

# Results review and appeals process

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## 1. Purpose

- 1.1. The purpose of this document is to outline the process to be followed when a candidate is considering challenging the result of their examination or assessment. It covers the three steps in the process and how these will be conducted: clerical check, re-mark and appeal.
- 1.2. The below table summarises which steps of the process are available for each stage of the qualification:

Qualification	Clerical Check	Re-mark	Stage 1 appeal	Stage 2 appeal
Certificate	✓		✓	✓
Diploma	✓	✓	✓	✓
Chartered Director	✓		✓	✓

## Certificate

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## 2. Clerical check requests and responses

- 2.1. A clerical check is the first step to take if there is any query over an examination result. This must be carried out before an appeal can be requested.
- 2.2. A request for a clerical check should be submitted to [examinations@iod.com](mailto:examinations@iod.com) within 10 working days of the release of results.
- 2.3. This service will include the following checks:
- 2.3.1. That all parts of the examination have been marked
  - 2.3.2. That marks have been totalled correctly
  - 2.3.3. That marks have been recorded correctly
  - 2.3.4. That any requested adjustments have been applied
  - 2.3.5. That any special considerations have been applied, where appropriate
- 2.4. A member of the Assessment Team will communicate the outcome of the clerical check to the candidate within 5 working days of receipt of the request.
- 2.5. If the clerical check identified an error in the candidate's result, a formal correction will be issued by the Head of Content and Assessment.

### 3. Submitting an appeal – Stage 1

- 3.1. An appeal can only be submitted following the release of the results and once a clerical check has been carried out.
- 3.2. Any appeal should be submitted on an appeals application form within 10 working days of the outcome of the clerical check. Contact [examinations@iod.com](mailto:examinations@iod.com) for an appeals form or download a copy from the Examinations section of the IoD website.
- 3.3. Please complete the form in full and email it to [examinations@iod.com](mailto:examinations@iod.com).
- 3.4. It is the responsibility of the candidate to ensure the appeals application form includes a clear statement of the grounds on which the appeal is being made and is accompanied by any relevant supporting evidence.
- 3.5. The fee for application and consideration of an appeal is £150 + VAT. Upon receipt of your application form, the IoD will issue you with an invoice. Note that we will not be able to proceed with an appeal until a completed form is received and the fee has been paid in full.
- 3.6. If the appeal is upheld the fee will be refunded.
- 3.7. Appeals will be acknowledged within five working days of receipt of the fee and will include a date by which the candidate will receive a response.

### 4. Stage 1 - Grounds for appeal and responses

#### 4.1. Failure to notify requirement for special considerations:

##### Appeal

- 4.1.1. An unexpected event occurred shortly before or during the exam which the candidate believes had an impact on their exam performance, and they were unable to inform the IoD during the specified time frame.

##### Response

- 4.1.2. An investigation based on the evidence presented will be conducted by a member of the Assessment Team.
- 4.1.3. Investigation findings will be provided to the Head of Content and Assessment, who will make a decision on a case-by-case basis and respond to the candidate accordingly by the agreed date.
- 4.1.4. If the appeal is upheld, the candidate will either be offered a free re-sit or have their marks adjusted accordingly.

#### 4.2. Error on the Certificate examination:

##### Appeal

- 4.2.1. A candidate believes there was an error in a question in the Certificate examination.

##### Response

- 4.2.2. An investigation based on the evidence presented will be conducted by a member of the Assessment Team.
- 4.2.3. The investigation will include an in-depth review of the statistical performance data for that exam question.
- 4.2.4. Investigation findings will be provided to the Lead Examiner, who will make a decision about the fairness, validity and reliability of the question.

- 4.2.5. The Lead Examiner will then liaise with the Head of Content and Assessment and they will agree an outcome.
- 4.2.6. The Head of Content and Assessment will notify the candidate of the outcome of their appeal by the agreed date.
- 4.2.7. If one or more questions are found to have a fault, all candidates affected by this error will have their marks amended accordingly and notified of the outcome.

