Audit Report

Chartered Management Institute (CMI)
04 June 2024

Contents

1 Background

This was the sixteenth audit of the Chartered Management Institute (CMI) since it was approved as an awarding body by SQA Accreditation on 28 September 2006.

CMI is a chartered professional body specialising in management and leadership. It was incorporated by Royal Charter in 2002 and has charitable status in the UK. Its charitable mission is to promote the art and science of management.

CMI's headquarters are in London with its main base of operations in Corby, NN17 1TT, the audit was conducted remotely.

1.1 Scope

SQA Accreditation carries out quality assurance activity in line with its *Quality Assurance of Approved Awarding Bodies Policy*. This states the type and frequency of our quality assurance activities, describes our reporting procedures and indicates how the awarding body's Quality Enhancement Rating is calculated.

As this was a full remote audit of CMI, all regulatory requirements were included within the scope of the audit. Our quality assurance activities are conducted on a sampling basis and, consequently, not all aspects of the awarding body's systems, procedures and performance have been considered in this report to the same depth.

SQA Accreditation audit reports are written by exception focusing only on those areas where corrective action is required or recommended. Consequently, this approach to audit reporting does not detail areas where compliance or good practice was found.

The audit was designed to ensure CMI complies with SQA Accreditation's regulatory requirements namely:

- ♦ *SQA Accreditation Regulatory Principles* (2021)
- ♦ all *Regulatory Principle* Directives
- ♦ the awarding body's Accreditation Licence

Awarding body documentation considered for review by the Audit Team includes all documents banked on CMI's SharePoint site at the time of audit and information supplied to support audit activity. Restricted or commercially sensitive information gathered during SQA Accreditation's quality assurance activities is treated in the strictest confidence.

1.2 Audit Report and Action Plan Timescales

CMI: audit date: 04 June 2024

Audit Report approved by
Accreditation Co-ordination Group on: 03 July 2024

Audit Report to be signed by CMI: 15 August 2024

Action Plan to be emailed
to regulation@sqa.org.uk by CMI: 15 August 2024

The process will apply in relation to the timescales specified above:

♦ The awarding body will be sent a signed copy of the Audit Report by email.

♦ The awarding body must sign the copy of the Audit Report and return by email to SQA Accreditation in accordance with the timescale specified above.

♦ The awarding body will also be emailed a copy of the Action Plan.

♦ The awarding body must complete and return the Action Plan in accordance with the timescale specified above and email this in Microsoft Word format to regulation@sqa.org.uk.

♦ SQA Accreditation will confirm when the Action Plan is appropriate to address the Issues and present it to Accreditation Co-ordination Group (ACG) for approval.

♦ Following approval by ACG, the awarding body will be sent a signed copy of the approved Action Plan by email.

♦ The awarding body must sign the copy of the Action Plan and return by email to SQA Accreditation.

The findings of this Audit Report and the associated Action Plan will be published on SQA Accreditation's website following signed agreement.

SQA Accreditation will continually monitor progress towards completion of the proposed actions identified in the Action Plan and update the awarding body's Quality Enhancement Rating as appropriate.

1.3 Summary of Audit Issues and Recommendations

An Issue has been recorded where evidence shows that the awarding body is not compliant with SQA Accreditation's regulatory requirements. The awarding body must address the Issues and specify corrective and preventative measures to address them through its Action Plan.

The Action Plan is emailed to CMI as a separate document to the Audit Report, and must be submitted to SQA Accreditation in accordance with the timescale specified in 1.2.
As a result of the audit and post-audit activities, two Issues have been recorded and two Recommendations have been noted.

Issue	Detail of Issue recorded	Risk rating
1. Principle 7	CMI's website must reference SQA Accreditation appropriately.	Very Low
2. Principle 16	CMI must update its Complaints Policy and Procedure, May 2024, V12.0, to quote SQA Accreditation Regulatory Principles (2021) wording.	Low

A Recommendation has been noted where SQA Accreditation considers there is potential for enhancement. The awarding body is advised to address any Recommendations in order to reinforce ongoing continuous improvement. However, measures to correct or prevent these are not mandatory and therefore do not form part of the Action Plan.

