

CISI Candidate Policy 4: Assessment Queries and Appeals Process

This policy relates to feedback or queries about the validity of the content of the examination and the process for appealing.

4.1 Quality assurance

Questions used in a CISI narrative examination go through a stringent series of editing and quality control checks. Each examination is signed off by experienced industry specialists as accurate, fair and balanced. This rigorous quality control system is a 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 Examination feedback

The CISI always welcomes feedback on assessment matters. Candidates who are dissatisfied with the quality of an examination have the right to submit an *Assessment Query* by way of the CISI's online feedback system. Feedback is considered as a standard part of the assessment process.

4.3 Submitting an Assessment Query: online feedback form

Candidates wishing to submit general feedback or who wish to query the content of an examination after completing an examination 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 complete 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 submit a form themselves. Candidates wishing to submit feedback on the delivery of the examination should refer to the Examination Delivery Complaints Policy 3.

4.4 Assessment query investigation

Logged queries are drawn to the attention of the Chief Examiner and exam panel as part of the assessment process. All aspects of the query are investigated, 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. If the outcome of the investigation shows that more than one candidate has been affected by a problem, all candidates' results will be reviewed and, if necessary, amended.

4.5 Examination results: marks analysis

Candidates who are unsuccessful in their examination are entitled to request a marks analysis which includes a further check on the scoring of an examination and a breakdown of a candidate's performance across the different areas of the paper. There is a charge of £25.00 for this report.

4.6 Formal appeal – Acceptable Grounds

Candidates who have been through the assessment query process (and who have received a marks analysis) but remain dissatisfied with the CISI's response to their original query, 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, moderation and awarding of results.

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

- Once the assessment query process has been exhausted. This includes, as indicated above, receipt by a candidate of a marks analysis.
- If the appeal request is submitted within two weeks of receipt of the marks analysis outcome.

4.7 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 via a pass grade in the examination. Therefore, appeals will not be accepted on the basis of delivery complaints relating to the delivery of narrative examinations.

Instead, should the delivery complaint be substantiated, it will be drawn to the attention of the panel of expert practitioners during the moderation process to ensure appropriate consideration is made. (See Policy 3).

Academic Judgement

Appeals will not be accepted on the basis of disagreement with the academic judgement of the panel. It is for the CISI to determine the academic standard required in its examinations and there are robust procedures and policies to ensure the academic standard is determined correctly during the setting, marking and awarding of results.

4.8 Submitting an appeal

A fee of £100 is payable which will be reimbursed in the event that the appeal is upheld. Appeals should be addressed directly to the CISI Global Director of Learning. Appeals will be acknowledged within five working days by post. If you do not receive a response within five working days, please contact the CISI to ensure your appeal has been received

4.9 Appeal process and outcome

If an appeal is granted on the grounds stated in 4.6, 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.

4.10 Independent review

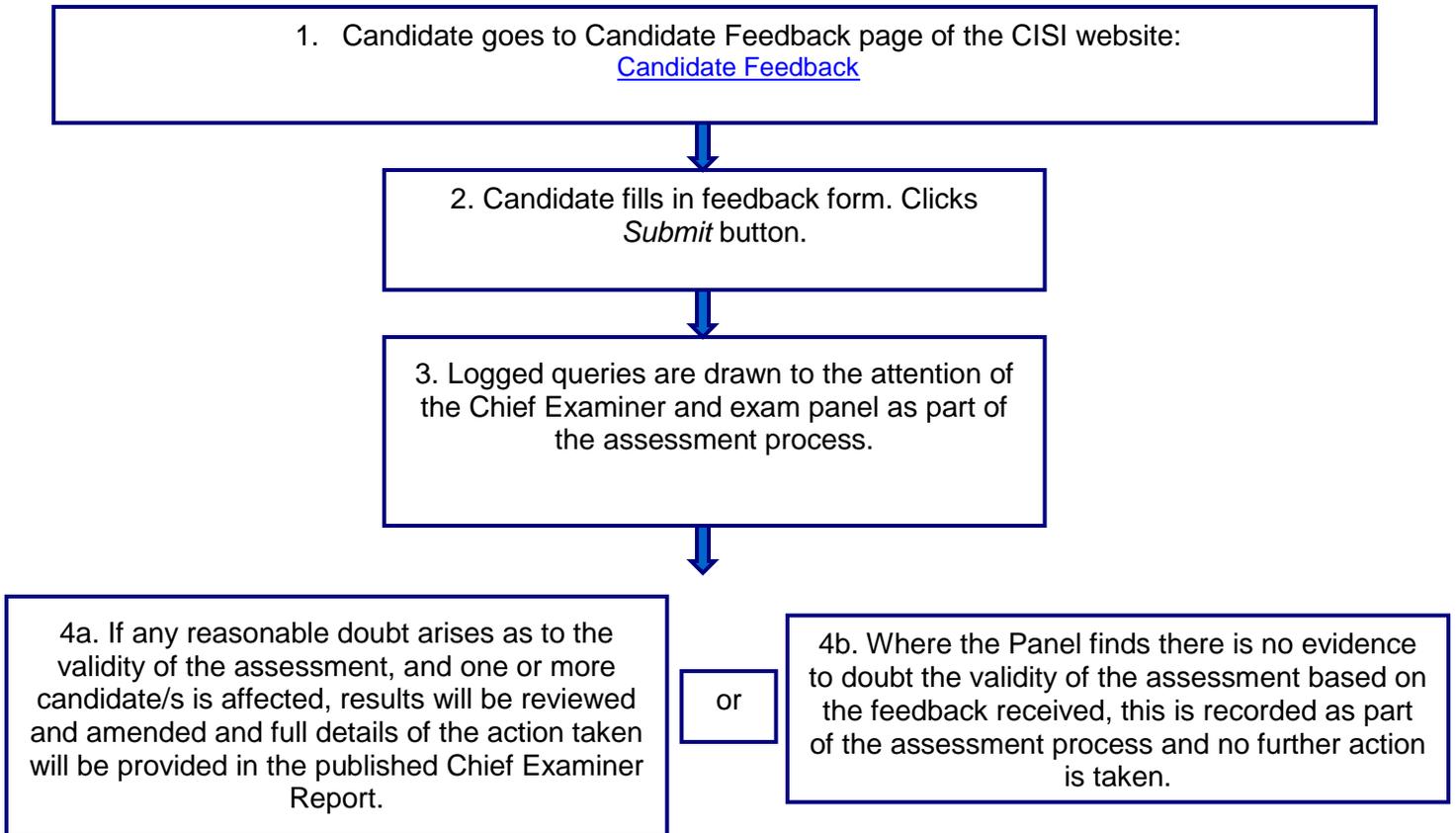
If the candidate remains dissatisfied with the appeals process, a final independent review of the process may be instigated. This will be undertaken by an independent reviewer. Requests for an independent review will only be considered if submitted within two weeks of receipt of the appeal outcome.

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

