

ICB



The Institute of Certified Bookkeepers

ICB Appeals Policy

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1. Aim and Purpose of ICB Appeals Policy

ICB operates an Appeals Policy to ensure the decisions ICB make are consistent, transparent and fair. However, ICB recognises that on occasion members, students, suppliers and stakeholders may disagree with a decision, and as such, ICB provides the opportunity for that decision to be formally questioned, challenged and appealed.

This document sets out the scope for such appeals, and ICB's appeals process which is designed to produce fair, consistent and timely outcomes based on proper consideration of the evidence available.

Therefore, ICB aims to ensure that:

- Making an appeal is as easy as possible
- The appeal is dealt with promptly, politely and confidentially
- An appropriate response is provided in a timely manner
- ICB learns from appeals and uses them to improve services going forward

The purpose of this policy is to set out the process of making an appeal and how ICB will respond. It stipulates a clear understanding of the service level ICB will provide and how appeals will be dealt with.

2. Who can Appeal?

Appeals can be made by members, students, suppliers and stakeholders (the appellant) who believe they have been adversely affected by a decision made by ICB.

ICB will not consider an appeal that falls within the scope of an Approved Training Provider's (ATP) own appeals procedure, until the ATP's own appeals procedures have been exhausted.

3. Scope

This Appeals Policy covers appeals in relation to the outcome of:

- A Results Enquiry
 - An assessment decision on the basis that ICB did not apply procedures consistently or that procedures were not followed properly and fairly.

- A Complaint
 - If the complainant is not satisfied and believes the complaint has not been resolved following both stages of the formal complaints procedure, they may submit an appeal **within 2 weeks** of receipt of the Stage 2 Complaints outcome.
 - If an ATP is not satisfied with the decision made by ICB following an investigation into a complaint about an ATP.
- A Reasonable Adjustment request
 - If the applicant is not satisfied with the outcome of a Reasonable Adjustment request.
- A Special Consideration request
 - If the applicant is not satisfied with the outcome of a Special Considerations request.
- The outcome of Malpractice or Maladministration case
 - The application by ICB of a sanction/action on an ATP resulting from a monitoring visit or an investigation into malpractice or maladministration.
 - A decision to amend a student/cohort of students results following a malpractice or malpractice investigation.
- The outcome of an Approved Training Provider (ATP) accreditation decision
 - An ICB decision concerning an ATP's application to become accredited to offer ICB qualifications.
 - A conflict of interest, an assessment delivery or assessment decision of an end-point assessment for the Apprenticeship programme.
 - The contents of an ATP annual monitoring report.
- Any person who believes that ICB has not applied its policies and procedures consistently or that procedures were not followed properly, consistently and fairly.

The Appeals Policy is also used by ICB staff to ensure they deal with all appeals in a consistent manner.

4. How to make an Appeal

All appeals must be put in writing and sent to ICB for the attention of the Head of Qualification Standards and Quality Assurance. The following must be provided:

- Name, address and contact information of the appellant
- Student/membership number (if applicable)
- Full details of the appeal including the decision/outcome that has caused the dissatisfaction

- All supporting evidence, such as dates, personnel involved, documentation etc.
- Name and accreditation number of the ATP (if applicable)
- The Stage 1 Appeal fee (please refer to section 8 of this policy)

Stage 1 Appeals Procedure

Upon receipt of a written appeal, ICB will log the appeal and send an email acknowledgement **within 3 working days**.

The appeal must be submitted **within 2 weeks** of the cause of the dissatisfaction. The Head of Qualification Standards and Quality Assurance has the discretion to consider and allow late requests where the student is able to demonstrate a good reason for the delay.

- i The Appeals Panel (sub-group of the Appeals Committee), will carry out a complete review and investigation of the appeal along with a review of the initial complaint/outcome relating to the categories as detailed in section 3 above. The appeal will be fully investigated based on the information and evidence provided and cross referenced to the policy / procedure to which the appeal relates. Should further information be required, ICB will contact the appellant.
- ii The appellant will be notified of the outcome of the Stage 1 review **within 6 weeks** of receipt of the written appeal. In exceptional circumstances, it may be necessary for ICB to extend the duration of the investigation and in such instances will contact the complainant with revised timescales. Once the outcome of the investigation has been communicated to the appellant, the outcome will be recorded, and the case closed.

Stage 2 Appeals Procedure

If the appellant is dissatisfied with the outcome of Stage 1 they can appeal this decision at which time Stage 2 of the appeals process will be invoked. A further fee will be required to proceed to Stage Two.

- i An independent reviewer¹ will carry out a complete review of the processes followed, and procedures applied in the initial review/outcome and Stage 1 of the appeals process.
- ii The appellant will be notified of the outcome of the Stage 2 review within 4 weeks of the notification of dissatisfaction of the outcome of Stage 1.
- iii The outcome of Stage 2 is final with no further appeal available.

¹ We acknowledge the independent reviewer will not have been, during the previous 2 years, a member of ICB's board, a former examiner, a former employee or previously involved in the appeal

5. Discovery of errors following publication of results

Where an appeal calls into question the integrity of qualifications, resulting in an amendment to the students' examination script, the student's record will be amended, and where applicable, an amended qualification certificate will be issued. In the event of an individual appeal indicating that a more widespread error has occurred, ICB will initiate a full independent review of test results that may have been affected.

6. Fees

Appellants will be charged a fee of £75 per stage of the appeal process. Fees must be paid at the time of submitting each stage of the appeal. The basis of this fee is to cover the administration processes and staffing involved in the appeals process; the fee has been kept to a minimum in order to prevent acting as a deterrent to appellants. The relevant appeals fees will be refunded in full to appellants in the event of an appeal being upheld.

7. Enquiries by Approved Training Providers (ATPs)

Should ATPs wish to enquire about ICB's systems, policies, procedures, or should they wish to seek information on assessment decisions affecting students registered at their centre, they are to contact ICB through the established communication channels:

- Phone: +44(0)20 3405 4000
- E-mail: memberservices@bookkeepers.org.uk
- Post: ICB, 122-126 Tooley Street, London SE1 2TU

In addition to the methods outlined above, ATPs are able to log on securely through the ICB portal.

8. Monitoring and evaluating the ICB Appeals Policy

All appeals are recorded, along with their outcomes, and are retained by ICB for a period of at least three years. All appeals are reviewed annually at the Appeals Committee to ensure consistency in the handling process.

The Appeals Policy is also subject to regular monitoring and review by ICB to maintain the highest possible standards of consistency and quality.

The Appeals Policy and relating procedures are formally approved by the ICB Governing Council. Furthermore, the policy and procedures have been developed in line with all relevant legislations.



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