



Home Office

# Bundles: preparing appeal PF1 documents and service of respondent appeal bundles

Version 4.0

# Contents

Contents.....	2
About this guidance.....	3
Contacts .....	3
Publication .....	3
Changes from last version of this guidance .....	3
Preparing the form (PF1) for an appeal lodged against an in-country decision.....	4
Standard (Paper) Bundles: .....	5
Virtual Bundles:.....	5
HOPS cases: .....	5
Receiving 'Appeal Lodged' data in the Appeals Processing Centre (APC) .....	7
Actions to take when a hard copy of the notice of hearing is received in the Appeals Processing Centre (APC) .....	8
Serving the appeal bundle.....	9
Entry clearance appeals.....	10
Standard contents of an entry clearance appeal bundle.....	10
ETS Appeals .....	11
Missing bundles or evidence .....	12

# About this guidance

This guidance tells all staff involved in the production of appeals bundles about how to prepare an appeal bundle and update case-working systems. It consolidates and replaces all existing guidance on the preparation of appeal bundles and updating case-working systems.

## Contacts

If you have any questions about the guidance and your line manager or senior caseworker (SCW) cannot help you or you think that the guidance has factual errors then you can email the Appeals Policy team.

If you notice any formatting errors in this guidance (broken links, spelling mistakes and so on) or have any comments about the layout or navigability of the guidance then you can email the Guidance Rules and Forms team.

## Publication

Below is information on when this version of the guidance was cleared:

- version **4.0**
- published for Home Office staff on **02 November 2020**

## Changes from last version of this guidance

Guidance on bundles for ETS appeals has been added.

### Related content

[Contents](#)

# Preparing the form (PF1) for an appeal lodged against an in-country decision

This section tells decision makers what to do when an in-country appealable decision has been made, including what they must do when completing the PF1 and labelling the documents needed to create a bundle. There is a separate section which deals with bundles for [entry clearance appeals](#).

When an appealable decision is made, you (the decision-maker) must complete the PF1 using the ASL.1989 on the Case Information Database (CID). In the PF1 you must list all the documents which need to be included in the bundle and label them so that the Appeals Processing Centre (APC) can create the bundle.

Guidance on appealable decisions is available in Rights of appeal. Where, having read the guidance, you are still unsure whether a decision is appealable you should speak to your line manager or senior caseworker in the first instance. If, having spoken to them, you are still unclear then you should contact appeals policy.

The documents you must include in the bundle are:

- the notice of decision to which the appeal relates
- any application form and any evidence submitted with the application that has been retained (where evidence submitted has not been retained, this should be referenced in the PF1)
- any screening interviews
- any witness statement or preliminary information form
- any interview record
- any further submissions
- any country information, Country Policy and Information Note (CPIN) or Country Policy Information request and response referred to in the refusal letter
- any other information not listed above which is referred to in the refusal letter
- any previous refusal where there has been an appealable decision and any appeal determination (if applicable)
- any information which is submitted which relates to proceedings in the Family Court **must not** be included in the bundle or disclosed without the Family Courts permission - **including material from the Family Court without permission is a criminal offence**

**Note:** that on the last bullet point any information on the Family Court proceedings cannot be disclosed, even where it is information for example included in the application form without the permission of the Family Court. Unless it has been made clear or confirmed with the applicant, you must not assume that the Family Court's permission has been sought or obtained. Where you are in any doubt about whether to include the information please contact Appeals policy.

Each individual document listed in the PF1 must be clearly labelled: A, B, C, D...etc. You must mark the relevant letter in the top-right-hand corner of the first page of each listed document by hand, in black pen, using capital letters. Please note that no page numbering is required (APC will do this digitally at the point where the final bundle is created).

For cases where there is no physical Home Office file in existence, such as Home Office Platform Storage (**HOPS**) cases, a PF1 must still be created listing the documents required for the appeal bundle. In HOPS cases the documents are all electronic and therefore do not need to be labelled, however, each document listed on the PF1 must be readily identifiable on HOPS to enable APC staff to compile the scanned documents and create a bundle.

Please note that for HOPS cases, infrared and ultraviolet copies of documents should not be included in the PF1 or appeal bundle (unless it is essential evidence to prove a forged/counterfeit document).

Once you have completed the PF1 you should take the following actions, depending on whether the bundle is a standard (paper) bundle, a virtual bundle, or a HOPS case:

### **Standard (Paper) Bundles:**

The PF1, and all the documents listed on it, must be placed on the Home Office (HO) file, or a fresh sub file if required. If there is more than one HO file, you must indicate in CID notes which sub file contains the PF1 and annexes. All movements of HO files must be tracked using the Record Management Service (RMS).

