

## CMI Complaint Procedure – Ref: AB/PRO/0014/Jul18/V08

### **Purpose**

This procedure applies to all Chartered Management Institute (CMI) Centres, Employers and Learners registered on a CMI qualification or an Apprenticeship End Point Assessment . This document sets out guidance of how to make a complaint to CMI and the procedure to follow.

### **Introduction**

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

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

### **Definition of Complaints**

#### **Complaint**

The term “complaint” is a statement in which you express your dissatisfaction with a particular situation.

A complaint may relate to, for example:

- A failure to provide a service or an inadequate quality or standard of service
- Wrong information about academic programmes
- The quality and availability of facilities and learning resources
- Accessibility of assessment
- The behaviour of a member of staff.

### **Scope**

This procedure applies to all CMI Awarding Body staff, employers, and CMI Centres and may also apply to CMI Learners.

### **Regulatory Requirements**

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.

### **General Conditions of Recognition:**

#### **Condition 4 – Responding to enquiries and complaints procedure**

##### **Complaints procedure**

- 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
- (b) Dealing with the subject matter of complaints

## **SQA Regulatory Principles**

### **Principle 12**

The Awarding Body and its providers must deal with complaints on an equitable basis, in line with its published procedures and timescales, and without unreasonable delay.

Awarding Body personnel, 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 must take appropriate, preventative and/or corrective action.

### **Regulatory Principles Directive RPDIR – 5 Complaints Handling**

The SPSO will not consider complaints about academic decisions, such as the outcome of an assessment. These types of complaints should be treated as an appeal and should follow the Awarding Body's appeal process (which should include reference to SQA Accreditation) as detailed in the SQA Accreditation's *Regulatory Principles* (2011).

The SPSO's Further Education Colleges Model Complaints Handling Procedure can be found at:

<http://www.valuingcomplaints.org.uk/wp-content/media/The-Further-Education-Model-Complaints-Handling-Procedure.pdf>

## **CMI Centre Complaint Procedure**

### **Complaint Procedure**

**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 outcome of the internal process they can refer to CMI.**

CMI is committed to offering a quality and customer orientated service, and feedback from CMI Centres and Learners 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, 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: [qualifications@managers.org.uk](mailto:qualifications@managers.org.uk)

**Address:**

**FAO Awarding Body**

Chartered Management Institute  
Management House  
Cottingham Road  
Corby  
Northamptonshire  
NN17 1TT

**Acknowledged**

CMI will contact the complainant within 3 working days of receiving the complaint by either phone/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, 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 the Quality Manager/Auditor/Head of Awarding Body.
- Consider whether the regulators should be notified of the matter.

**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.

**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 qualifications or CMI as an organisation) CMI is required to escalate the matter immediately to the appropriate regulatory bodies. CMI and the CMI Centre are required to co-operate in full, providing information and taking the appropriate action.

**Record the Complaint**

The complaint needs to be recorded to ensure an audit trail, the complaint is recorded on CMI internal system and excel documents.

**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.

**Appeals**

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

## Alerting other Awarding Bodies

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

## Final Arbitration

The regulators are not appeal bodies and will only arbitrate if evidence is provided. Anyone approaching the regulators for this purpose should provide written copies of all relevant communications. The contact details are as follows:

### For vocational qualifications in England

#### Ofqual

Spring Place  
Coventry Business Park  
Herald Avenue  
Coventry  
CV54 6UB

### For vocational qualifications in Northern Ireland

#### CCEA

29 Clarendon Road  
Belfast  
BT1 3BG

### For vocational qualifications in Wales

#### Qualifications Wales

Q2 Building  
Pencarn Lane  
Imperial Park  
Coedkernew  
Newport  
NP10 8AR

Ofqual and the Qualification Wales will consider complaints about CMI activities or functions, but will not get involved in individual appeals.

If Ofqual decides that your request does not meet their criteria for a review and you are affected by the decision, or you are affected by the outcome of the review, you can contact your local MP who may refer the matter to the Independent Parliamentary Commissioner for Administration (the Ombudsman). The Ombudsman will normally only consider complaints which are brought within six months after the completion of Ofqual or the Welsh Government's investigation.

**For Scottish Vocational Qualifications (SVQ's) or qualifications on the Scottish Credit Qualification Framework (SCQF):**

**Scottish Qualification Authority Accreditation (SQA)**

The Optima Building  
58 Robertson Street  
Glasgow  
G2 8DQ

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.

Although the SPSO's rules apply only to public bodies (eg 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.

SPSO 4 Melville Street Edinburgh EH3 7NS

SPSO Freepost EH641 Edinburgh EH3 0BR

Freephone: 0800 377 7330

Online contact: [www.spsso.org.uk/contact-us](http://www.spsso.org.uk/contact-us) Website: [www.spsso.org.uk](http://www.spsso.org.uk) Mobile site: <http://m.spsso.org.uk>

**Monitoring and Review**

Use of this procedure will be monitored annually to ensure the procedure and its approach remains fit for purpose.