## Stage 2 appeal

- 4.4. Where a candidate is dissatisfied with the outcome of their appeal they can write to the Head of Content and Assessment clearly stating their reasons and requesting a stage 2 appeal. Please note that this will be considered as a discrete appeal and will attract a further fee of £150 + VAT. If the appeal is successful both your stage 1 appeal fee and stage 2 appeal fee will be refunded.
- 4.5. Any request for a stage 2 appeal must be received within 10 working days of the date on which the outcome of the stage 1 appeal is received by the candidate. The fee must be paid in full before we can progress the stage 2 appeal.
- 4.6. The Head of Content and Assessment will notify the Chair of the Assessment Committee (AC), along with the Chair of the Accreditation and Standards Committee (ASC), of any request for a stage 2 appeal.
- 4.7. The Chair of the AC will identify and instruct an independent person with relevant skills to review the case and make a recommendation to the AC within 20 working days.
- 4.8. This independent person can be, but doesn't have to be, a member of the AC (including the Chair) or a member of the ASC (including the Chair).
- 4.9. The person cannot be a member of IoD staff, a Lead Examiner, an item writer, a member of the Diploma marking team, a Chartered Director interviewer or anyone with a vested interest, whether real or perceived, in the outcome of the review.
- 4.10. The person carrying out the review will present their conclusions at the next available AC meeting and the AC will come to a final decision.
- 4.11. The decision will be communicated to the candidate by the Chair of the AC and a synopsis of the case will be made available to the ASC.
- 4.12. There is no further right of appeal.

## 5. Data retention

- 5.1. Whether successful or unsuccessful, full records of the appeal and any subsequent investigations will be kept for three years.

## 6. Supporting documents

- Appeal Application Form

# Diploma

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## 7. Clerical check requests and responses

- 7.1. A clerical check is the first step to take if there is any query over an examination result. This must be carried out before an appeal can be requested.
- 7.2. A request for a clerical check should be submitted to [examinations@iod.com](mailto:examinations@iod.com) within 10 working days of the release of results.
- 7.3. This service will include the following checks:
  - 7.3.1. That all parts of the examination have been marked
  - 7.3.2. That marks have been totalled correctly
  - 7.3.3. That marks have been recorded correctly
  - 7.3.4. That any requested adjustments have been applied
  - 7.3.5. That any special considerations have been applied, where appropriate
- 7.4. A member of the Assessment Team will communicate the outcome of the clerical check to the candidate within 5 working days of receipt of the request.
- 7.5. If the clerical check identified an error in the candidate's result, a formal correction will be issued by the Head of Content and Assessment.

## 8. Submitting a Diploma re-mark request

- 8.1. A re-mark can only be requested for a Diploma examination. As the Certificate examination is marked by computer, it is not eligible for a re-mark. The Chartered Director assessment is not eligible for a re-mark as it is interview-based and cannot be effectively re-marked without holding another interview.
- 8.2. Any request for a re-mark should be submitted on a re-mark request form within 14 days of the release of results. Contact [examinations@iod.com](mailto:examinations@iod.com) for a re-mark form or download a copy from the Examinations section of the IoD website.
- 8.3. Please complete the form in full and email it to [examinations@iod.com](mailto:examinations@iod.com).
- 8.4. The fee for the re-mark of a Diploma exam is £100 +VAT. Upon receipt of your application form, the IoD will issue you with an invoice. Note that we will not be able to proceed with a re-mark until a completed form is received and the fee is paid in full.

## 9. Diploma re-mark responses

- 9.1. Once payment for the re-mark has been received, a member of the Assessment Team will appoint a senior member of the marking team who was not involved in the original assessment of the candidate to carry out the re-mark.
- 9.2. The appointed marker will be provided with the anonymised examination script. They will not be given any information about the original marks or the marker(s) notes.
- 9.3. The appointed marker will carry out a blind re-mark of the examination script. This mark will supersede any previous mark/s and will be recorded as the final mark. Note that the new mark may be higher or lower than the original mark. In either case, the new mark and associated grade will stand.
- 9.4. If the re-mark results in a grade change (e.g. from fail to pass, or from pass to distinction) the fee will be refunded.

## 10. Submitting an appeal – Stage 1

- 10.1. An appeal can only be submitted following the release of the results and once a clerical check has been carried out. In the case of a Diploma appeal, a re-mark must have been carried out.
- 10.2. Any appeal should be submitted on an appeals application form within 10 working days of the outcome of the re-mark. Contact [examinations@iod.com](mailto:examinations@iod.com) for an appeals form or download a copy from the Examinations section of the IoD website.
- 10.3. Please complete the form in full and email it to [examinations@iod.com](mailto:examinations@iod.com).
- 10.4. It is the responsibility of the candidate to ensure the appeals application form includes a clear statement of the grounds on which the appeal is being made and is accompanied by any relevant supporting evidence.
- 10.5. The fee for application and consideration of an appeal is £150 + VAT. Upon receipt of your application form, the IoD will issue you with an invoice. Note that we will not be able to proceed with an appeal until a completed form is received and the fee has been paid in full.
- 10.6. If the appeal is upheld the fee will be refunded.
- 10.7. Appeals will be acknowledged within five working days of receipt of the fee and will include a date by which the candidate will receive a response.

