

ILM Enquiries and Appeals Policy

V2 November 2017

Contents

Document Change History	2
Scope	3
Definition	4
How to lodge an enquiry	7
Appeal	10
Independent Appeals Board	13
Policy for Centre or Provider	16
Guidance on policy for Centre or Provider	16
Appendix 1 – Lodging an enquiry	17
Appendix 2 – Lodging an appeal	19
Appendix 3 – Lodging an independent review	21
Continuous Improvement	23
Further Information	23
Useful Contacts	24

Document Change History

This is a new policy which supersedes and replaces the ILM Enquiries and Appeals Policies V1.

Scope

This policy applies to prospective and existing ILM Centres and ILM Providers who offer, or are looking to offer, ILM qualifications and other non-regulated products. It also applies to their learners.

This ILM policy provides:

- Guidance on how to approach ILM
- Definitions and examples of enquiries, appeals and the relevant processes are described
- The requirements of the Enquiries and Appeals policy held by the ILM Centre/Provider with an example of how you might develop and structure your own policy statement.

Definitions

We aim to give everyone an excellent experience when dealing with ILM, so we welcome your comments, suggestions and feedback about the service you have experienced. Although many issues can be dealt with less formally, this policy provides a formal route for dealing with an ILM decision with which you disagree.

	<i>Learner feels the result presented is incorrect. The centre can on behalf of learners contact ILM.</i>	Examinations	ILM Assessment Services	Centre Marked Assessments
		<i>Request ILM to conduct an Enquiry (Clerical check).</i>	<i>Request ILM Assessment Services to undertake a clerical check or remark.</i>	<i>Follow your own internal Enquiry/Appeals policy/process</i>

What is an Enquiry?

The Enquiry allows centres to question the following decisions made by ILM:

- Examination results for multiple choice examinations
- Assessment results awarded by the ILM Assessment service
- Qualification (Approval Risk) Status

	<i>I, the centre, feel ILM have not followed the correct processes. What can I do?</i>	<i>Request an Appeal, in order for ILM to review the situation</i>
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What is an Appeal?

The purpose of an appeal is to identify if ILM followed the correct processes, procedures and policies for any of the items listed below. The appeal is usually a desk-based process and completed by ILM, by people who were not involved in the original decision. These people will not be subject matter experts, but they will be experts on all the relevant processes, procedures and policies. The same process is followed for every type of appeal.

Appeals may be made against a range of issues relating to ILM decisions:

- ILM declines or subsequently withdraws a Centre's approval for a qualification
- The outcome from a Malpractice investigation
- The finding of an ILM programme mapping or RPL exercise
- An ILM External Verifier's decision(s) in external quality assurance (EQA) of a Centre assessed learner work
- ILM's decision to decline a request for reasonable adjustment or access arrangements.

 <p><i>I, the centre, have the outcome from the Appeal, and still feel I want it investigated further. Is there anything further I can do?</i></p>	<p><i>Request an Independent Appeal Board review</i></p>
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An Independent Appeal Board

If after an Appeal you feel ILM still has items to answer in regards to the processes, procedures and/or policies, you have a right to request an Independent Appeal Board consider the situation. The Board evaluates the evidence by holding a hearing.

The Independent Appeals Board exists to ensure that there is an independent route for when the appellant is not satisfied with the outcome following the Appeal. It is comprised of Senior Executive representation and additional independent representative from another Awarding Organisation.

The Independent Appeals Board is the final avenue of appeals for a candidate and/or a centre and its decisions are final.

Not all Enquiries and Appeals will take all three of the above routes, however we do ask that an Appeal is conducted before an Independent Appeal Board is requested.

