

CISI Candidate Policy 4: Assessment Queries and Appeals Process

This policy relates to feedback or queries about the validity of individual questions in a test or the grade awarded and the process for appealing.

4.1 Quality assurance

Questions used in a live CISI examination go through a stringent series of editing stages and quality control checks. Before going live each exam is signed off by panels of experienced industry specialists as accurate, fair and balanced. This rigorous quality control system is an audited requirement of the regulators for qualifications: the Office of the Qualifications & Examinations Regulator (Ofqual), Qualifications Wales and the Council for the Curriculum, Examinations and Assessment (CCEA) in Northern Ireland.

4.2 Exam feedback: a two-stage process

Feedback is always welcomed on assessment matters. Candidates who are dissatisfied with the quality of an examination or its outcome have the right to submit an *Assessment Query* by way of the CISI's online feedback form. This results in an individual investigation, the outcome of which is sent to the candidate on completion. If a candidate is not satisfied with the outcome of the Assessment Query they have the right to final *Appeal* on the grounds stated in 4.6. Both Assessment Queries and Appeals are formally recorded, logged and available for inspection by the CISI Examination Board and the regulators for qualifications.

4.3 Submitting an assessment query: online feedback form

Candidates wishing to submit general feedback, query individual questions or query their result after completing a test are welcome to do so by completing an online feedback form on our website:

[Candidate Feedback](#)

However, any queries must be brought to the attention of the CISI within two weeks of the examination. Any queries submitted outside this period will not be considered.

Candidates attempting to submit an assessment query by telephone or email will be requested to use the standard form (link above) as this ensures consistent and appropriate investigation. The form may only be submitted by candidates themselves and not on their behalf by trainers or employers. The Customer Support Centre is happy to complete a feedback form on behalf of individual candidates who do not have internet access or who are unable, for other reasons, to complete a form themselves.

Candidates wishing to submit feedback on the delivery of the examination should refer to the CBT Examination Delivery Complaints Policy 3.

4.4 Assessment query investigation

Investigation of an assessment query involves review of questions for accuracy and analysing question performance statistics (showing how other candidates have

responded) by an assessment review team within the CISI. An external review may then be carried out by industry specialists. All aspects of the assessment query are taken into account, not just those raised by the candidate. If any reasonable doubt arises as to the validity of the assessment, a decision is made in the candidate's favour. Where the outcome of an assessment query brings into question the accuracy of other results, the CISI will take appropriate action to review these results in order to ensure the integrity of the assessment and fairness to all candidates.

Candidates will receive the outcome of the investigation within four weeks, usually by e-mail. The response will either confirm the validity of the assessment and the grade awarded, or outline an appropriate action by the CISI in the case that the assessment outcome is found to be invalid. The assessment query process is thorough and this investigation completes the CISI's response.

4.5 Formal appeal – Acceptable Grounds

Candidates who have been through the query process but remain dissatisfied with the process have the right of formal appeal on the following grounds only:

- The candidate is able to submit substantive additional information not submitted at the time of the query process, which is pertinent to the query.
- The candidate has evidence that due process has not been followed in the setting, marking and awarding of results.

Appeals must be submitted by letter and will only be considered:

- Once the Assessment Query process has been exhausted.
- If the appeal request is submitted within two weeks of receipt of the assessment query outcome.

4.6 Formal appeal – Non-acceptable Grounds

Delivery Complaints

CISI examinations are taken by those wishing to demonstrate subject knowledge in a highly regulated financial services sector. For this reason, competence cannot be assumed but must be clearly demonstrated by a pass grade in the examination. Therefore, appeals will not be accepted on the basis of complaints relating to the delivery of CBT examinations (eg issues with the testing venue or testing equipment).

Instead, should the delivery complaint be substantiated, a free resit may be offered. (See Policy 3A / 3B).

4.7 Submitting an appeal

Appeals must be submitted by letter detailing the candidate's case and posted with a cheque for £100. The £100 appeal fee will be reimbursed in the event that the appeal is upheld. Appeals should be addressed directly to the CISI Director of Global Learning. Appeals will be acknowledged within five working days by email. If you do not receive a response within five working days, please contact CISI to ensure your appeal has been received.

4.8 Appeal process and outcome

If an appeal is granted on the grounds stated in 4.5 a panel, including at least one member who is independent of the CISI, will be convened. This appeal panel will meet within four weeks of receipt of the candidate's appeal submission. A letter explaining the outcome of the appeal and any appropriate action will be sent no later than two weeks after the panel has convened. Where the outcome of an appeal brings into question the accuracy of other results, the CISI will take appropriate action to review these results in order to ensure the integrity of the assessment and fairness to all candidates.