## 11. Stage 1 - Grounds for appeal and responses

### 11.1. Failure to notify requirement for special considerations:

#### Appeal

- 11.1.1. An unexpected event occurred shortly before or during the exam which the candidate believes had an impact on their exam performance, and they were unable to notify the IoD within the specified time frame.

#### Response

- 11.1.2. An investigation based on the evidence presented will be conducted by a member of the Assessment Team.
- 11.1.3. Investigation findings will be provided to the Head of Content and Assessment, who will make a decision on a case-by-case basis and respond to the candidate accordingly by the agreed date.
- 11.1.4. If the appeal is upheld, the candidate will either be offered a free re-sit, have their marks adjusted accordingly or will be awarded additional marks on a percentage basis.

### 11.2. Error in Diploma marking:

#### Appeal

- 11.2.1. A candidate believes there was an error in the marking of their Diploma examination.
- 11.2.2. An appeal on these grounds can only be made once a re-mark has been carried out.

#### Response

- 11.2.3. A member of the Assessment Team will collect information about the candidate's examination including:
  - the examination script
  - the original marker(s) scores
  - the scores from the re-mark
  - any comments made by the marker(s)
  - evidence or other information provided by the candidate on the appeal form

- any other relevant data.
- 11.2.4. The Lead Examiner will review all the information that has been made available.
- 11.2.5. If there are any factors relating to the marking of the paper which, in the opinion of the Lead Examiner, has resulted in the candidate being disadvantaged, they will make a recommendation to the Head of Content and Assessment as to what action should be taken and agree an outcome.
- 11.2.6. The Head of Content and Assessment will notify the candidate of the outcome of their appeal by the agreed date.
- 11.2.7. Where any adjustments to the mark scheme are required all candidates who are affected will have their scripts remarked and notified of the outcome.
- 11.2.8. Where the Lead Examiner has identified a marker who has not marked to the standard set, all scripts allocated to this marker will be remarked by a senior member of the marking team and all affected candidates will be notified of the outcome.

## Stage 2 appeal

- 11.4. Where a candidate is dissatisfied with the outcome of their appeal they can write to the Head of Content and Assessment clearly stating their reasons and requesting a stage 2 appeal. Please note that this will be considered as a discrete appeal and will attract a further fee of £150 + VAT. If the appeal is successful both your stage 1 appeal fee and stage 2 appeal fee will be refunded.
- 11.5. Any request for a stage 2 appeal must be received within 10 working days of the date on which the outcome of the stage 1 appeal is received by the candidate. The fee must be paid in full before we can progress the stage 2 appeal.
- 11.6. The Head of Content and Assessment will notify the Chair of the Assessment Committee (AC), along with the Chair of the Accreditation and Standards Committee (ASC), of any request for a stage 2 appeal.
- 11.7. The Chair of the AC will identify and instruct an independent person with relevant skills to review the case and make a recommendation to the AC within 20 working days.
- 11.8. This independent person can be, but doesn't have to be, a member of the AC (including the Chair) or a member of the ASC (including the Chair). The person cannot be a member of IoD staff, a Lead Examiner, an item writer, a member of the Diploma marking team or a consultant with a vested interest, whether real or perceived, in the outcome of the review.
- 11.9. The person carrying out the review will present their conclusions at the next available AC meeting and the AC will come to a final decision.
- 11.10. The decision will be communicated to the candidate by the Chair of the AC and a synopsis of the case will be made available to the ASC.
- 11.11. There is no further right of appeal.

## 12. Data retention

- 12.1. Whether successful or unsuccessful, full records of the appeal and any subsequent investigations will be kept for three years.

## 13. Supporting documents

- Re-mark Application Form
- Appeal Application Form

# Chartered Director

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## 14. Clerical check requests and responses

- 14.1. A clerical check is the first step to take if there is any query over an examination result. This must be carried out before an appeal can be requested.
- 14.2. A request for a clerical check should be submitted to [examinations@iod.com](mailto:examinations@iod.com) within 10 working days of the release of results.
- 14.3. This service will include the following checks:
  - 14.3.1. That all parts of the examination have been marked
  - 14.3.2. That marks have been totalled correctly
  - 14.3.3. That marks have been recorded correctly
  - 14.3.4. That any requested adjustments have been applied
  - 14.3.5. That any special considerations have been applied, where appropriate
- 14.4. A member of the Assessment Team will communicate the outcome of the clerical check to the candidate within 5 working days of receipt of the request.
- 14.5. If the clerical check identified an error in the candidate's result, a formal correction will be issued by the Head of Content and Assessment.

