



CIWM

Qualifications

0104, Version 1, December 2021

Enquiries and Appeals Policy

Together, we stand for a world beyond waste

Copyright ©2021 CIWM

Copyright in this document is owned by CIWM. Any person viewing, printing and distributing this document is subject to the following conditions:

- The document may be used for informational purposes only
- The document may be used for non-commercial purposes only
- Anyone using information provided in this document should acknowledge CIWM
- Reproduction and copying of these materials is not allowed

Changes are made periodically to the information contained within the document so for the latest version please refer to QuartzWeb (for CIWM (WAMITAB) Qualifications Centres and Training Providers) or contact us directly for further information at info.admin@ciwm.co.uk.

For further information on Intellectual Property matters contact info.admin@ciwm.co.uk.

Please note that all images have been sourced from i-stock.

Disclaimer

Every effort has been made to ensure that the information contained in this publication is accurate at the time of going to press. The information in this book is for guidance only and CIWM cannot be held responsible for any inaccuracies.

Contents

Policy statement	4
Introduction.....	4
Responsibility of Approved Centres	4
Stages	4
Stage 1: Enquiry process for test results issued by CIWM.....	5
Stage 2: Appeals	5
Stage 3: Independent Appeals Board	8
Fees	10
Policy review	10
Monitoring	10

Policy statement

CIWM is committed to providing a high-quality service and to maintaining the highest standards for its learners, CIWM (WAMITAB) Qualifications Centres and other stakeholders.

Introduction

This policy is for:

- Approved CIWM (WAMITAB) Qualifications Centres who are delivering CIWM regulated qualifications.
- Organisations that have been unsuccessful in their application for CIWM (WAMITAB) Qualifications Centre approval to offer CIWM regulated qualifications.
- Learners who are registered with CIWM for regulated qualifications who wish to enquire or appeal against a test result.
- Assessors and Internal Quality Assurers (IQAs) that have signed the CIWM Code of Conduct.

This document outlines the process to follow in relation to a decision regarding:

- A learner test result.
- The application of an action or a sanction applied to a CIWM (WAMITAB) Qualifications Centre by CIWM.
- Qualification approval.
- Staff approval.
- Assessor and IQA conduct.
- CIWM (WAMITAB) Qualifications Centre approval.
- An application for access arrangements and special consideration.

Responsibility of Approved CIWM (WAMITAB) Qualifications Centres

Heads of CIWM (WAMITAB) Qualifications Centre and CIWM (WAMITAB) Qualifications Centre Coordinators involved in the management, assessment, and quality assurance of CIWM regulated qualifications must familiarise themselves with the content of this policy. As part of the regulatory conditions, CIWM (WAMITAB) Qualifications Centres must have internal appeals arrangements which learners can access if they wish to appeal a decision taken by the CIWM (WAMITAB) Qualifications Centre. CIWM staff and external quality assurers will check that CIWM (WAMITAB) Qualifications Centre staff and learners are aware of the content and purpose of the appeals policy.

Stages

There are three stages of enquiry or appeal:

Stage	Description
1	Enquiry
2	Appeal
3	Independent Appeals Board

Stage 1: Enquiry process for test results issued by CIWM

This is to be used where a learner or a CIWM (WAMITAB) Qualifications Centre believes that the marking of a test was inaccurate.

CIWM will conduct a desk-based check to review learner responses and check the correct mark was awarded. CIWM will use a marker and moderator who did not carry out the original marking or moderation.

Application process

Learner

A learner may apply to CIWM using document 0106 (Learner Application for an Enquiry about a Test Result) available at www.ciwmquals.co.uk.

CIWM (WAMITAB) Qualifications Centre

A learner may also request that their CIWM (WAMITAB) Qualifications Centre makes an enquiry on his/her behalf. The CIWM (WAMITAB) Qualifications Centre must obtain the consent of the learner before making an application on his/her behalf. The CIWM (WAMITAB) Qualifications Centre should use document 0107 at www.ciwmquals.co.uk.

Enquires should be made as soon as possible after the results are received by the CIWM (WAMITAB) Qualifications Centre, and must be received within **10 working days** after the release of the results.

CIWM will acknowledge receipt of the application within 3 working days and provide a full written response within **10 working days** of the date of acknowledgment.