### **Virtual Bundles:**

The PF1, and all the documents listed on it, must be scanned to PDF format as a single PDF document. The PDF file must be saved to the relevant folder on the Shared Drive to enable APC staff access. APC will inform each decision-making unit where to save documents.

The scanned bundle should be named using the Immigration and Asylum Chamber (IAC) appeal reference number.

Once the bundle is scanned and saved please create Admin Event 'VIRTUAL FILE CREATED' on the Case Details Admin Event Screen.

### **HOPS cases:**

All appeal PF1 documents that are stored on HOPS are electronic and therefore do not require labelling (APC staff will do this digitally when the bundle is compiled); however, for any HOPS cases where a document listed on the PF1 is not stored on HOPS, but is stored as a hard copy document on a physical HO file, this must be properly noted on the PF1, for example Annex A – Marriage Interview – Hard Copy

on HO File and such documents should be labelled in accordance with preparing the PF1 form.

For HOPS cases, if all documents on the PF1 are stored electronically on HOPS then an Admin Event should be created on the Case Details Event Screen to that effect; however, if some of the documents listed on the PF1 are in hard copy form on a HO file, then this Admin Event should not be completed and the process outlined for standard (paper) bundles should be followed.

**Related content**

[Contents](#)

# Receiving 'Appeal Lodged' data in the Appeals Processing Centre (APC)

This section tells appeals processing staff what they must do to identify whether an appeal has been lodged with Her Majesty's Courts and Tribunals Service (HMCTS).

This section only refers to appeals lodged from within the United Kingdom. For appeals lodged abroad please see [entry clearance appeals](#).

Appeal lodged data is received by APC through a data list exchange between the HMCTS database and the Case Information Database (CID).

APC staff 'download' the data list on to CID, which automatically updates available CID records to show that an appeal has been lodged. An error report is produced for any appeals that have not been automatically updated. APC staff update CID manually where any records have not automatically been updated. The target for updating CID is 4 hours from the error report being produced. The purpose of the download and updating CID is to create an appeal screen, which allows for appeal data to be recorded on to CID. Once CID has been updated, no further action needs to be taken by APC staff until the notice of hearing is received. The notice of hearing is sent directly to APC by HMCTS.

## **Related content**

[Contents](#)

# Actions to take when a hard copy of the notice of hearing is received in the Appeals Processing Centre (APC)

This section tells APC staff about what checks they must make when a hard copy of the notice of hearing is received. This section only refers to appeals where the appealable decision has been taken in the United Kingdom. This includes appeals that have been certified under section 94 (clearly unfounded) of the 2002 Act.

The hard copy of the notice of hearing is sent to APC by Her Majesty's Courts and Tribunals Service (HMCTS). When the hard copy of the notice of hearing is received, you must use the notice date to work out the 'Bundle Due Date' (BDD) for the bundle service. The time limit for protection appeals is 14 days from the date of the notice of hearing or two working days before the Case Management Review (CMR) date (whichever is sooner). For non-protection appeals it is 28 days from the date of the notice of hearing or five working days before the substantive hearing date (whichever is sooner). The Appeals Admin Events in the Case Information Database (CID) must be updated with the BDD. The hard copy notice of hearing must then finally be scanned and saved to POISE in the Appeals Shared Folder.

You must call for the Home Office file upon receipt of the hard copy notice of hearing (or hearing data via the data list exchange), except for Virtual File cases or HOPS cases, where no physical Home Office File is required.

You must also create an Appeal Admin Event on CID to show that the file has been requested.

Business areas should respond to and action all Record Management System requests within 48 hours. Should the Home Office file not be received at APC within three working days, you must request the file again and follow the agreed internal escalation process. For more information on this process please contact the APC SEO Operations Manager, or G7.

## **Related content**

[Contents](#)



# Serving the appeal bundle

This section tells APC staff how to serve an appeal bundle once completed.

Once the bundle has been prepared, digitally paginated and quality-checked APC should create a bundle cover letter using Case Information Database Document Generator (CID Doc Gen) letter template ICD.2732. Once CID is replaced by ATLAS, this letter template will be called 'Appeals\_Appeal bundle covering letter'.

The appeal bundle and cover letter should be scanned and saved to the Share Drive - Transfer2 folders (POISE).

The appeal bundle must be sent to the following:

- the appellant's representative, or, if they have no representative, to the appellant – preferably by MOVE IT, or they do not have a MOVE IT account, by standard post
- Her Majesty's Courts and Tribunals Service – this is done by uploading the bundle to the MOVE IT Portal

The Presenting Officers' Unit (POU) dealing with the appeal will be sent the Home Office file and will access the appeal bundle through the Shared Drive – Transfer2 folders (POISE).

## **Related content**

[Contents](#)

# Entry clearance appeals

This section sets out the process to be followed in entry clearance cases.