Recommendation	Detail of Recommendation noted
1. Principle 7,9	It is recommended that CMI reviews information held on SharePoint and checks that documentation has been allocated to one or more of SQA Accreditation Regulatory Principles (2021). It would also be helpful to ensure all relevant or irrelevant documents are uploaded or removed from SharePoint.
2. Principle 7	CMI's website predominantly promotes English qualification levelling. CMI may wish to consider whether current information within the website is sufficient and transparent enough for the Scottish learner.

1.4 Risk Rating of Issues

SQA Accreditation assigns a rating to each Issue recorded, depending on the impact on or risk to the awarding body's operations, its SQA accredited qualifications and/or the learner. Issues recorded during the audit will count towards CMI's Quality Enhancement Rating which will, in turn, contribute towards future quality assurance activity. Further detail on how the Quality Enhancement Rating is calculated can be found on the SQA Accreditation website.

2 Detail of Audit Issues and Recommendations

The following sections detail Issues recorded and Recommendations noted against SQA Accreditation's regulatory requirements.

2.1 Issues

Regulatory Principle 7. The awarding body must have an effective approach for communicating with its staff, stakeholders and SQA Accreditation.

As part of SQA Accreditation Auditors' preparation for audit, a review of CMI's website took place. It was noted on a few occasions reference to SQA Accreditation has been made incorrectly and requires updating.

For example, the following webpages refer to SQA and not SQA Accreditation:
https://www.managers.org.uk/about-cmi/governance/boards-of-trustees/#regulation-comm
https://www.managers.org.uk/about-cmi/governance/executive-team/
https://www.managers.org.uk/education-and-learning/accreditation/
https://www.managers.org.uk/wp-content/uploads/2021/01/SCQF-Level-6-First-Line-Management-Jan-21.pdf
https://www.managers.org.uk/education-and-learning/qualifications/qualification-library/scqf-level-6-first-line-management/

CMI's website must reference SQA Accreditation appropriately.

This has been recorded as **Issue 1**.

Regulatory Principle 16. The awarding body and its providers must have open and transparent systems, policies and procedures to manage complaints.

Following a review of CMI's Complaints Policy and Procedure, May 2024, V12.0, it was noted within the Regulatory Requirements section of the policy that Regulatory Principle 16 had been misquoted and must be updated to reflect SQA Accreditation Regulatory Principles (2021) as stated above.

CMI must update its Complaints Policy and Procedure May 2024 V12.0 to include the correct Regulatory Principle wording.

This has been recorded as **Issue 2**.

2.2 Recommendations

Regulatory Principle 7. The awarding body must have an effective approach for communicating with its staff, stakeholders and SQA Accreditation.

Regulatory Principle 9. The awarding body and its providers must maintain accurate documents, records and data.

Prior to the audit, SQA Accreditation Auditors' reviewed CMI's SharePoint site. As part of the review it was noted that documentation which detailed compliance with data protection legislation had been omitted. However, at audit CMI was able to evidence this via its website. It was also noted that the CMI Translator Verifier Service Description 2024, V2.0 should be removed from SharePoint as this has no relevance to SQA Accreditation's accredited qualifications.

It is recommended that CMI reviews the information held on SharePoint and checks that documentation has been allocated to one or more of SQA Accreditation Regulatory Principles (2021). It would also be helpful to ensure all relevant documents are uploaded or irrelevant documents are removed from SharePoint.

This has been noted as **Recommendation 1**.

Regulatory Principle 7. The awarding body must have an effective approach for communicating with its staff, stakeholders and SQA Accreditation.

On review of CMI's website the Accreditation Auditors noted that the website predominantly promotes other nations' qualification levelling. It was noted by the Auditors that there is a link within each qualification information section that directs the reader to 'SCQF overview table detailing how Scottish qualifications compare within the framework'. However, at the time of checking this link was broken.

Because Scottish qualification levelling differs from that of the rest of the UK, CMI may wish to consider if the current information within the website is sufficient and transparent enough for the Scottish learner.

This has been noted as **Recommendation 2**.

3 Acceptance of Audit Findings