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IAM Centre Guidance Series
Enquiries and Appeals Procedures
November 2009



Introduction

The Institute of Administrative Management (IAM) aims to ensure that all the decisions affecting centres and learners are processed fairly in order to produce reliable and valid judgements. Despite this there may be incidents when IAM decisions are questioned. The IAM has developed the following procedures in order to allow candidates and centres to enquire about or appeal against decisions that have been made.

1. Enquiries about results (EAR)

The IAM EAR policy operates across all IAM accredited centres and qualifications.

Centres, on behalf of their candidates and independent candidates may apply for the services in any order but must respect the deadlines set out within the individual processes.

Candidates who wish to enquire about their results who are registered with an IAM centre should approach their centre in the first instance. The centre will make the appropriate enquiry with the IAM on their behalf. They should not contact the IAM directly.

For any queries regarding any enquires or appeals please e-mail:

info@instam.org

Candidate consent

Centres must obtain the consent of candidates for the clerical re-check of external assessments/ examinations, the re-marking of external assessments/ examinations and the post-result review of moderation of centre-based assessments because, as a result of using these services, candidates' results may be reduced.

Candidates must be informed by the centre of this possible outcome and provide their informed consent in writing, using **form P1**, before an application is submitted.

Consent forms must be submitted together with the application for the appropriate service and the remittance of the appropriate fee.

Service 1: Clerical re-check of external assessment, including examinations

The IAM offers the re-check of all clerical procedures leading to the issue of a result.

The process

- Centres, on behalf of their candidates or independent candidates must apply for this service within **10 working days** from the publication of the result, using **form P2**.
- Centres must obtain the written consent of candidates before applying for this service. (Form P1)
- If, for any reason, the IAM initiates the clerical check, consent will not be sought.
- The fee for this service to centres or candidates is **£20 per unit**.

This service includes the following checks:

- that all parts of the assessment have been marked
- the totalling of marks
- the recording of marks
- the application of any reasonable adjustments
- the application of any special consideration: please indicate on the application form if special consideration was requested at the time of the assessment / examination.

The outcome

- As a result of the check the IAM may confirm, raise or reduce the grade.
- The IAM will report the outcome of the re-check. The target for the completion of the re-check is within **21 working days** of the IAM receiving the request.

Service 2: Re-marking of external assessments/ examinations

This is a post-result review of the original marking to ensure that the agreed mark scheme has been applied correctly.

The process

- Centres, on behalf of their candidates or independent candidates must apply for this service within **50 working days** from the publication of the result, using **form P3**.
- The re-marking will be completed by a chief examiner or moderator not involved in the original marking.
- Centres must obtain the written consent of candidates before applying for this service. (Form P1)
- The fee for this service for centres or candidates is **£40 per script or project report**.

The outcome

- As a result of the re-marking the IAM may confirm, raise or reduce the grade.
- The IAM will report the outcome of the re-marking. The target for the completion of the re-marking is **21 working days** of the IAM receiving the request.

Service 3: Post-result review of moderation of centre-based assessment

This is a process in which the original moderation is reviewed to ensure that the moderation criteria have been applied fairly, reliably and consistently.

The process

- Centres, on behalf of their candidates or independent candidates must apply for this service within **50 working days** from the publication of the result, using **form P4**.
- Centres must obtain the written consent of candidates before applying for this service. (Form P1)
- The IAM will undertake the review of the moderation on the original sample of candidates' work.
- The review of the moderation will be completed by a moderator not involved in the original moderation.
- The fee for this service for centres or candidates is **£40 per unit**.

The outcome

- As a result of the review the IAM may confirm, raise or reduce the grade.
- The review of moderation may include feedback similar to that provided following the original moderation, if centre-marks are not re-instated.
- If centre marks are re-instated, the IAM will not provide feedback.
- The target for the completion of the review is **21 working days** of the IAM receiving the request.

Service 4: Counselling report

This service provides individual guidance for candidates on areas for improvement. It does not involve the re-marking of the assessment.

The process

- Centres on behalf of their candidates or independent candidates must apply for this service within **50 working days** from the publication of the result, using **form P5**.
- Counselling reports are written by the chief examiner for the relevant unit.
- The fee for this service for centres or candidates is **£100 per unit**.

The outcome

- The target for the IAM to produce counselling reports is **21 working days** of the IAM receiving the request.