## 15. Submitting an appeal – Stage 1

- 15.1. An appeal can only be submitted following the release of the results and once a clerical check has been carried out.
- 15.2. Any appeal should be submitted on an appeals application form within 10 working days of the outcome of the clerical check. Contact [examinations@iod.com](mailto:examinations@iod.com) for an appeals form or download a copy from the Examinations section of the IoD website.
- 15.3. Please complete the form in full and email it to [examinations@iod.com](mailto:examinations@iod.com).
- 15.4. It is the responsibility of the candidate to ensure the appeals application form includes a clear statement of the grounds on which the appeal is being made and is accompanied by any relevant supporting evidence.
- 15.5. The fee for application and consideration of an appeal is £150 + VAT. Upon receipt of your application form, the IoD will issue you with an invoice. Note that we will not be able to proceed with an appeal until a completed form is received and the fee has been paid in full.
- 15.6. If the appeal is upheld the fee will be refunded.
- 15.7. Appeals will be acknowledged within five working days of receipt of the fee and will include a date by which the candidate will receive a response.

## 16. Stage 1 - Grounds for appeal and responses

### 16.1. Failure to notify a requirement for special considerations:

#### Appeal

- 16.1.1. An unexpected event occurred shortly before or during the interview which the candidate believes had an impact on their performance, and they were unable to notify the IoD within the specified timeframe

#### Response

- 16.1.2. An investigation based on the evidence presented will be conducted by a member of the Assessment Team.
- 16.1.3. Investigation findings will be provided to the Head of Content and Assessment, who will make a decision on a case-by-case basis and respond to the candidate accordingly by the agreed date.
- 16.1.4. If the appeal is upheld, the candidate will be offered a new interview free of charge.
- 16.2. **Conclusions drawn from the Chartered Director assessment:**
- Appeal**
- 16.3.1. A candidate believes the interviewers' decision was incorrect.
- Response**
- 16.3.2. A member of the Assessment Team will collect information about the candidate's assessment including:
- the marks and comments of the original interviewers
  - the portfolio
  - the interview recording
  - any other relevant data.
- 16.3.3. The Lead Examiner, or a senior member of the interview team, will review all of the information provided and provide a written report of their findings to the Head of Content and Assessment.
- 16.3.4. If there are any factors relating to the conduct of the interview or any other aspect of the process followed during the original assessment which, in the opinion of the Lead Examiner or senior interviewer, has resulted in the candidate being disadvantaged, they will make a recommendation as to what action should be taken.
- 16.3.5. The Head of Content and Assessment will consider the recommendation and agree an outcome with the Lead Examiner.
- 16.3.6. The Head of Content and Assessment will notify the candidate of the outcome of their appeal by the agreed date.
- 16.3.7. If the appeal is upheld, the candidate will be offered a new interview free of charge.

## Stage 2 appeal

- 16.1. Where a candidate is dissatisfied with the outcome of their appeal they can write to the Head of Content and Assessment clearly stating their reasons and requesting a stage 2 appeal. Please note that this will be considered as a discrete appeal and will attract a further fee of £150 + VAT. If the appeal is successful both your stage 1 appeal fee and stage 2 appeal fee will be refunded.
- 16.2. Any request for a stage 2 appeal must be received within 10 working days of the date on which the outcome of the stage 1 appeal is received by the candidate. The fee must be paid in full before we can progress the stage 2 appeal.
- 16.3. The Head of Content and Assessment will notify the Chair of the Assessment Committee (AC), along with the Chair of the Accreditation and Standards Committee (ASC), of any request for a stage 2 appeal.
- 16.4. The Chair of the AC will identify and instruct an independent person with relevant skills to review the case and make a recommendation to the AC within 20 working days.
- 16.5. This independent person can be, but doesn't have to be, a member of the AC (including the Chair) or a member of the ASC (including the Chair). The person cannot be a member of IoD



staff, a Lead Examiner, an item writer, a member of the Diploma marking team or a consultant with a vested interest, whether real or perceived, in the outcome of the review.

- 16.6. The person carrying out the review will present their conclusions at the next available AC meeting and the AC will come to a final decision.
- 16.7. The decision will be communicated to the candidate by the Chair of the AC and a synopsis of the case will be made available to the ASC.
- 16.8. There is no further right of appeal.

## 17. Data retention

- 17.1. Whether successful or unsuccessful, full records of the appeal and any subsequent investigations will be kept for three years.

## 18. Supporting documents

- Appeal Application Form