We have to have some guidelines to make things fair for all, therefore these are the items which cannot be appealed:

- Centre/Provider approval to offer ILM qualifications/programmes
- Submitted to us more than 30 working days after the key date (depending on the nature of the appeal, e.g. after completion of an internal appeals procedure; or after the EV has reported EQA decisions; or after the result has been sent to the Centre from ILM Assessment service, issuing of examination results)
- That took place before ILM received the learner's registration or after the learner's registration period has expired
- That is or should be dealt with under an employer's disciplinary or grievance procedure
- Involving another Awarding Organisation
- Involving points of law.

By way of summary, there are three stages of enquiry or appeal depending on the nature of the relevant decision. These are:

- Enquiry – remark or clerical check
- Appeal
- Independent Appeals Board

ILM always aims to ensure that:

- Making an enquiry or appeal is as easy as possible, so we provide forms to aid the evidence collection.
- The review is conducted in a fair, reasonable and legal manner, ensuring that all relevant information is considered without bias
- We deal with it as promptly as possible, politely and, when appropriate, confidentially
- We respond in the right way, for example, by giving you an explanation or an apology where we have got things wrong, and letting you know what action we've taken
- We learn from appeals that were upheld and use them to improve our service.

How to Lodge the Enquiry (clerical check or remark)

 <p><i>We want a clerical recheck. How do we request this?</i></p>	<p>Examinations</p>	<p>ILM Assessment Services</p>
	<p>Complete the Enquiry form and follow the instructions</p>	<p>Complete the Enquiry form and follow the instructions</p>
 <p><i>We would like the work remarked. How do we request this?</i></p>	<p>Sorry there is no option to request a remark for examinations</p>	<p>Complete the Enquiry form and follow the instructions. Remember they can be downgraded.</p>
 <p><i>The EV has visited our centre, and amended the status for a qualification. Is there anything I can do?</i></p>	<p>You can request an Enquiry, which will take the form of ILM requesting the QCM to visit your centre and consider the status based on the evidence they see. Completion of the Enquiry form will be required to commence this process</p>	

Process

For the sections on Enquiries, the term ‘applicant’ refers to the centre who sends in the application form.

There are three types of enquiry, the first would be to request a **Clerical** check of an assessment via ILM Assessment Services or an examination. The learner or centre may believe the calculations/results returned are incorrect and therefore would like a second person to manually check the calculations.

The second would be to request a **Remark** of an ILM Assessment Services assessment. This would entail a clerical check plus a subject expert to check the questions presented and independently remark the answers provided.

The third would be around qualification (Approval Risk) Status, this gives a centre the opportunity to request a **review of the status** assigned to a qualification, if the centre feels it has been applied incorrectly. The Enquiry involves a Quality and Compliance Manager repeating the original quality assurance monitoring activity.

Fees will be refunded if the enquiry results in the favour of the learner/centre.

Type	Method	Cost per candidate, per script
Multiple Choice Examination	Clerical Check only	£15
Assessments ILM Assessment Services	Clerical Check only	£15
Assessments ILM Assessment Services	Remark	1 credit unit £32 2–3 credit unit £36 4-5 credit unit £50 6-8 credit unit £60 9 or more credit unit £98
Qualification (Approval Risk) Status review	QCM Visit	£200 per visit
If you wish to be charged in your local currency, the fees above will be charged using the exchange rate at the time of raising the invoice		

No special consideration can be applied as part of the Enquiry, even if the candidate experienced a disruption during the exam that was beyond their control. More information on access arrangements and special consideration is available on the ILM website.

How to apply

We ask the centre to:

- Obtain the consent of the candidate before making an application on his/ her behalf; and
- Please make the candidate aware that his/ her grades could be lowered as a result of the Enquiry.

For this section, the term ‘applicant’ refers to the centre who submits the application form.

Request the Enquiry using the ILM form as soon as possible after results are received, but no later than 30 working days after the release of results. If the enquiry is for a Qualification Status review, it must be requested within 30 working days of receipt of confirmation of the status issued. Once the fee is received by ILM the process will commence.

