



Institute
and Faculty
of Actuaries

Assessment Appeals Policy and Procedure

July 2022

Assessment Appeals

Introduction

We are committed to providing you with a fair and transparent route to achieving our qualifications.

Assessment Appeals are intended to offer you a formal process through which you can appeal the outcome of your assessment(s). An appeal is distinct from a complaint which seeks to raise concerns about the quality or delivery of a service we provide. We handle complaints under a separate process which can be found at: <https://actuaries.org.uk/about-us/choosing-the-right-avenue-for-your-complaint>

Our Assessment Appeals process is designed to ensure that your appeal is dealt with in a fair and consistent manner.

We aim to:

- Deal with your appeal in an impartial and timely manner and keep you appropriately informed of its progress.
- Notify you of the outcome reached and, where appropriate, what further actions we will be taking.
- Monitor and track appeals to identify trends which can be used to improve our assessment and appeals processes.

We are committed to promoting equality and diversity in our services to members. Your privacy and confidentiality will be respected at each stage of the appeals process. However, by submitting an appeal you are agreeing to the disclosure of all, or parts of, your submission necessary to consider your case.

You can expect that everyone who deals with your appeal does so impartially, and that no individual will have a material interest in your case.

Grounds for Appeal

We can only consider an appeal under at least one of the following grounds:

- **There was irregular procedure or improper conduct of an assessment.** *This can include procedures for question setting, marking of an examination or moderation of results.*
- **There were mitigating circumstances which could not be disclosed through the usual mitigating circumstances process following the examination.** *Appeals on this ground need to provide substantive independent evidence as to why it was not possible to submit a mitigating circumstances case immediately following the examination*

To assist you in considering an appeal, the following are not valid grounds.

<p>Ground One Irregular Procedure or Improper Conduct of an Assessment</p>	<ul style="list-style-type: none"> • Marking variances – <i>variance between Marker 1 and 2 and/or the script reviewer</i> • Comparison of your own analysis with your awarded marks <i>i.e. marking your own paper i.e. use of the Examiner’s report</i> • Requests for re-marking • Challenging the academic judgement of the examiners because you believe you deserve a different outcome • Lack of understanding of the assessment regulations and procedures • Lack of understanding of the marking guidelines/policy • A request to appeal a paper or part paper that achieved the pass mark
<p>Ground Two Unable to Submit a Mitigating Circumstance application following the examination</p>	<ul style="list-style-type: none"> • Not being aware of the Mitigating Circumstances process or deadline • Retrospective reporting of mitigating circumstances which could have been submitted within the required post-examination deadline. • Appealing once you know your results, having previously chosen not to report mitigating circumstances • If the grounds of the appeal is deemed more applicable to <u>Access Arrangements</u> or the <u>IFoA Complaints process</u>

Supporting Evidence

Regardless of the grounds, you will need to provide independent evidence to support your appeal. Without such evidence it is unlikely that your appeal will be successful. All supporting evidence must be provided at the time of your appeal, as it will only be assessed based on the information submitted at that time.

We recognise that it can be difficult to disclose sensitive personal information. To reassure you, all your appeal documentation will be treated sensitively, and remain confidential. The information submitted to us will also be subject to our relevant data retention policy.

For appeals made under Ground Two, we require **independently verified*** evidence of why you were unable to make a mitigating application within the deadline.

**should be typed, signed and dated and on letter headed paper*

In most circumstances, the IFoA deems the following individuals suitable to provide independent verification:

- Medical Professional
- Legal professional
- FIA line manager or supervisor

Independently verified evidence must categorically state, that in the professional opinion of the individual providing the verification, the candidate could not have submitted the Mitigating circumstances within the stated deadline.

Stage One Appeal

Submission

- You must submit an appeal using the application form ([Stage One Appeals](#)) available at along with a complete set of supporting evidence.
- We must receive your Stage 1 Appeal application within **21 calendar days** of the publication of your assessment result.
- Appeals should be sent by email to appeals@actuaries.org.uk
- You will receive an automatic receipt by email.
- There is a fee for each examination result you are appealing. If you are appealing the outcome of more than one examination on identical grounds, at our discretion we may choose to charge you only one appeal fee.