Service 5: Cohort report

This service provides feedback to centres on the performance of a particular cohort of candidates. It does not include detailed feedback on the performance of individual candidates or the re-marking of their assessments.

The process

- The head of the centre must apply for this service within **50 working days** from the publication of the result, using **form P6**.
- Centres do not need to obtain the consent of the candidates.
- Cohort reports are written by the chief examiner for the relevant unit.
- The fee for this service for centres is **£250 per unit**.

The outcome

- The target is to produce cohort reports within **21 working days** of the IAM receiving the request.

Service 6: Copy of marked assessment(s)

In compliance with the Freedom of Information Act, candidates may request a copy of their marked assessment(s).

The process

- Candidates must apply for this service **within 50 working days** of the publication of the result, using **form P7**.
- Copies cannot be requested by third parties.
- The fee for this service for candidates is **£30 per copy**.

The outcome

- The target is for the IAM to post copies to candidates **within 5 working days** of the IAM receiving the request.

2. Appeals procedures

Appeals against enquiry outcomes

The appeals process is available to centres or candidates who remain dissatisfied after receiving the outcome of an enquiry about results investigation.

Appeals can only be submitted after the IAM has reported the outcome of an enquiry about results to the centre or the candidate.

Appeals against sanctions imposed as a result of a malpractice investigation

The IAM Suspected Malpractice in Assessments (October 2009) policy document shows the sanctions that may be imposed as result of an investigation into malpractice.

A centre has the right to appeal against a sanction imposed by the IAM on the centre as a result of a malpractice investigation. Centres may also appeal on behalf of a member of staff who has had a sanction imposed on them following any such investigation.

An individual member of staff from a particular centre may also appeal against a sanction imposed on them themselves.

A candidate may also appeal against a sanction imposed on them following a malpractice investigation.

In any case any appeal must be made **within 10 working days** of the date of the notification of the decision to impose a sanction.

Appeals against decisions made about a centre's approved status

A centre may wish to appeal against a decision made by the IAM to withdraw existing approval.

The IAM will acknowledge the receipt of appeals **within 2 working days** from the date of the receipt.

The appeals process has two stages.

Stage 1 Appeal

- Stage 1 appeals will be conducted by an IAM senior officer who has not been involved with the case previously. This fresh review will take into account the written appeal submission and will review the relevant procedures.
- The IAM will send a letter containing its decision to the head of the centre or to the candidate when the appeal review is completed.

Who can appeal?

- Heads of centre on behalf of candidates.
- Candidates.

Grounds for appeal

- The appeals process is not directly concerned with marking judgments or assessment outcomes and therefore it does not inevitably involve the re-marking or re-assessment of the candidates' work.
- Centres or candidates should appeal if they feel that the IAM has not consistently and fairly followed its procedures for the administration of qualifications and the award of results.

How to appeal?

- Appeals must be made in writing and state clearly the grounds for appeal and include any supporting documentation.
- Heads of centres or candidates must appeal in writing to the qualifications manager at the IAM Head Office: 6 Graphite Square, Vauxhall Walk, London SE11 5EE within 10 working days of receiving the outcome of the Enquiry about results.

Charges

- The fee for a Stage 1 Appeal is **£100** for centres or candidates.
- The IAM will refund the fee if the appeal is upheld.

Outcomes

- If this appeal finds that the appropriate procedures have not been followed, they will inform the appellant and will recommend the appropriate action to those responsible for dealing with the initial enquiry.
- If this appeal confirms the appropriate procedures have been followed correctly the appellant will be sent a letter of notification. Information about the Stage 2 appeal will also be sent.

Stage 2 Appeal

The Stage 2 appeals process gives a formal opportunity to centres and candidates to present their case to an independent appeals committee appointed by the IAM, if they are not satisfied by the outcomes of Stage 1 of the appeals process.

- The independent appeals committee will consist of 2-5 members. A member of the committee will act as chair.
- This stage of the appeal process will involve a hearing by the independent appeals committee.
- The appeals committee will not remark assessments, as they are not necessarily subject specialists. They may, however, order further re-assessment or re-marking if they find that processes have not been followed consistently and fairly.
- A letter giving the committee's decision will be sent to the appellant and the IAM representatives within **5 working** days after the hearing.
- The report of the hearing will be sent to the appellant and the IAM within 25 working days of the hearing.
- The hearing by the appeals committee will complete the appeals processes and the IAM will not accept any further appeal.

