Centre/Qualification status decision made by CMI or a CMI Centre.

Applies to:

- Learners wishing to appeal an assessment, malpractice or reasonable adjustments/special consideration decision made by the Approved Centre at which they are registered (once the Centre's own procedure has been exhausted).
- Learners wishing to appeal a CMI marking service decision.
- Centres wishing to appeal a CMI marking service decision.
- Centres wishing to appeal a CMI moderation decision.
- Centres wishing to appeal a decision made by CMI in respect of a malpractice or maladministration investigation.
- Centres wishing to appeal a decision made by CMI in respect of a complaint.
- Learners wishing to appeal a decision made by CMI in respect of a complaint.
- Centres wishing to appeal a decision made by CMI in respect of their Centre/Qualification status

Approved Centre

An appeal to CMI regarding an Approved Centre's assessment decision must be made to CMI **within 20 working days (UK)** of the Learner being informed of the decision, outcome or result of their Centre's Appeals Procedure (for example, after Stage 1).

Note - Learners at Approved Centres wishing to appeal an assessment decision **must** have already exhausted the Centre Appeals Procedure (Stage 1 as above).

Registered Centre (or Approved Centre using CMI Marking service)

An appeal from a Learner at a Registered Centre (or an Approved Centre using the CMI Marking service) regarding a CMI assessment decision made as part of the CMI marking procedure must be made to CMI within **20 working days (UK)** of the marking results for that Learner being returned to the Centre.

Note - If any Centre wishes to appeal an assessment/moderation decision and starts the CMI appeals process and then decides to resubmit the assessment at the same time, it will void the appeal. Once the appeals process has begun, the correct stages must be followed.

Stage 2 Appeal - Submission Process

All appeals **must** be submitted in writing to CMI, clearly stating the grounds for the appeal and including all relevant supporting documentation. Centres can find a copy of the CMI appeal form on the CMI Partner Connect homepage.

Learners

Learners will be required to either contact CMI directly or ask their Centre to raise the appeal on their behalf. The title of the letter or email should clearly state 'Appeal' in the subject header. Learners should include their Full Name, CMI Registration Number, nature of appeal, full grounds of appeal, and evidence to support the appeal.

Please contact CMI in writing using one of the following options:

Appeal Form: Centres should complete an Appeal Form on the CMI Partner Connect system.

By email to: awardingbody@managers.org.uk

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

CMI will confirm receipt of the appeal in writing within **3 working days (UK)**. If Learner work is held on an e-portfolio system, access will be required to the original Learner work.

Centres

Centres will be required to raise an appeal by completing the CMI Partner Connect Form - Appeal Form (Created by Centre on CMI Partner Connect).

Stage 2 Appeal - Review

Where CMI receives an appeal, it is important that this is dealt with promptly and in line with CMI procedures. The appeal will be reviewed by a CMI Independent Reviewer who is independent of the Learner or Centre.

Moderation decision – where an appeal is made following a moderation decision, the independent Lead Moderator will review the following documentation:

- Learner Work
- Assessment Brief
- Assessor Feedback
- IQA Feedback
- Moderator Feedback Report

Marking decision – where an appeal is made following a marking decision, the Independent Reviewer will re-mark the Learner's work, and the Centre/Learner will be informed of the decision in writing.

Other areas - where an appeal is made following other areas, CMI will review the following documentation:

- Malpractice or maladministration decision and outcome.
- Reasonable adjustments/Special consideration application and decision.
- Complaint investigation and outcome.
- Centre/Qualification information.
- CMI Appeals Policy and Procedure
- Copies of communication to Centre/Learner/CMI
- Copies of all documentation used as part of the appeal

Stage 2 review would normally take the form of a desk-based review and may include the opportunity for the reviewer to seek clarification on points raised by the Appellant.

The appeal will normally be allocated to and reviewed by one of CMI's **Quality Managers**, who is fully independent from the Centre or Learner and who has had no prior involvement in any decisions or investigations relating to the outcome in question.

Where a suitably independent Quality Manager is unavailable, the appeal will be allocated to a **Senior Quality Manager** who will also be fully independent of the Centre or Learner. If required, the appeal may be escalated further and reviewed by one of the following senior roles:

- Head of Quality
- Head of Awarding Organisation
- Director of Awarding Body

CMI aims to respond **within 20 working days (UK)**. The Centre will receive a decision on the outcome. If it is going to take longer than **20 working days (UK)**, the appellant will be kept fully informed.

Stage 2 Appeal - Appeal upheld

If the stage 2 review found that CMI or the Centre had not correctly applied our processes, procedures or policies fairly or consistently, we'll send the Centre and appellant an appeal outcome letter via email, which will include remedial actions to be completed, including appropriate timescales. If the appeal is upheld, CMI will amend the Centre result and/or marks held on the Learner's records and take any further action as appropriate. The relevant Marker/Moderator and Quality Manager will be informed of the outcome.