CIWM's response

There are two outcomes to an enquiry:

- The test result is amended from a 'fail' to a 'pass' and CIWM will send a certificate to the CIWM (WAMITAB) Qualifications Centre as appropriate.
- The original test result is confirmed. CIWM will provide a report on the learner's performance. This notification will provide details on how an appeal can be made (Stage 2).

Stage 2: Appeals

Heads of CIWM (WAMITAB) Qualifications Centre can appeal the outcome of an enquiry, or against decisions on:

- An action or a sanction applied to a CIWM (WAMITAB) Qualifications Centre.
- Qualification approval.
- Initial approval of CIWM (WAMITAB) Qualifications Centres.
- Staff approval.
- Assessor and IQA conduct.
- CIWM (WAMITAB) Qualifications Centre approval.

When CIWM gives its decision on any of these processes, it will do so in writing and will state the reasons for the decision.

The appeals process **does not cover** the:

- The suspension or withdrawal of CIWM (WAMITAB) Qualifications Centre approval on financial or legal grounds.

Please note: Learners can only appeal the outcome of an enquiry about a test result.

Grounds for an appeal

The sole ground for an appeal is that CIWM's decision, based on all the evidence available to CIWM at the time, was wrong. To prove that a decision was wrong, the appellant must demonstrate either that the decision was unreasonable or that there was a breach of procedural requirements by CIWM.

Making an appeal

Outcome of an enquiry

A learner may appeal the outcome of an enquiry about a test result, or the learner may request that their CIWM (WAMITAB) Qualifications Centre makes an appeal about a wider range of decisions on his/her behalf. The CIWM (WAMITAB) Qualifications Centre must obtain the consent of the learner before making the appeal.

The Learner/ Head of CIWM (WAMITAB) Qualifications Centre must complete the Application for Appeal Form (0105) available at www.ciwmquals.co.uk. The CIWM (WAMITAB) Qualifications Centre/learner must apply within **10 working days** of receiving the outcome of the enquiry. CIWM will acknowledge receipt within 3 working days.

An individual who has no personal interest in the decision being appealed and who holds the appropriate competence will review the Application for Appeal. A written outcome will be provided by CIWM within **20 working days** of receipt of the appeal.

Action or sanction applied to a CIWM (WAMITAB) Qualifications Centre

If a CIWM (WAMITAB) Qualifications Centre disagrees with CIWM's decision to apply an action or a sanction, the CIWM (WAMITAB) Qualifications Centre should contact CIWM in the first instance to discuss the matter. If the CIWM (WAMITAB) Qualifications Centre is not satisfied with the explanation the Head of CIWM (WAMITAB) Qualifications Centre can appeal.

The CIWM (WAMITAB) Qualifications Centre must apply within **10 working days** of receiving the notification of the action or of the change in status using the Application for an Appeal form (0105) available on the CIWM website. If the application form does not include the required information it will be returned to the CIWM (WAMITAB) Qualifications Centre with an outline of the information required. CIWM (WAMITAB) Qualifications Centres must provide the information by the deadline stated by CIWM otherwise the appeal will not be progressed.

An individual who has no personal interest in the decision being appealed and who holds the appropriate competence will review the Application for Appeal. A written outcome will be

provided by CIWM within **30 working days** from the date of receipt of all the documentation being received from the CIWM (WAMITAB) Qualifications Centre.

Action or sanction applied to an assessor or IQA

If an assessor or IQA disagrees with CIWM's decision to apply an action or a sanction, they should contact CIWM in the first instance to discuss the matter. If they are not satisfied with the explanation it is possible to appeal.

The individual must apply within **10 working days** of receiving the notification of the action or of the change in status using the Application for an Appeal form (0105) available on the CIWM website. If the application form does not include the required information it will be returned to the individual with an outline of the information required. Individuals must provide the information by the deadline stated by CIWM otherwise the appeal will not be progressed.

An individual who has no personal interest in the decision being appealed and who holds the appropriate competence will review the Application for Appeal. A written outcome will be provided by CIWM within **30 working days** from the date of receipt of all the documentation being received.

