

## Assessment queries and appeals policy

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.

### 1.1 Quality assurance

Questions used in CFA UK examinations go through a stringent series of editing stages, quality control checks and piloting. Before going live each exam is signed off by panels of experienced industry specialists as accurate, fair and balanced. In addition, candidates have the option of commenting on individual questions during the exam and this data is also used to monitor the quality of the examination.

This rigorous quality control system is an audited requirement of the Government regulator for examinations: the Office of Qualifications and Examinations Regulation (Ofqual).

### 1.2 Assessment queries

Candidates who are dissatisfied with the quality of an examination, its questions or its outcome have the right to submit a query by way of the CFA UK Assessment Query 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 1.6.

Both Assessment Queries and Appeals are formally recorded, logged and available for inspection by CFA UK Examinations and Education Committee and Ofqual.

### 1.3 Submitting an assessment query

Candidates wishing to query individual questions or query their grade after completing an examination are welcome to do so by completing an Assessment Query form, available on our website.

Candidates attempting to submit an assessment query by telephone or email will be requested to use the standard form 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. CFA UK staff are happy to complete a feedback form on behalf of individual candidates who do not have internet access.

**Assessment queries must be made within 25 working days of the candidate's exam date. Assessment queries received by CFA UK after this time will not be considered.**

#### **1.4 Acknowledgement within 48 hours**

Candidates will receive acknowledgement of their query when it has been formally logged and within 48 hours of submission.

#### **1.5 Assessment query investigation**

Investigation of an assessment query involves re-checking questions for accuracy and analysing question performance statistics (showing how other candidates have responded) by Academic Advisers. An external review may then be carried out by industry specialists.

Candidates will receive the outcome of the investigation within 28 days, usually by email. The response will either confirm the validity of the assessment and the grade awarded, or otherwise outline an appropriate action by CFA UK. The Assessment Query process is thorough and this investigation completes CFA UK's response.

#### **1.6 Formal appeal**

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 the assessment query process has not been followed correctly by CFA UK.
- Appeals will only be considered:
  - Once the Assessment Query process has been exhausted.
  - If the appeal request is submitted within 14 days of receipt of the assessment query outcome

### **1.7 Submitting an appeal**

Appeals must be submitted by letter detailing the candidate's case and posted with a payment form or a cheque for £100. This £100 appeal fee will be reimbursed in the event that the appeal is upheld. Appeals should be addressed directly to CFA UK Director of Education. Appeals will be acknowledged within 5 working days by post.

### **1.8 Appeal process and outcome**

If an appeal is granted on the grounds stated in 1.6 a panel, including at least one member who is independent of the Awarding Body, will be convened. This appeal panel will meet within 28 days of receipt of the candidate's appeal submission. A letter explaining the outcome of the appeal and any appropriate action will be delivered no more than 14 days after the panel has convened.

### **1.9 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 14 days of receipt of the appeal outcome.

## **Contact**

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