Who can appeal?

- Heads of centre on behalf of candidates.
- Candidates.

Grounds for appeal

The IAM has not consistently and fairly followed its procedures for the administration of qualifications and the award of results.

How to appeal?

- Heads of centres or candidates must appeal in writing to the qualifications manager at the IAM Head Office: 6 Graphite Square, Vauxhall Walk, London SE11 5EE within **10 working days** of receiving the outcome of the Stage 1 appeals process.
- Applications must state clearly the grounds for the appeal.

Process for Stage 2 hearings

- The appellant or their representative has to attend the hearing in person.
- If the appellant does not attend the hearing, the hearing will proceed in their absence.
- The appellant may call witnesses relevant to the case. The names and addresses of all witnesses must be submitted to the IAM **14 working days** before the date of the hearing.
- The IAM may also call witnesses.
- The IAM chief executive has the right to attend any appeal hearings as a representative or observer.

- Other observers may attend the hearing with the approval of the chair.
- Legal representation is not permitted as a stage 2 appeal hearing is not a legal function.
- The recording of hearings is not permitted.
- The IAM will appoint a secretary to keep records of the proceedings.
- The chair will invite the appellant to present their case to the committee.
- The chair will offer to the IAM representative(s) the opportunity to question the appellant.
- The chair and the committee members will have the opportunity to question the appellant.
- The chair will invite the IAM representative(s) to present their case.
- The chair will offer the appellant the opportunity to question the IAM representatives.
- The chair and the committee members will have the opportunity to question the IAM representatives.
- If the chair and the committee members wish to ask further questions of the appellant, their representative or the IAM representatives, the above will be asked to return to the hearing.
- The committee will deliberate in private and allow the appeal or uphold the original IAM decision and not allow the appeal.
- The committee may make recommendations to the IAM on issues that emerged during the appeals process.
- The appeals committee will consider whether:
 - IAM procedures were applied consistently and fairly;
 - the IAM dealt with the enquiry appropriately;
 - in the event of a failure of processes having been identified at an earlier stage, the remedial action subsequently taken by the IAM was sufficient to rectify that failure.

Time scales

- The IAM aims to complete stages 1 and 2 of the appeals process and report the outcomes within **50 working days**.
- Centres and candidates are requested to cooperate with the IAM in order to facilitate the appeals process so that the above time line could be respected.

Charges

- The fee for a stage 2 Appeal is **£200** for centres or candidates.
- The IAM will refund the fee if the appeal is upheld.

Outcomes

- If this appeal finds that the appropriate procedures have not been followed, they will inform the appellant and will recommend the appropriate action to those responsible for dealing with the initial enquiry.
- If this appeal confirms the appropriate procedures have been followed correctly the appellant will be sent a letter of notification. Information about the Independent appeals process will also be sent.

Independent review

In cases where the appellant is not satisfied with the outcomes of the Stage 2 appeal, they may apply for an independent review. The review will be carried out by an independent member of the Federation of Awarding Bodies (FAB) who has no direct connection with the IAM.

Grounds for review

The IAM has not consistently and fairly followed the Stage 2 appeals processes.

Who can apply?

- Heads of centre on behalf of candidates.
- Candidates.

How to apply?

- Heads of centres or candidates must appeal in writing to the qualifications manager at the IAM Head Office: 6 Graphite Square, Vauxhall Walk, London SE11 5EE within **10 working days** of receiving the outcome of the enquiry about results.
- Applications must state clearly the grounds for the review.

Process for independent review

- If the centre or candidate asks for an independent review, full documentation on the actions taken in the case to date and further evidence will be sent to the appointed independent reviewer.
- Once the appointed reviewer has confirmed receipt of this documentation, there should be no further communication between the centre/candidate and the IAM regarding the case.
- The independent reviewer will not hear a case in absence of personal representation of both parties. This is because the opportunity to question the representatives will play an important part of any hearing. However, this will not be heard in a court of law and therefore the parties should not feel the need to be legally represented.
- The IAM aims for the independent review to take place within 30 working days of the receipt of the request for review.

Charges

- The fee for an independent review is **£400** for centres or candidates.
- The IAM will refund the fee if the review finds in favour of the candidate.

Outcomes

- If this independent review finds that the appropriate procedures have not been followed, they will inform the parties and will recommend the appropriate action to those responsible for dealing with the initial enquiry.
- If this review confirms the appropriate procedures have been followed correctly the parties will be sent a letter of notification.