Qualification approval

A CIWM (WAMITAB) Qualifications Centre can request an appeal into CIWM's decision not to approve a CIWM (WAMITAB) Qualifications Centre for a specific qualification. The CIWM (WAMITAB) Qualifications Centre should contact CIWM in the first instance. If required, CIWM will provide the CIWM (WAMITAB) Qualifications Centre with additional information to support the decision. If the CIWM (WAMITAB) Qualifications Centre is still not satisfied with this explanation, it can raise an Appeal. A CIWM (WAMITAB) Qualifications Centre must complete an Application for Appeal form (0105) available on the CIWM website and submit to CIWM.

The CIWM (WAMITAB) Qualifications Centre must apply within **10 working days of receiving the decision**. An individual who has no personal interest in the decision being appealed and who holds the appropriate competence will review the Application for Appeal. A written outcome will be provided by CIWM within **20 working days** from the date of receipt of all the documentation being received from the CIWM (WAMITAB) Qualifications Centre.

Staff approval

A CIWM (WAMITAB) Qualifications Centre can request an appeal into CIWM's decision not to approve an invigilator, an assessor, a marker, an internal quality assurer or a moderator. In the first instance, the CIWM (WAMITAB) Qualifications Centre should contact CIWM to discuss the matter. If, after discussion the CIWM (WAMITAB) Qualifications Centre is not satisfied, the CIWM (WAMITAB) Qualifications Centre can raise an appeal. A CIWM (WAMITAB) Qualifications Centre must complete an Application for Appeal form (0105) available on the CIWM website and submit to CIWM.

The CIWM (WAMITAB) Qualifications Centre must apply within **10 working days of receiving the decision**. An individual who has no personal interest in the decision being appealed and who holds the appropriate competence will review the Application for Appeal. A written outcome will be provided by CIWM within **20 working days** from the date of receipt of all the documentation being received from the CIWM (WAMITAB) Qualifications Centre.

Approval

If a proposed CIWM (WAMITAB) Qualifications Centre disagrees with CIWM's decision not to approve the organisation, the proposed Head of CIWM (WAMITAB) Qualifications Centre should contact CIWM to discuss the matter. If, after this discussion the proposed Head of CIWM (WAMITAB) Qualifications Centre is not satisfied an appeal may be lodged using the Application for Appeal form (0105).

The proposed CIWM (WAMITAB) Qualifications Centre must apply within **10 working days** of receiving the decision outlining the reasons for not approving the organisation. An individual who has no personal interest in the decision being appealed and who holds the appropriate competence will review the Application for Appeal. A written outcome will be provided by CIWM within **30 working days** from the date of receipt of all the documentation being received from the proposed CIWM (WAMITAB) Qualifications Centre.

Outcomes of an application for access arrangements and special consideration

If a CIWM (WAMITAB) Qualifications Centre disagrees with CIWM's decision on approval of access arrangement and special consideration the CIWM (WAMITAB) Qualifications Centre should contact CIWM within **5 working days** to discuss the issue. If, after this discussion the CIWM (WAMITAB) Qualifications Centre is not satisfied, the Head of CIWM (WAMITAB) Qualifications Centre can lodge an appeal, using the Application for Appeal form (0105).

An individual who has no personal interest in the decision being appealed and who holds the appropriate competence will review the Application for Appeal. A written outcome will be provided by CIWM within **10 working days** from the date of receipt of all the documentation being received from the proposed CIWM (WAMITAB) Qualifications Centre.

Stage 3: Independent Appeals Board

The Independent Appeals Board comprises a Chair (a member from the Qualifications and Professional Standards Committee), an industry representative and an independent representative from another awarding organisation. Individuals appointed will have the relevant competence to make a decision in relation to the appeal and will not have a personal interest in the decision being appealed.

How to apply

If CIWM (WAMITAB) Qualifications Centres or learners are dissatisfied with the outcome on an appeal, they may proceed to the Independent Appeals Board stage. The Head of CIWM (WAMITAB) Qualifications Centre, assessor, IQA or learner must write to the clerk of the Independent Appeals Board within **10 working days** of receiving written notification from CIWM of the appeal decision.

The letter must be sent to the Clerk of the Independent Appeals Board at CIWM. The letter must include a written account of why CIWM's appeal decision is wrong. Any evidence submitted to support this claim must be relevant to the appeal.