For qualification status enquiry the Form ENQ1 at Appendix 01 must be completed and emailed to ILM Assessment Services using (email) ILMRegulation@i-l-m.com

For all other enquiries the Form ENQ1 at Appendix 01 must be completed and emailed to ILM Assessment Services using (email) ilmassessmentpolicy@i-l-m.com

How long will this take?

ILM will send an acknowledgement on receipt of the Form ENQ1 and ask for an invoice to be raised.

- Deadline for applications 30 working days after release of results
- Acknowledgment 5 working days after receipt of application
- Written outcome 20 working days of the date of the acknowledgement

The possible outcomes from an enquiry

These are possible outcomes:

- The examination result is upgraded (e.g. the grade is changed from Refer to Pass). ILM will amend its records and send the resulting certificate (if any) to the centre
- The examination result is confirmed, so stands as originally presented. Where a review of marking has been carried out, ILM will provide a report on the candidate's performance which will include feedback on any questions where the candidate received less than half the marks available
- The examination result is downgraded (e.g. the grade is changed from Pass to Refer and feedback is provided on any questions where the candidate received less than half the marks available)
- The External Verifier appointed may agree with the original decisions or make recommendations for an amendment to the status.

ILM will send the details of the outcome to the applicant. If the examination result is confirmed or downgraded, the notification will include information on how to appeal.

If we undertake a remark enquiry there is no further action you can take, the outcome is final and you cannot appeal against the mark.

 <p><i>I have received the outcome from a remark of the results, and I still feel they are incorrect. Is there anything further I can request?</i></p>	<p><i>Unfortunately not, the questions & answers have been marked twice now, therefore the results stand as issued and explained within the feedback presented. There is no further route for appeal on this matter</i></p>
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Appeal

 <p><i>I, the centre, feel ILM have not followed their own rules (policies). What can I do?</i></p>	<p><i>Speak to us first, but then if you feel there is case to answer you can lodge an Appeal and an investigation will be undertaken. Use the form for Appeals to do this.</i></p>
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We ask you to use the Appeal Form APP1 at Appendix 02 if you wish to appeal, and once completed email it directly to ILM Regulation using ILMRegulation@i-l-m.com.

How to apply

For this section 'appellant' refers to the centre who requests the appeal.

We ask you to include within the application form clear reasons for the appeal and detail as much as possible the specific instances where you believe ILM did not follow the correct procedures in reaching the original decision. Additional supporting documents can be included with the application and must be clearly referenced. All of this will aid the review process, and reduce the additional requests for information.

To aid the Appeal we will return forms which do not include the required information and outline what information is missing. A deadline will be given for this information to be returned, we don't want learners waiting for an outcome whenever possible. The appellant must respond fully within this deadline or the appeal will not be heard.

Timeline

- Deadline for applications 10 working days after the date of notification of the decision
- Acknowledgment 5 working days after receipt of completed application
- Written outcome 30 working days from the date of the acknowledgement

Process

Once ILM has received payment, Regulation will appoint a lead reviewer who was not involved in the decision in question. The lead reviewer will consult as necessary with relevant parties and may ask for additional evidence, either from the appellant or ILM internal staff.

A lead reviewer (or a committee of managers) not involved in the original decision will take time to review the application, supporting documents and any records relating to the original decision made by ILM. All the information (including that provided by the appellant and records kept by ILM) will be checked against the relevant procedures and policy documents to confirm the correct procedures have been followed.

Type/situation	Cost per appeal
ILM declines or subsequently withdraws a Centre's approval for one qualification/programme.	£100
The finding of an ILM Malpractice investigation – decision, penalty or sanction	£125
An ILM External Verifier's decision(s) in external quality assurance (EQA) of a Centre assessed learner work (following an Enquiry)	£75
ILM's decision to decline a request for access arrangements or special considerations	£25
If you wish to be charged in your local currency, the fees above will be charged using the exchange rate at the time of raising the invoice	

Outcomes

After a thorough review of the appeal there are two possible outcomes:

- The appeal finds ILM are at fault due to any one of the correct processes, procedures or policy documents not being followed. If this happens ILM will send notification to the appellant which will include the proposed remedial action (such as possible clarification of ILM's procedures).
- The appeal is rejected because all of the correct processes, procedures and policy documents were followed. ILM will send a letter of notification to the appellant.