The decision of the independent review is final and binding.

Monitoring the effectiveness of the enquiry and appeals process

All enquiries and appeals will be recorded by the IAM and linked to the relevant centre. The IAM will review the outcomes of any enquiries and appeals after each examination session to produce a report that summarises this information.

The IAM will use the outcomes of any enquiries and appeals to inform the monitoring process of its centres.

If as a result of an enquiry or appeal the validity of awards to other candidates is called into question the Director of Education and QAAB will initiate an investigation to ascertain whether any malpractice has taken place. The IAM Centre Guidance Series- Suspected Malpractice in Assessment describes the investigation processes that are undertaken by the IAM and the possible sanctions that can be imposed should malpractice be proven.

Acknowledgements

This guidance was informed by:

1. The statutory regulation of external qualifications in England, Wales and Northern Ireland, QCA, 2004.
2. Regulatory arrangements for the Qualifications and Credit Framework, Ofqual, 2008. QCF Criteria 5.24-5.28
3. Post-Result Services: Information and guidance to centres, Joint Council for Qualifications, 2008.

Appendix 1

Enquiries and Appeals Forms

Form P1: Enquiries about results- Candidate Consent Form

Information for candidates

The following information explains what may happen following an enquiry about the result of an assessment.

If your centre makes an enquiry about the result of one of your assessments or examinations on your behalf, after your result has been issued, there are three possible outcomes:

- your original result is raised
- your original result is confirmed as correct and remains unchanged
- your original result is lowered.

In order to proceed with the enquiry about your result, you must sign the form below. This tells the head of your centre that you have understood what the outcome might be, and that you give your consent to the enquiry.

Centre number:
Centre name:
Candidate given name:
Candidate family name:
Candidate number:
Membership number:

I wish to enquire about:

Qualification Title	Unit(s)	Date of Examination

I give my consent to the head of my centre to make an enquiry about the result of the assessment(s)/ examination(s) listed above. In giving consent I understand that the result awarded to me may be lower than, higher than, or the same as the result(s) originally awarded for the subject(s).

Candidate signature: _____

Date: _____

Form P2: Clerical re-check - Request form

Centres on behalf of their candidates and independent candidates may apply for a clerical re-check of their assessments. Any application must be made within **10 working days** of the publication of the results.

Centres must attach the signed candidate consent form (Form P1).

Fee: £20 per unit

Please use BLOCK letters:

Candidate surname:	
Other names:	
Title (circle as appropriate): Mr / Mrs / Miss / Ms / Other:	
Address (Address must be cardholder's):	
Country:	Postcode /Zip:
Telephone:	Email:
Membership Number:	
Centre number and name:	

I wish to apply for the clerical re-check of the assessment for the following unit(s):

Qualification Title	Unit(s)	Date of Examination

Please ensure that you complete payment details overleaf

Methods of payment:

I enclose a remittance for: £_____

Cheque/Bankers Draft

(payable to 'The Institute of Administrative Management')

Debit card:

Delta Solo
 VISA Switch

Switch only:

Issue No:
 Start Date: /

VISA MasterCard

Card No: / / /
 Expiry Date: /
 Security No: (Last 3 numbers on reverse of card)

Signature:	Date:
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Return to: Customer Services, IAM, 6 Graphite Square, Vauxhall Walk, London, UK, SE11 5EE Fax: +44(0)2070912619

E-mail: info@instam.org

Your order represents an offer to us to purchase a product and/or service which is accepted by us when we have dispatched the product and/or service to you. You have the right to cancel your order within seven working days of delivery (starting the day after you receive the goods or the day after the contract for the supply of services is concluded) and return them for a full refund. For full terms and conditions please see www.instam.org

Form P3: Re-marking of external assessment – Request form

Centres on behalf of their candidates and independent candidates may apply for the re-marking of their external assessments. Any application must be within **50 working days** of the publication of the results.

Centres must attach the signed candidate consent form (Form P1).