Once an entry clearance appeal is lodged, Her Majesty's Courts and Tribunals Service (HMCTS) is required to serve a copy of the appeal and grounds on the Home Office via an IA 10 notice. The Appeals Processing Centre (APC) are then required to scan this and share it electronically with International Casework Quality & Assurance Unit (ICQAT), which is now part of Appeals Operations. ICQAT must review the entry clearance (EC) decision, and any new evidence in the appeal, within 28 days, and either uphold or overturn the initial refusal decision. If the refusal decision is upheld at review, ICQAT will prepare the PF1 document. Once completed, this is sent to APC, who are then required to digitally prepare the appeal bundle and serve it on HMCTS, and the appellant, or their legal representative (via post or Move-IT Portal), within 28 days.

## Standard contents of an entry clearance appeal bundle

The appeal bundle will contain:

- form IA10 (Notice of Pending Appeal)
- notice of immigration decision (refusal of EC against which the notice of pending appeal relates)
- form IAFT 2 or 6 (appeal against a decision of an Entry Clearance Officer (ECO))
- Entry Clearance Manager (ECM) review – Explanatory Statement
- supporting documents relevant to the refusal decision
- interview record with the appellant (if one was conducted)
- the Visa Application Form (VAF) and any additional statements provided by the appellant with the appeal
- any country information relied on in the refusal decision
- any information which is submitted which relates to proceedings in the Family Court **must not** be included in the bundle or disclosed without the Family Courts permission - **including material from the Family Court without permission is a criminal offence**

**Note:** any information on the Family Court proceedings cannot be disclosed, even where it is information for example included in the application form, without the permission of the Family Court. Unless it has been confirmed with the applicant, you must not assume that the Family Court's permission has been sought or obtained. Where you are in any doubt about whether to include the information please contact Appeals policy.

Please see Annex A for example of a PF1 for an Entry Clearance appeal.

### Related content

[Contents](#)

# ETS Appeals

The following is a list of evidence and documents that must be included in a bundle where ETS deception is raised as a ground of refusal:

- ETS Look up Tool data with embedded guidance notes
- ETS Revised Look up Tool with embedded guidance notes
- The ETS Certificate itself (if available)
- Witness statement of Rebecca Collins and Peter Millington
- Project Façade report for relevant test centre (if any)
- Witness Statement of Adam Sewell (accompanies Project Façade report where one exists)
- Professor Peter French expert report
- ETS Interview (Questionable ETS marker cases only)

## **Related content**

[Contents](#)

# Missing bundles or evidence

This section is for Presenting staff if they notice that an appeal bundle is missing or incomplete.

If a Presenting Officer is missing a bundle, or a bundle is incomplete, please contact APC via email.

## **Related content**

[Contents](#)

## Annex A – PF1 template for entry clearance appeals



**Home Office**  
**Appeal under Section 82**  
**of the Nationality, Immigration and Asylum Act 2002**

---

<b>Home Office Reference Number</b>	A00000000
<b>Visa Application Number</b>	VAF Number
<b>IAC Number</b>	IAC Number
<b>Appellant's Name</b>	Joe Bloggs
<b>Nationality</b>	British
<b>Date of Birth</b>	01 January 1985
<b>Place of Detention</b>	

### 1 Decision

On [DATE] a decision was made to refuse leave to enter the UK.

### Immigration History

[Should be provided in chronological order]

### 2 Documents

In accordance with rule 23 of the Immigration and Tribunal (Procedure) Rules 2014 the following documents are attached in order, as follows:

- Full Visa Application form. (Attached in CRS documents including all previous application forms, refusal letters and appeal determinations if relevant to current refusal decision)
- In an ideal world the documents submitted alongside the initial application in the order - *English language evidence; relationship documents; maintenance documents; accommodation documents*
- ECO decision letter dated [DATE]
- ECM review if applicable.

The following notice(s) dated \_\_\_\_\_ are attached informing the appellant of the decisions against which they are appealing.

**3 Appeal**

The appellant gave notice of appeal on \_\_\_\_\_ against the above decision(s).

Other documents submitted in support of the appeal, as attached, are:

Signed:

Name of Bundler/reviewer  
Appeals Processing Centre/ICQAT  
for the Secretary of State for the Home Department

Date: \_\_\_\_\_

Please be aware that the Home Office is operating a facility to review new information or other substantiated requests for reconsideration of decisions that have an outstanding appeal before the First-tier Tribunal. Such requests for reconsideration should be submitted 6 weeks before any hearing to [AppealsReconsiderationRequests@homeoffice.gov.uk](mailto:AppealsReconsiderationRequests@homeoffice.gov.uk), clearly setting out the reasons why a review is appropriate and accompanied by supporting evidence/documents.