Following the review, the lead reviewer will report his/her findings to the appeals panel.

The appeals panel will make the final decision for ILM. In most cases, this decision will be binding and there is no further right of appeal.

Communicating the decision

The decision will be emailed to the appellant by ILM Regulation and within 30 working days of the outcome being provided. If it needs to take longer we will keep you informed.

If ILM finds in favour of the appellant and the decision is to overturn the original decision, then we will refund the relevant appeal fee and take all necessary remedial actions. All corrective actions will be put in place to make improvements as necessary.

Specific information around appeals

It is important to understand as a centre you can Appeal the withdrawal or suspension of centre/qualification approval due to assessment and quality reasons, however a centre cannot appeal the withdrawal or suspension of centre or qualification approval related to financial or legal reasons or candidate numbers.

It is not possible to appeal the actual findings of malpractice investigations however an appeal can be made against the decision taken following the investigation. Only a centre can appeal a decision made due to malpractice investigation even where the malpractice arises from centre staff or candidate actions.

Independent Appeals Board

 <p><i>I have the outcome from the Appeal and still feel ILM are in the wrong. What can I do?</i></p>	<p><i>You could consider an Independent Appeals Board, however this cannot be utilised for a remark, only if you feel ILM have failed to follow our own processes, procedures or rules.</i></p>
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How to apply

For this section 'appellant' refers to the centre who requests the appeal.

To request an Independent Appeal Board review please complete the form ILM Independent Appeals Board Form (IAB 1) found at Appendix 03. We ask you to make it clear as to why you are requesting this action, including:

- The reasons you feel ILM did not follow the required procedures, and
- Why you wish to escalate to this stage of appeal.

When you return the form please provide all the information, otherwise we will have to return the form and this can delay the outcome, which could impact on learners.

Timeline

- | | |
|-----------------------------|---|
| • Deadline for applications | 15 working days after the outcome of the appeal |
| • Acknowledgment | 5 working days after receipt of completed application |
| • Hearing | 45 working days from acknowledgement |
| • Written outcome | 5 working days after the hearing |

Before the hearing

The Regulation and Quality Improvement Manager will review the application and check there is enough information for the appeal to go to the Independent Appeals Board. The appellant will be notified via email if further information is required.

If the appeal goes to the Independent Appeals Board, the ILM Regulation department will send an acknowledgement upon receipt of the appeal and make arrangements for payment of the appropriate fee. Once the confirmation of the appeal is received, we request no further communication or correspondence between the appellant and ILM regarding the appeal.

The Independent Appeals Board is not a court of law and appellants do not require legal representation. If either party wishes to be accompanied by legal representation, the other party and the Independent Appeals Board should be informed at least one week prior so they too may have the opportunity to seek legal advice or representation. A hearing will then be arranged at the earliest convenient date.

Type/situation	Cost per appeal
ILM's decision to decline a request for access arrangements or special consideration	£25
All other stage 3 appeals	£150
If you wish to be charged in your local currency, the fees above will be charged using the exchange rate at the time of raising the invoice	

Purpose of the hearing

When the Independent Appeals Board meets, it will consider the information provided by both parties and establish whether all processes, procedures and policy documents have been correctly followed. The Independent Appeals Board will draw upon the evidence from the Appeal and will request any further information from the centre, candidate or ILM staff as required.

The Independent Appeals Board will consider whether ILM has followed the relevant processes, procedures and policy documents correctly and whether it has applied them properly and fairly in arriving at judgements. Items the Independent Appeals Board cannot undertake are:

- Re-marking a candidate's work,
- Grant /remove centre or qualification approval,
- Change the registration/certification status for a qualification,
- Change a decision/penalty/sanction imposed on a centre, member of centre staff or candidate.