Fee: £40 per unit

Please use BLOCK letters:

Candidate surname:	
Other names:	
Title (circle as appropriate): Mr / Mrs / Miss / Ms / Other:	
Address (Address must be cardholder's):	
Country:	Postcode /Zip:
Telephone:	Email:
Membership Number:	
Centre number and name:	

I wish to apply for the re-marking of the assessment of the following unit(s):

Qualification Title	Unit(s)	Date of Examination

Please ensure that you complete payment details overleaf

Methods of payment:

I enclose a remittance for: £_____

Cheque/Bankers Draft

(payable to 'The Institute of Administrative Management')

Debit card:

Delta Solo
 VISA Switch

Switch only:

Issue No:
 Start Date: /

VISA MasterCard

Card No: / / /
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Form P4: Post-result review of moderation for centre-based internal assessment

Centres on behalf of their candidates and independent candidates may apply for a post-result review of the moderation of any centre-based internal assessment. Any application must be made within **50 working days** of the publication of the results.

Centres must attach the signed candidate consent form (Form P1).

Fee: £40 per unit

Please use BLOCK letters:

Candidate surname:	
Other names:	
Title (circle as appropriate): Mr / Mrs / Miss / Ms / Other:	
Address (Address must be cardholder's):	
Country:	Postcode /Zip:
Telephone:	Email:
Membership Number:	
Centre number and name:	

I wish to apply for the post-result review of the moderation for the following unit(s):

Qualification Title	Unit(s)	Date of Examination

Please ensure that you complete payment details overleaf

Methods of payment:

I enclose a remittance for: £_____

Cheque/Bankers Draft

(payable to 'The Institute of Administrative Management')

Debit card:

Delta Solo
 VISA Switch

Switch only:

Issue No:
 Start Date: /

VISA MasterCard

Card No: / / /
 Expiry Date: /
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Signature:	Date:
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Form P5: Counselling report –Request form

Centres on behalf of their candidates and independent candidates may apply for a counselling report. Any application must be made within **50 working days** of the publication of the results.

Fee: £100 per unit

Please use BLOCK letters:

Candidate surname:	
Other names:	
Title (circle as appropriate): Mr / Mrs / Miss / Ms / Other:	
Address (Address must be cardholder's):	
Country:	Postcode /Zip:
Telephone:	Email:
Membership Number:	
Centre number and name:	

I wish to apply for a counselling report for the following unit(s):

Qualification Title	Unit(s)	Date of Examination

Please ensure that you complete payment details overleaf

Methods of payment:

I enclose a remittance for: £ _____

Cheque/Bankers Draft

(payable to 'The Institute of Administrative Management')

Debit card:

Delta Solo
 VISA Switch

Switch only:

Issue No: /
 Start Date: /

VISA MasterCard

Card No: / / /
 Expiry Date: /
 Security No: (Last 3 numbers on reverse of card)

Signature:	Date:
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Form P6: Cohort report – Request form

Centres may apply for a cohort report. Any application for this service must be made within **50 working days** of the publication of the results.

Fee: £250 per unit

Please use **BLOCK** letters:

Candidate surname:	
Other names:	
Title (circle as appropriate): Mr / Mrs / Miss / Ms / Other:	
Address (Address must be cardholder's):	
Country:	Postcode /Zip:
Telephone:	Email:
Membership Number:	
Centre number and name:	

I wish to apply for a counselling report for the following unit(s):

Qualification Title	Unit(s)	Date of Examination

Please ensure that you complete payment details overleaf

Methods of payment:

I enclose a remittance for: £_____

Cheque/Bankers Draft

(payable to 'The Institute of Administrative Management')

Debit card:

Delta Solo
 VISA Switch

Switch only:

Issue No: /
 Start Date: /

VISA MasterCard

Card No: / / /
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Form P7: Copy of marked assessment (s)–Request form

Centres on behalf of their candidates and independent candidates may apply for a copy of their marked assessments. Any application must be made **within 50 working days** of the publication of the results.

Fee: £30 per unit

Please use BLOCK letters:

Candidate surname:	
Other names:	
Title (circle as appropriate): Mr / Mrs / Miss / Ms / Other:	
Address (Address must be cardholder's):	
Country:	Postcode /Zip:
Telephone:	Email:
Membership Number:	
Centre number and name:	

I wish to request a copy of my marked assessment(s) for the following unit(s):

Qualification Title	Unit(s)	Date of Examination

Please ensure that you complete payment details overleaf

Methods of payment:

I enclose a remittance for: £_____

Cheque/Bankers Draft

(payable to 'The Institute of Administrative Management')

Debit card:

Delta Solo
 VISA Switch

Switch only:

Issue No:
 Start Date: /

VISA MasterCard

Card No: / / /
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