If the appeals process identifies any shortcomings or failures in the assessment process, CMI will also take steps to:

- Identify any other Learner who may have been affected by the failure,
- Correct or, where it cannot be corrected, mitigate as far as possible the effect of the failure, and
- Ensure that the failure does not recur.

Stage 2 Appeal - Appeal not upheld

If the stage 2 review found all processes, procedures, and policies to have been applied correctly and in a fair and consistent way, the appeal will not be upheld. If the appellant remains dissatisfied or has cause to believe that CMI has not followed its own published procedures, they may consider a stage 3 appeal for an independent review. The independent review will check to ensure that the correct procedures were followed. Please follow Stage 3 of this procedure.

Stage 3 Appeal

Independent Review of the Process

If there is cause to believe that CMI has not followed its own published procedure, CMI will direct the appeal to an independent decision maker who is not an employee of CMI. An Independent external reviewer may be employed by another Awarding Organisation.

All appeals must be made within **20 working days (UK)** of receiving CMI's decision following the Stage 2 appeal.

Stage 3 Appeal - Submission Process

A stage 3 appeal can only be made after the stage 2 process has been exhausted.

Learners

Learners will be required to either contact CMI directly or ask their Centre to raise the Stage 3 appeal on their behalf. Any stage 3 appeal should be made in writing by the appellant to CMI, clearly stating the grounds for the appeal with all relevant supporting documentation from stage 2.

Please contact CMI in writing using one of the following options:

Appeal Form: Centres should complete an Appeal Form on the CMI Partner Connect system.

By email to: awardingbody@managers.org.uk

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

CMI will confirm receipt of the appeal in writing within **3 working days** (UK).

Centres

Where a Centre wishes to raise a Stage 3 appeal, they will complete the Centre - Response to Appeal Outcome on the CMI Partner Connect Form - Appeal Form (Created by Centre).

The independent decision maker will only review documentation and evidence from Stage 2 and verify that all procedures were followed fairly and consistently as per the CMI procedure. It will not be possible for further materials to be submitted for consideration as part of the review by any party.

The stage 3 review would normally take the form of a desk-based review and may include the opportunity for the reviewer to seek clarification on points raised by the Appellant. The independent decision-maker will review the following documentation:

- CMI Appeals Policy and Procedure
- Copies of communication to Centre/Learner/CMI
- Copies of all documentation used as part of the appeal

The decision of the Independent Review Panel is final, and there are no further avenues of appeal against decisions taken.

CMI aims to respond within **20 working days (UK)**. The Centre will receive a decision on the outcome. If it is going to take longer than **20 working days (UK)**, CMI will keep the appellant fully informed.

Stage 3 Appeal - Appeal upheld

If the stage 3 review found that we had not correctly applied our processes, procedures or policies fairly or consistently, we'll send you an appeal outcome email, which will include remedial actions to be completed, including appropriate timescales. If the appeal is upheld, CMI will amend the Centre result and/or marks held on the Learner's records and take any further action as appropriate.

Stage 3 Appeal - Appeal not upheld

If the stage 3 review found all processes, procedures, and policies to have been applied correctly and in a fair and consistent way, the appeal will be rejected. The decision of the Independent Appeals reviewer is final and will complete our appeals procedure. We will not accept any further appeal.

Escalation to Regulatory Bodies

Where the appellant remains dissatisfied with the outcome of their appeal, they may escalate the appeal by raising a complaint to the relevant Regulator. It is important to note that the regulators will not get involved in individual appeals and will only deal with procedural irregularity by awarding bodies under their complaint procedures, which are published on their websites. They will not be able to overturn an assessment decision or academic judgement.

Regulatory Body Contacts

Ofqual

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.

Qualifications Wales

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

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

CCEA Regulation

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 / ccearegulation@ccea.org.uk or telephone 028 9026 1200.

Qualifications Scotland Accreditation

For all Qualifications Scotland Accreditation qualifications, you can complain in person or in writing - [Qualifications Scotland Accreditation](#), The Optima Building, 58 Robertson Street, Glasgow, G2 8DQ.

Alternatively, contact them directly - accreditation@sqa.org.uk / telephone 0345 213 5249 or by completing their online complaints form: https://accreditation.sqa.org.uk/accreditation/About_Us/Complaint

As part of the Qualifications Scotland Accreditation's Gaelic Language plan, complaints can also be submitted in Gaelic, and the Qualifications Scotland Accreditation will reply to you in Gaelic.

Scottish Public Services Ombudsman (SPSO)

If a complaint is concerning a Qualifications Scotland Accreditation qualification and all other complaint procedures (CMI approved Centre, CMI, Qualifications Scotland Accreditation) have been fully exhausted, the complaint can be raised to the Scottish Public Services Ombudsman (SPSO).

Please note that SPSO will not consider complaints about academic decisions, such as the outcome of an assessment.

[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>

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- Website: <https://www.spsso.org.uk/>
 - Mobile site: <https://m.spsso.org.uk/>

Monitoring and Review

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