Initial Screening

- On a receipt of your appeal, the IFoA will conduct an evaluation as to whether it meets the grounds for investigation. You will be advised within 7 calendar days of receipt, if your appeal is to be investigated.
- At this stage we may decide, at our discretion, that it is more appropriate to consider your case under a separate process, such as Access Arrangements or Complaints.
- If further investigation is agreed, then you will be invoiced. You will receive a formal outcome of the appeal investigation within 30 calendar days of payment.
- The invoice must be paid within five working days. If you fail to make payment within this time, without communicating with us, your appeal will be automatically withdrawn.

Your Appeal

The Head of Quality and Assessment (or nominee) oversees the assessment appeals which can include checking that no administrative, numerical, data transcription, computing or procedural errors have occurred, and may involve consulting with examiners, assessors, Board Officers or other IFoA colleagues.

The outcome of your appeal, with reasons for the decisions, will be communicated to you by letter from the Head of Quality and Assessment (or nominee) within 30 calendar days from the receipt of your appeal fee, unless we have explained there will be a delay in communicating the outcome to you.

Should your appeal be upheld, this does not necessarily mean that your final mark will be amended.

For example, you may receive one or more of the following:

(List is not exhaustive)

- An explanation or apology
- An undertaking to review the relevant administrative procedures
- A re-mark of your assessment
- Correction of the previously awarded mark
- Consideration of your mitigating circumstances

If you agree to a re-mark, the previously awarded mark could go up or down from the original outcome. Any remark undertaken as part of the Appeal investigation will be a full remark of all questions and question parts and not a partial remark of the examination script. If the corrected mark meets the required standard for the assessment, you will receive a Pass.

Where the outcome of an appeal identifies a failure in the assessment process which may also have affected other candidates, we will take steps to correct or mitigate the effect on others as far as it is possible to do so, and work to ensure that similar failures do not occur in future.

If an appeal based on your inability to submit an earlier mitigating circumstances application is upheld, you will be asked to complete a mitigating circumstances application and provide further evidence at this time to demonstrate:

- the mitigating circumstances at the time of your exam, and,
- the impact these would have had on your exam performance

This will then be considered by the appropriate IFoA panel.

If we either uphold or partially uphold your appeal, your appeal fee will be refunded. If you have booked a resit for the same assessment and your appeal results in a pass, the examination entry fee will also be refunded to you.

Should your Stage One Appeal result in a remark by the Chief Examiner (or Nominee), or your mitigating circumstance be considered by the Mitigating Panel, no further Stage 1 Appeal can be considered. Your awarded mark will be final.

Once the outcome of your Stage One Appeal has been communicated to you, this represents the end of this stage of the process and further correspondence on this matter.

Stage Two Appeal

If you believe your Stage One appeal was not correctly investigated, you are entitled to have this considered by the Director of Engagement and Learning (or nominee).

You can request this by completing the appropriate *application form* ([Stage Two Appeals](#)) and emailing it to appeals@actuaries.org.uk within 10 calendar days of receiving your Stage One Appeal outcome.

A Stage two appeal will not re-investigate the details of your original appeal, but only consider evidence that:

- Your Stage One appeal had not been investigated correctly and you have evidence to support this.
- Evidence considered during your Stage One appeal was incorrect or incomplete, to the extent it is reasonable to conclude the outcome may have been different.
- There was prejudice or bias during your Stage One Appeal.

If your Stage Two appeal is successful, the outcome may be one of the following:
(List is not exhaustive)

- An apology
- A re-review of your original appeal
- A refund of the appeal fee
- A refund of the exam fee

The outcome of any Stage Two appeal, with reasons for the decisions, will be communicated to you from the Director of Engagement and Learning (or nominee) within 30 calendar days from the receipt of your appeal, unless we have explained there will be a delay in communicating the outcome to you.

The decision of the Director of Engagement and Learning (or nominee) is final and once the outcome has been communicated to you, we will not enter into any further correspondence regarding your appeal.

This concludes the end of the Assessment Appeals Policy

Document control

Controller: Karen Brocklesby, Head of Quality and Assessment

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