Attending the hearing

The Independent Appeals Board asks for personal representation from both parties in order to hear the appeal. In advance The Board will request the names, status and/or the interest of the representatives and witnesses, who will attend the hearing.

The Independent Appeals Board will comprise of:

- Chair – independent of ILM, but from another Awarding Organisation
- Board member – independent of ILM and from the sector working at a senior level
- Board member – ILM Senior person not involved in the case to date
- Secretariat – ILM employee but not involved within the Regulation department
- Appellant and witnesses if appropriate
- ILM Appeals Panel representatives

It is extremely important that the Independent Appeals Board have the opportunity to question representatives from both parties during the meeting and that is why we request people are actually present at the hearing.

Outcome of the hearing

There are two possible outcomes of the hearing:

- If the Independent Appeals Board finds that the appropriate processes, procedures and policy documents have been followed and confirms the decision of the appeal, the appeal will be rejected and ILM will notify the appellant
- If the Independent Appeals Board finds that any one of the appropriate processes, procedures or policy documents has not been followed, the appeal will be upheld. The Independent Appeals Board will recommend appropriate actions to ILM for its consideration. ILM will notify the appellant.

The decision of the Independent Appeals Board is the final stage of the ILM appeals process. If the appellant is not satisfied with the outcome of the independent appeal, he/ she should contact the relevant regulator, information on how to do this will be included in the outcome letter.

However, where a regulated qualification is involved, Centres or learners have the right to escalate their appeal directly to the appropriate regulator.

If you consider that ILM has not followed its own published process for appeals then please follow the ILM Complaints Procedure.

Policy for Centre or Provider

As part of ILM approval or recognition, Centres or Providers must have an internal appeals policy. The Centre's internal appeals procedure should be followed first.

It's important that your staff involved in the management, assessment and quality assurance of ILM programmes and your learners studying our programmes are fully aware of the contents of your policy and also how to appeal to ILM.

Guidance on content for Centre or Provider Policy

Your internal appeals procedure must state clearly:

- The stages in the procedure
- Exactly what can be appealed and any matters out of scope of the procedure
- To whom, or to which position in the Centre/Provider, the person wanting to appeal should refer their issue
- What form the appeal should be in, e.g. letter, pro-forma or email
- Any time limits for lodging an appeal and the timescale for the Centre to respond
- The objective and independent process the Centre will use to investigate and respond to the appeal – possibly an appeals panel, consideration by a named individual, or some other appropriate alternative
- Any support or representation the appellant may bring to the appeal
- How the Centre notifies the appellant of the outcome
- The written records and evidence the Centre keeps and for how long
- A reminder that any appeal can be escalated to ILM and, in the case of assessment of a regulated qualification, can subsequently be escalated to the appropriate regulator.

Full records must be kept of internal appeals, investigations and actions taken to resolve the issue. You should normally exhaust your own policy before escalating to ILM.

Appendix 01

ILM Enquiry Form (ENQ1)

Qualification status enquiry to be submitted to ILMRegulation@i-l-m.com once completed.

All other enquiries to be submitted to ilmassessmentpolicy@i-l-m.com once completed.

All sections must be completed in full before submission			
Centre Number:		Centre Name:	
Name of Centre Contact			
Centre Address including telephone number & Email address	Address	Telephone	Email
Learner Name: (as registered)	Name	Telephone	Email
Contact details for Learner if applicable	Learner Registration no:		
Enquiry method	Clerical Recheck only ILM Assessment Service Clerical Recheck only ILM Assessment Service Remark Qualification (Approval Risk) Status review		<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
Qualification title and number:	Full Qualification Title		Number
	Unit Title		Number
Reason for Enquiry and supporting documentation	Reason		Evidence to support
Date of submission to ILM:			
For ILM use			
Date received:		Date outcome issued:	

Outcome from Enquiry including actions taken		
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Appendix 02

ILM Appeal Form (APP1)

To be submitted to ILMReguation@i-l-m.com once completed.