The Clerk of the Independent Appeals Board will review the application and establish if there is sufficient evidence for the appeal to be presented to the Independent Appeals Board. If further

information is required, the appellant will be notified in writing. The clerk will provide details of the deadline for receipt of this information. The appellant must respond fully within this deadline, or the appeal will not be heard.

If the appeal is presented to the Independent Appeals Board, the clerk will send an acknowledgement letter to the appellant.

The meeting of the Independent Appeals Board will take place within **six to eight weeks** of the appellants submitting their completed application to the clerk of the Independent Appeals Board.

The clerk will give the appellant **10 working days'** notice of the date of the hearing.

Representation

The hearing will involve an oral submission by the appellant. The CIWM (WAMITAB) Qualifications Centre can be represented at the hearing by up to two members of its staff. The clerk of the Independent Appeals Board will require the name, status and/or the interest of the representatives who will attend the hearing. CIWM will be represented by two members of staff responsible for the function under appeal.

Legal representation will not normally be permitted unless in exceptional circumstances. In these cases if the appellant is accompanied by a lawyer, the clerk of the Independent Appeals Board must be informed **5 working days** prior to the hearing so CIWM may organise their legal representation.

The purpose of the hearing

The Independent Appeals Board will consider the information provided by the appellant and CIWM. The aim is to establish whether CIWM has acted fairly and followed the appropriate processes, policies, and procedures.

The outcome of the hearing

When the Independent Appeals Board has heard the oral submissions, both parties will withdraw.

The Independent Appeals Board decision will be communicated to the parties in writing **10 working days** after the hearing.

The decision of the Independent Appeals Board is the final stage of CIWM's appeals process. If the appellant is not satisfied with the outcome of the appeal, they are entitled to raise the matter with the relevant qualification regulator, the details of this will be provided in the outcome report.

Fees

Stage	Description	Fees
1	Enquiry – Test result	£10
2	Appeal – Outcome of an Enquiry	£50
2	Appeal – Action or Sanction	£350
2	Appeal – Action or Sanction (withdrawal of approval for a specific qualification(s) delivered by the CIWM (WAMITAB) Qualifications Centre)	£350
2	Appeal – Action or Sanction (withdrawal of approval for all qualifications delivered by the CIWM (WAMITAB) Qualifications Centre)	£350
2	Appeal – Qualification approval or staff approval	£50
2	Appeal – CIWM (WAMITAB) Qualifications Centre Approval	£350
2	Appeal – Application for access arrangements and special consideration	£50
2	Appeal – withdrawal of CIWM (WAMITAB) Qualifications Centre Approval	£350
3	Independent Appeals Board	£350

Where a learner makes an enquiry or an appeal, the learner must send a cheque (made payable to CIWM) for the correct fee with their completed form. In cases where the enquiry or appeal is in favour of the learner, CIWM will return the fee to the learner.

For enquires and appeals made by the CIWM (WAMITAB) Qualifications Centre, CIWM will invoice the CIWM (WAMITAB) Qualifications Centre for the correct fee. Where the outcome of the enquiry or appeal is in favour of the CIWM (WAMITAB) Qualifications Centre, CIWM will refund the fee.

For appeals made by a potential CIWM (WAMITAB) Qualifications Centre, the Head of the Organisation must send a cheque (made payable to CIWM) for the correct fee with their completed form.

Policy review

CIWM will review this policy annually as part of the audit arrangements and revise it as and when necessary, in response to CIWM (WAMITAB) Qualifications Centre and learner feedback, changes in internal practices, or requests from, or good practice guidance issued by the regulatory authorities.

Monitoring

CIWM Qualifications and Professional Standards Committee (QPSC) will be responsible for monitoring the effectiveness of the appeals process.



CIWM

Qualifications

Together, we stand for
a world beyond waste

Our purpose is to move the world beyond waste

Help us protect the environment by only printing this document if absolutely necessary and, where possible, please only print the pages you need.

This document has been designed to use minimal ink when printed.

More for professional life

Our mission is to unite, equip and mobilise our professional community to lead, influence and deliver the science, strategies, businesses and policies for the sustainable management of resources and waste.

For more information about how we can support you, visit [ciwm.co.uk](https://www.ciwm.co.uk).

CIWM
Quadra
500 Pavilion Drive
Northampton Business Park
Northampton
NN4 7YJ

Tel: 01604 620426

Email: qualifications@ciwm.co.uk