## Annex B – PF1 template for HOPS appeal cases



**Home Office**  
**Appeal under Section 82**  
**of the Nationality, Immigration and Asylum Act 2002**

---

<b>Home Office Reference Number</b>	A00000000
<b>Port Reference Number</b>	Port Reference Number
<b>IAC Number</b>	IAC Number
<b>Appellant's Name</b>	Joe Bloggs
<b>Nationality</b>	British
<b>Date of Birth</b>	01 January 1985
<b>Place of Detention</b>	

### 1 Decision

On 31 December 2018 a decision was made to refuse leave to remain in the UK.

### Immigration History

10-Jan-2010: Appellant arrived in the UK and was granted leave to enter as a student until 12-Dec-2014

10-Dec-2014: Appellant submitted an application for further leave to remain as a Tier 4 student and was subsequently granted leave until 28-Jul-2019

9-Dec-2018: Appellant submitted an application for indefinite leave to remain on the basis of 10 years continuous lawful residence

### 2 Documents

In accordance with rule 7 of the Immigration and Tribunal (Procedure) Rules 2014 the following documents are attached in order, as follows:

Annex A: Application Form 20181121\_1212-1111-1198-6755\_APPLICATION\_1

Annex B: Education Certificate 20181121\_1212-1111-1198-6755\_EDUCATION\_1

Annex C: Appellant Passport 20181121\_1212-1111-1198-6755\_ID-TRAVEL\_1

Annex D: Appellant ID Card 20181121\_1212-1111-1198-6755\_ID-TRAVEL\_2

Annex E: Appellant's father's passport 20181121\_1212-1111-1198-6755\_ID-TRAVEL\_3

Annex F: Medical certificates 20181121\_1212-1111-1198-6755\_MEDICAL\_1

Annex G: Letter of sponsorship from father 20181121\_1212-1111-1198-6755\_SPONSORSHIP\_1 (Pgs 3-5)

Annex H: Letter of sponsorship from wife 20181121\_1212-1111-1198-6755\_SPONSORSHIP\_2

Reasons for Refusal Letter dated 31 December 2018

The following notice(s) dated \_\_\_\_\_ are attached informing the appellant of the decisions against which they are appealing.

### **3 Appeal**

The appellant gave notice of appeal on \_\_\_\_\_ against the above decision(s).

Other documents submitted in support of the appeal, as attached, are:

Signed:

Caseworker's name  
Caseworker's team  
for the Secretary of State for the Home Department

Date: \_\_\_\_\_



## Annex C – PF1 template for HOPS & Hard Copy appeal cases



**Home Office**  
**Appeal under Section 82**  
**of the Nationality, Immigration and Asylum Act 2002**

---

<b>Home Office Reference Number</b>	A00000000
<b>Port Reference Number</b>	Port Reference Number
<b>IAC Number</b>	IAC Number
<b>Appellant's Name</b>	Joe Bloggs
<b>Nationality</b>	British
<b>Date of Birth</b>	01 January 1985
<b>Place of Detention</b>	

#### **4 Decision**

On 31 December 2018 a decision was made to refuse leave to remain in the UK.

#### **Immigration History**

10-Jan-2010: Appellant arrived in the UK and was granted leave to enter as a student until 12-Dec-2014

10-Dec-2014: Appellant submitted an application for further leave to remain as a Tier 4 student and was subsequently granted leave until 28-Jul-2019

9-Dec-2018: Appellant submitted an application for indefinite leave to remain on the basis of 10 years continuous lawful residence

#### **5 Documents**

In accordance with rule 7 of the Immigration and Tribunal (Procedure) Rules 2014 the following documents for attachment in order, as follows:

Annex A: Application Form 20181121\_1212-1111-1198-6755\_APPLICATION\_1

Annex B: Education Certificate 20181121\_1212-1111-1198-6755\_EDUCATION\_1

Annex C: Appellant Passport 20181121\_1212-1111-1198-6755\_ID-TRAVEL\_1

Annex D: Appellant ID Card 20181121\_1212-1111-1198-6755\_ID-TRAVEL\_2

Annex E: Appellant's father's passport 20181121\_1212-1111-1198-6755\_ID-TRAVEL\_3 (Pgs 3-5)

Annex F: Medical certificates – annex F marked on hard copy file

Annex G: Letter of sponsorship from father – annex G marked on hard copy file

Annex H: Letter of sponsorship from wife – annex H marked on hard copy file

Reasons for Refusal Letter dated 31 December 2018

The following notice(s) dated \_\_\_\_\_ are attached informing the appellant of the decisions against which they are appealing.

## 6 Appeal

The appellant gave notice of appeal on \_\_\_\_\_ against the above decision(s).

Other documents submitted in support of the appeal, as attached, are:

Signed:

for the Secretary of State for the Home Department

Date: \_\_\_\_\_