

# End Point Assessment

## Enquiry & Appeals Policy and Procedures

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## 1. Purpose

- 1.1 CIMA is committed to delivering a high-quality End Point Assessment Service (EPA). We recognise on rare occasions disruptions can occur that may impact an apprentice's assessment performance and/or examination experience. To ensure that all apprentices are assessed fairly, CIMA has in place a procedure to allow apprentices to appeal against the outcome of their EPA.

## 1. Principles

- 1.1 This policy aims to:
- provide a fair and transparent enquires and appeals policy that is clear and accessible
  - ensure all relevant staff follow the correct procedures
  - ensure all appeals are investigated fairly and in a timely manner
  - ensure all appeals are handled appropriately
  - encourage lessons learned to improve our processes and quality of service.
- 1.2 CIMA's enquiry and appeals service is free of charge.

## 2. Policy scope

- 2.1 This policy applies to CIMA's EPA Service and is applicable to Employers, Training Providers or Apprentices. It outlines the process for making an enquiry or appeal about results or assessment decisions relating to EPA.

### Out of scope

- 2.2 If you are unsatisfied with the outcome of a misconduct, malpractice or maladministration investigation decision, penalty or sanction, please refer to CIMA's [EPA Malpractice Policy and Procedure](#) and [CIMA's Exams Standards Investigation Procedure](#).
- 2.3 If you are unsatisfied with the outcome of a complaint's decision, please refer to CIMA's [EPA Complaints Policy and Procedure](#).

## 3. When to make an enquiry

- 3.1 Post result enquires provide Employers, Training Providers or Apprentices the opportunity to query EPA assessment decisions, if they have reasonable grounds to believe they are inaccurate. If you are making a complaint on an apprentice's behalf,

you must have the consent of the apprentice prior to making the enquiry and must ensure the apprentice understands all the possible outcomes.

- 3.2 An enquiry can be made by Employers, Training Providers or the Apprentice, in circumstances where CIMA has declined applications for special accommodation (access arrangements) or special consideration.
- 3.3 An enquiry can also be made in circumstances where further clarification is required in respect to CIMA's EPA policies and/or procedures.

#### **4. Enquires about results**

- 4.1 The results enquiry service includes a clerical review of all processes and procedures leading to the issue of EPA results. The service does not include challenges to academic judgement or typically involve the re-marking of an apprentice's work. However, a review will be initiated if the need is identified during the course of investigating an enquiry.
- 4.2 CIMA's EPA quality assurance processes involve all necessary precautions to ensure maximum reliability before results are published. Our post examination marking processes are subject to rigorous checks and balances, and results are validated by independent psychometricians and CIMA's governance committee - CGMA Examination Board.

#### **5. Making an enquiry**

- 5.1 You can submit a results enquiry via [epa.operations@aicpa-cima.com](mailto:epa.operations@aicpa-cima.com) within 14 working days of the apprentice's notification of results.
- 5.2 We will acknowledge your enquiry application within five working days and typically respond to your enquiry within 10 working days.
- 5.3 If you are unhappy with the outcome of the enquiry, you have 14 working days to request an Appeal. Please note that any appeal submitted after this deadline will not be reviewed unless there are highly extenuating circumstances.

#### **6. Enquiry outcomes**

- 6.1 If the enquiry identifies any policy, procedures or operational failures, CIMA will take all reasonable steps to
  - correct any errors
  - identify other students affected and mitigate any impact
  - produce and implement an action plan to mitigate further issues/ risks
  - provide feedback or training and development to relevant members of the EPA operational team.

#### **7. Grounds for making an appeal**

- 7.1 The following are grounds for making an appeal.
  - (a) If you are unsatisfied with the outcome of an enquiry. Please note challenges to academic judgement alone are not sufficient grounds for an appeal.

- (b) In circumstances where CIMA have declined applications for special accommodation (access arrangements) or special consideration.
- (c) You have reasonable grounds or evidence to suggest there was a procedural irregularity in the conduct of the EPA service, which has adversely affected an apprentice's performance. Although we recommend that you refer to CIMA's [EPA Special Consideration Policy](#) in the first instance.

## 8. Submitting an appeal

- 8.1 To make an appeal, please email [epa.operations@aicpa-cima.com](mailto:epa.operations@aicpa-cima.com) and include the following information:
- a) Candidate ID and contact details (full name, phone number)
  - b) Examination details (where applicable)
  - c) Pearson VUE incident number (where applicable)
  - d) Grounds for your appeal (refer to section 7 above)
  - e) Explanation of the reason behind your appeal
  - f) Supporting evidence/documents (include any previous correspondence from CIMA relevant to the complaint)
  - g) Details of your preferred outcome. For example, an explanation or apology, commitment to review relevant administrative and quality assurance procedures, examination fee refund or free examination re-sit. Or please state alternative outcome.

## 9. Appeals procedure

### Stage 1 Submit an Appeal

- 9.1 An Appeal request is typically acknowledged within five working days of receipt. Your appeal will be reviewed by a senior manager of CIMA's Examinations Department, who will confirm whether your appeal falls within the scope of this policy and the appropriate next steps. Please refer to section 7 above Grounds for making an appeal.

### Stage 2 Investigation

- 9.2 If your appeal falls within the scope of the policy, an Investigation Officer will gather the relevant facts, ensuring that the information gathered is accurate and complete.

### Stage 3 Appeal outcome

- 9.3 Your case will be referred to an independent Appeals Panel<sup>1</sup>, not previously involved in any aspect of your enquiry.
- 9.4 The decision and outcome of your appeal will be communicated to you within 30 working days of receipt of your appeal. The response will include reasons for either

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<sup>1</sup> The Appeals Panel is a sub-committee of the CGMA Examination Board. The Appeals Panel comprises of at least 3 voting members (lay and non-lay members of the Accounting Profession), an independent Chair and CIMA staff to act as a non-voting Secretary. All voting members are independent of the investigation process.

upholding or rejecting your review. If your appeal is upheld, you will be contacted regarding a proposed resolution.

- 9.5 The decision of the Appeals Panel is final and reflects the end of the Appeals' procedure.

## **10. Confidentiality**

- 10.1 While your privacy and confidentiality will be respected, this needs to be balanced with facilitating a fair investigation. Your complaint and supporting documentation will be kept confidential and only shared with colleagues and CIMA partners relevant to the investigation process or remediation action. If your appeal is upheld, the action taken, and the lessons learned will be logged for future purposes.