4.9 Independent review

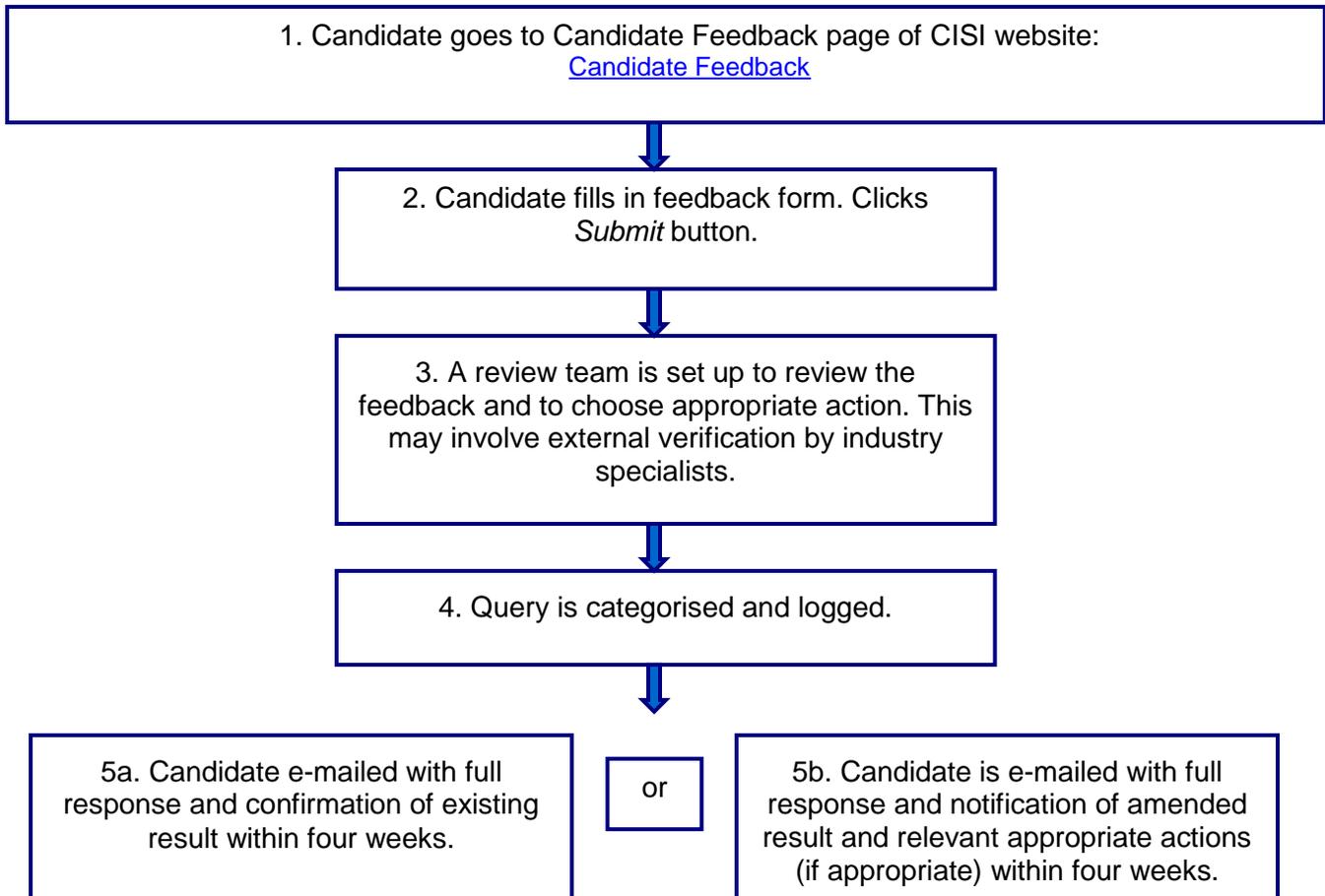
If the candidate remains dissatisfied with the appeals process, a final independent review of the process may be instigated. This will be undertaken by an independent reviewer. Requests for an independent review will only be considered if submitted within two weeks of receipt of the appeal outcome.

The timescales for independent review cannot be specified because, where a senior representative of an organisation unconnected with the CISI is asked to conduct a detailed review, adequate time must be allowed for the reviewer to familiarise themselves with CISI procedures and evidence in the case.

Such reviewers undertake this work without prejudice and with the freedom to make whatever recommendations seem appropriate (whether for or against the CISI position) and, therefore, the reviewer has the right to expect confidentiality. Thus, while the CISI can give details relating to the type of organisation and job role of the reviewer, specific details cannot be provided.

Requests for Independent Review must be submitted by letter to the CISI Global Director of Learning, detailing the candidate's case and posted with a cheque for £250. The fee will be reimbursed should the Independent Review find that the CISI has not followed its published Appeals procedure.

Candidate Feedback & Result Query Process



Formal Appeal Process