All sections must be completed in full before submission			
Centre Number:		Centre Name:	
Name of Centre Contact			
Centre Address including telephone number & Email address	Address	Telephone	Email
Not required for Qualification status Learner Name: (as registered)	Name	Telephone	Email
Contact details for Learner if applicable	Learner Registration no:		
Reason for Appeal Tick	Withdrawal or suspension of qualification approval <input type="checkbox"/> Malpractice decision, penalty or sanction <input type="checkbox"/> ILM EV decision in EQA of a Centre assessed learners work <input type="checkbox"/> Access arrangements or Special Consideration <input type="checkbox"/>		
Qualification title and number:	Qualification Title		Number
	Unit Title		Number
Reason for Appeal and supporting documentation	Reason		Evidence to support
Date of submission of appeal to ILM:			
For ILM use			
Date received:		Date outcome issued:	

Outcome from Appeal including actions taken		
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Appendix 03

ILM Independent Appeals Board Form (IAB 1)

To be submitted to ILMReguation@i-l-m.com once completed.

All sections must be completed in full before submission			
Centre Number:		Centre Name:	
Name of Centre Contact			
Centre Address including telephone number & Email address	Address	Telephone	Email
Not required for Qualification status Learner Name: (as registered)	Name	Telephone	Email
Contact details for Learner if applicable	Learner Registration no:		
Reason for Independent Appeal Request Tick	Withdrawal or suspension of qualification approval <input type="checkbox"/> Malpractice decision, penalty or sanction <input type="checkbox"/> ILM EV decision in EQA of a Centre assessed learners work <input type="checkbox"/> Access arrangements or Special Consideration <input type="checkbox"/>		
Qualification title and number:	Qualification Title		Number
	Unit Title		Number
Reason for Independent Appeal Request and supporting documentation	Reason		Evidence to support
Date of submission of appeal to ILM:			
For ILM use			
Date received:		Date outcome issued:	

Outcome from Independent Appeal Board including actions taken		
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Continuous Improvement

The ILM Quality and Regulatory Group monitor this policy and any associated feedback and ensure that the ILM Standard is maintained to ensure our qualifications and programmes are accessible to all whilst maintaining quality in implementation. This policy shall be the subject of a three year review cycle or as necessary.

Every effort has been made to ensure that the information contained in this publication is true and correct at the time of going to press. However, ILM's products and services are subject to continuous development and improvement and the right is reserved to change products and services from time to time. ILM cannot accept liability for loss or damage arising from the use of information in this publication.

If you have a complaint, or any suggestions for improvement about any of the services that we provide, please email: customer@i-l-m.com

Further Information

About ILM

ILM is the UK's leading provider of leadership, management and coaching qualifications, and a City & Guilds Group Business. ILM offers a specialist suite of qualifications ranging from Level 2 to Level 7, which are awarded by The City and Guilds of London Institute. ILM also specialise in assessment, learning content, and accreditation of training.

We believe that great leaders can come from anywhere. With the right support, anyone can grow and develop to make a real difference to their team and organisation. Which is why we help individuals from all levels to realise and apply their potential, so that the organisations they work for can reap the benefits.

City and Guilds Group

ILM is a City & Guilds Group Business. Together, we set the standard for professional and technical education and corporate learning and development around the world, helping people and organisations to develop their skills for personal and economic growth.

Useful Contacts

ILM Customer Service

General enquiries

Events enquiries

International enquiries

E: customer@i-l-m.com

Complaints and feedback

Complaints and feedback

E: customer@i-l-m.com

ILM Regulation and Compliance

Reporting malpractice/maladministration

Reporting incidents of plagiarism

Lodging appeals

E: ILMregulation@i-l-m.com

ILM Assessment

Lodging Enquiries

Requests for Special Consideration

Request for Access Arrangements

E: ilmassessmentpolicy@i-l-m.com

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