

SII 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 SII examination 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. This rigorous quality control system is an audited requirement of the Government regulator for examinations: the Office of the Qualifications & Examinations Regulator (Ofqual)

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 SII'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 SII Examination Board and Ofqual.

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 Assessment Feedback form on our website:

<http://www.sii.org.uk/web5/infopool.nsf/HTML/rhmfeedback>

However, any queries must be brought to the attention of the SII 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 Client Services department are happy to complete a feedback form on behalf of individual candidates who do not have internet access.

Candidates wishing to submit feedback on the delivery of the examination should refer to the Examination Delivery complaints Policy (section 3.3 of policy 3A or 3B of this document).

4.4 Acknowledgement within 48 hours

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

4.5 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 an assessment review team within the SII. An external review may then be carried out by industry specialists.

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 SII in the case that the assessment outcome is found to be invalid. The assessment query process is thorough and this investigation completes the SII's response.

4.6 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 and query process has not been followed correctly by the SII.

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

4.7 Submitting an appeal

Appeals must be submitted by letter detailing the candidate's case and posted with a cheque for £50. This £50 appeal fee will be reimbursed in the event that the appeal is upheld. Appeals should be addressed directly to the SII Assistant Director of Qualifications. Appeals will be acknowledged within five working days by post. If you do not receive a response within five working days, please contact SII to ensure your appeal has been received.

4.8 Appeal process and outcome

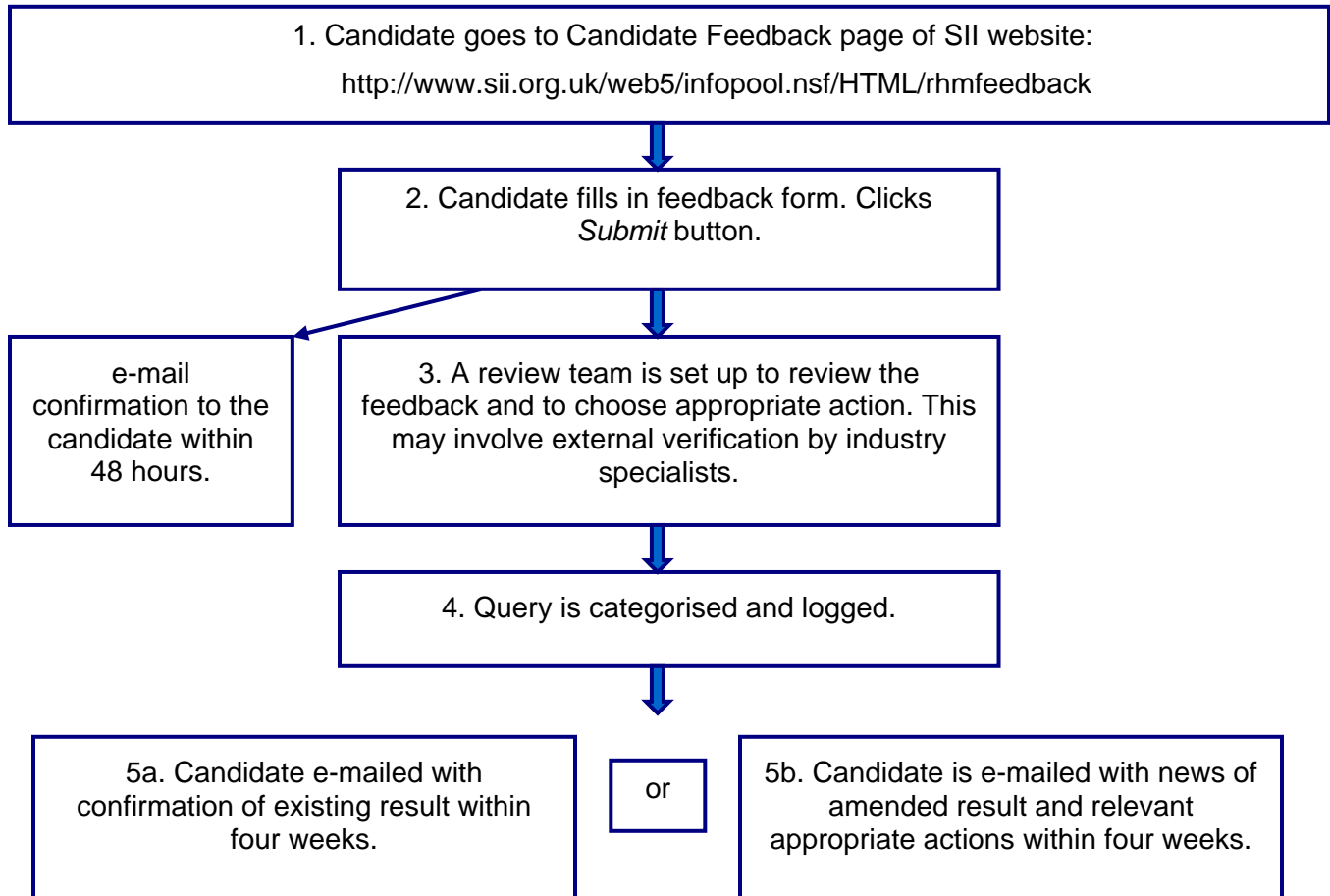
If an appeal is granted on the grounds stated in 4.6 a panel, including at least one member who is independent of the SII, will be convened. This appeal panel will meet within four weeks of receipt of the candidate's appeal submission. A letter explaining the outcome of the appeal and any appropriate action will be sent no later than two weeks after the panel has convened.



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.

Candidate Feedback & Result Query Process



Formal Appeal Process

The full Assessment Query process is complete but candidate wishes to appeal against the outcome.

1. Candidate sends a written appeal detailing the grounds for their appeal and any relevant documentation. A cheque payable to the Securities & Investment Institute for £50 must be enclosed with the letter.

2. Appeal acknowledged by letter within five working days.

3. The appeal panel will meet within four weeks of receipt of appeal submission.

4. A letter communicating the outcome of the appeal is sent to the candidate within two weeks of the panel meeting.