

PROCEDURE	<b>APPEALS</b>	IWCC-QP-12
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## **1. SCOPE**

- 1.1. Any person with an interest in the IWCC process including all clients of IWCC has the right to appeal against any decision made by IWCC at any stage of registration.
- 1.2. Submission, investigation and decision on appeals shall not result in any discriminatory actions against the appellant.

## **2. RESPONSIBILITIES**

- 2.1 Responsibilities are as defined in the text of this IWCC Procedure.

## **3. APPEALS PROCEDURE**

- 3.1. Whilst a representation or an appeal is pending, IWCC will not implement any action which is the subject of the representation or appeal.
- 3.2. In the first instance the appellant makes written representations to the Head of IWCC. Those instances which cannot be resolved by IWCC, to the satisfaction of the client, are forwarded to the Compliance and Regulatory Liaison Manager for consideration within seven days. The outcome of the CRLM's investigation shall be communicated in writing.
- 3.3. The appellant shall be advised that should they not be satisfied with CRLM-Compliance and Regulatory Liaison Manager-'s decision
- 3.4. , then an appeal will need to be lodged, together with the prescribed deposit. The deposit is refundable in full if the appeal is successful.
- 3.5. IWCC Once receive confirmation from the appellant that they wish to enter into the formal appeals procedure, all the details of the appeal will be forwarded to the Chairman of the ICB, (see Note below). The decision of the ICB is binding upon to IWCC.
- 3.6. An Appeals Committee will be established by ICB within 28 days of notification of the appeal being received.
- 3.7. The Appeals Committee consists of at least 3 members selected from ICB. Nor shall any member of the Appeal Committee have any vested or commercial interest in the matter of the appeal. The representation of the members of Appeal Committee will be such that no one interest shall predominate.
- 3.8. In the event that the appellant lodges an objection to a member of the Appeals Committee, the Chairman of the ICB will consider the grounds given and will make a recommendation.
- 3.9. The members of the Appeals Committee will sign a declaration of confidentiality and confirm no conflict of interest.
- 3.10. The Chairman of the ICB shall determine when and where the Appeals Committee shall be convened. The Regulatory Affairs will notify the appellant, prior to the meeting of

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the Appeals Committee, of the identity of the committee members, and affording the appellant the opportunity to raise objection.

- 3.11. It is essential that the committee has access to the relevant industrial, commercial and legal expertise to handle the appeal. It may therefore be necessary to seek an individual from inside or outside of IWCC to be in attendance in an advisory capacity.
- 3.12. The Appeals Committee will establish its own rules of procedure and may permit the appellant and/or IWCC to attend the Appeals Committee and to present their case.
- 3.13. The decision of the Appeals Committee will be final and will be communicated to the Chairman of the ICB and then to Regulatory Affairs.
- 3.14. Regulatory Affairs will notify the appellant of the decision of the Appeals Committee by recorded delivery within 5 working days Regulatory Affairs.
- 3.15. The ICB shall not amend, or in any way vary, the decision of the Appeals Committee.