



## Assessment appeals policy and procedure

### Introduction

CAA Global Limited is committed to providing a fair and transparent route to achieving their qualification.

This procedure is intended to provide a formal means for appealing the outcome of an assessment result(s). An appeal is distinct from a complaint which seeks to raise concerns about the quality or delivery of a service received from CAA Global Limited.

CAA Global Limited aims to:

- Deal with any requests in a fair and timely manner and keep you appropriately informed of the progress of an investigation
- Notify you of the outcome which has been reached and, where appropriate, what further action if any is to be taken
- Monitor and track appeals to identify trends and patterns to be reported to Education Committee

### Acceptable grounds for appeal

The appeal will ONLY be considered where at least one of the following grounds is alleged to apply:

Irregular procedure or improper conduct of an assessment took place. This can include procedures for question setting, marking and results moderation of the examinations. Specific evidence must be provided to support this

Extenuating personal circumstances which affected your assessment performance and you could not reasonably disclose under the mitigating circumstances. An explanation for earlier non-disclosure is always required.

It is important to note that appeals based on, or arising from, the following will be deemed invalid and not upheld:

- The candidate's lack of knowledge or understanding of the assessment regulations and procedures.
- Challenging the academic judgement of the assessors because the candidate believes that they deserve a different outcome. Academic judgement is the decision made by examiners on the quality of the candidate's answers or the criteria being applied to mark the scripts. It does not refer to the administrative marking process.
- The retrospective reporting of extenuating personal circumstances which the CAA could have reasonably been made aware of, as per mitigating circumstances



To clarify, CAA Global Limited will not pursue an appeal that does nothing more than question the academic judgement exercised. For example, you cannot appeal using the procedures simply because you are unhappy with a mark given and request a remark of the paper

CAA Global Limited is committed to promoting equality and diversity in all its activities. By submitting an appeal your privacy and confidentiality will be respected at all stages of the process. In submitting an appeal you must accept that limited disclosure of all, or part, of your submission will be required to enable investigation of the case to proceed.

Candidates have the right to expect that everyone who responds to, investigates or adjudicates upon an appeal will do so impartially. No individual, including assessors, will be permitted to act in any manner in a case which they have a material interest in, or in which any actual or potential conflict of interest may arise.

## Stage one appeal

### Lodging an appeal

The appeal must be submitted within 40 UK days of the receipt of the assessment result

You should complete the *Appeal application form (Stage one appeals)*. A form needs to be completed for each assessment you wish to appeal. Appeals should be sent by email or post to the address given on the form. No fee should be submitted until requested to do so.

You will need to provide reasons why you believe that the grounds of appeal apply, and include evidence to substantiate your claim.

On receipt of the form an email will be sent to the candidate within 48 hours. This is an automatic response which acknowledges successful receipt.

All appeals received will be reviewed to ensure that they meet the threshold for consideration  
Examples of appeals that **would not** meet the threshold are:

- **Exam Centre** related issues such as noise, facilities etc. should be reported by a mitigating circumstances application within 7 days of the exam sitting
- **Online Platform** issues such as upload/download, 'timeouts' should be reported by a mitigating circumstances application within 7 days of the exam sitting
- **Questioning the academic judgement of your result** such as believing you should have received a better mark, or disagreeing how marks are awarded are not grounds to appeal
- Request for the script to receive a remark
- Not being aware availability of mitigating circumstances

If the appeal is upheld the fee is refunded. If you have booked a resit for the same assessment and the appeal results in a pass then the entry fee will be refunded to you.



## Consideration of the appeal

The Head of Quality and Assessment at the IFoA will oversee the appeal and will take all appropriate steps to ascertain the relevant facts. This can include checking that no administrative, numerical, data transcription, computing or procedural errors have taken place. It will involve consulting where necessary with examiners, assessors, and Board Officers or CAA Global Limited representatives.

The outcome of the appeal, with reasons, will be communicated to you by letter from the Head of Quality and Assessment (or nominee) within 30 UK working days from the receipt of the appeal fee, wherever possible. Any delays will be communicated to you.

In the event the appeal is upheld this does not necessarily mean that you are entitled to an amendment of your mark or pass/fail decision.

By way of an example, and not intended to be an exhaustive list, the following are available if the appeal is upheld:

- an explanation or apology
- an undertaking to review the relevant administrative procedures
- a remark of the assessment
- correction of the score previously awarded.

If it is felt that a remark is appropriate, and if the candidate agrees to the remark of the assessment, the score previously awarded may be corrected either up or down from the original outcome. If the corrected mark meets the required standard of the assessment then they will receive a pass.

Where the outcome of this process indicates a failure in assessment processes that might affect other candidates, CAA Global Limited will take steps to correct or mitigate the effect as far as possible, and to ensure that such a failure does not occur.

### **Stage two appeal** – review of the Stage one process

If you do not agree with the outcome of the Stage one appeal you are entitled to have your appeal considered by the CAA Global Education Committee (or nominee).

You must request an appeal by completing an *Appeal application form (Stage two appeals)* and sending it to the CAA Global Education Committee within 10 working days of receiving the Stage one appeal outcome.

The Stage two appeal does not re-investigate the details of the original appeal. An appeal at Stage two will only consider evidence that:

- Stage one appeal has not been investigated correctly and the candidate has further evidence to support this.
- Evidence considered in the stage one appeal was incorrect or incomplete, to the extent it was reasonable to conclude the outcome may have been different.
- There was prejudice or bias during the stage one appeal



If the appeal is upheld CAA Global Limited will undertake to re-review the case submitted at Stage one of the appeal process.

The outcome of the appeal, with reasons, will be communicated to you by letter from the CAA Global Education Committee (or nominee) within 30 UK working days from the receipt of the Stage two appeal wherever possible. Any delays will be communicated to you.

The decision of the CAA Global Education Committee will be the final decision under this appeals process. Once this has been communicated to you, CAA Global Limited will not enter into any further correspondence regarding the appeal.