

Appeals Policy (Summer 2020 – Calculated Results)

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Section 1 – Introduction

The Chartered Institute for Securities and Investment (CISI) aims to ensure that calculated results issued to candidates at schools and colleges in summer 2020 are fair, consistent and based on valid judgements.

The CISI's Appeals Policy (Summer 2020 – Calculated Results) is available to centres that wish to appeal a decision made by the CISI in relation to their candidates' calculated results in summer 2020 for the Financial Products, Markets & Services examination and hence the related grade for their Diploma in Finance, Risk & Investment or Certificate for Introduction to Securities & Investment.

Please note: This policy does not apply to any other examinations or assessments contributing to these qualifications.

Candidates who are not satisfied with their result also have the option of sitting the examination in a test centre. In all cases, this result will supersede the estimated grade provided, and will be incorporated into the grade for the full qualification in place of the estimated grade.

Please note: The current Financial Products, Markets & Services examination will be replaced by an updated version for all examinations taken from 1st September 2020. An updated .pdf version of the workbook can be obtained free of charge on booking the examination.

Section 2 – Appeal process

2.1 Grounds for appeal

Centres can appeal the calculated results issued to their candidates for the summer 2020 schools examinations.

The principal grounds for appeal are that:

- the procedure for the decision reached in relation to a candidate's results was not applied consistently or followed properly and fairly by the CISI.
- that the CISI has used incorrect information in arriving at a calculated result.
- that the CISI has communicated incorrect results information.

A candidate may appeal their result on the grounds that the calculated result and supporting information provided to the CISI was subject to bias or discrimination by the centre.

However, concerns that a candidate may have been subject to bias or discrimination should first be raised directly with the centre via its internal complaints and/or appeals processes. Evidence of bias, discrimination or other improper action by a centre may be presented to the CISI, who may investigate the matter as alleged malpractice.

The following do not constitute grounds for appeal:

- a challenge to the professional judgment of the teachers providing calculated grades.
- a challenge to the validity of the procedure used by the CISI in determining results.

2.2 How to submit an appeal

The term ‘appellant’ refers to the centre or candidate who wishes to appeal a CISI results decision.

To submit an appeal to the CISI the appellant must complete the Summer 2020 – Calculated Results Appeal Application and submit it by email to appeals@cisi.org.

A fee of £100.00 is payable at the appeal stage of the process. The appellant must contact the CISI by telephone (on 020 7645 0681) to provide credit or debit card details, and must quote the CISI customer number of the candidate on whose behalf the appeal is being made. The full fee will be refunded if the appeal is upheld.

The appeal application must include specific reasons why the appellant believes the grounds of appeal at Section 2.1 apply. Additional supporting documents may be submitted with the application and should be clearly referenced in the completed application form.

2.3 Appeal submission time frame

An appeal application must be submitted within the timescale outlined below. Any application submitted outside of the stated timeframe will not be considered.

Deadline for appeal application submission from centre	no later than 10 working days from the date of results issue
Deadline for appeal application submission from candidate based on bias or discrimination by the centre	no later than 10 working days from the date of the determination by the centre
CISI acknowledgement	5 working days from receipt of appeal application

2.4 Processing an appeal

Upon receipt of an appeal application the CISI will review the application to make sure the appeal meets the acceptable grounds outlined in Section 2.1

If the appeal application does not meet acceptable grounds it will be declined. The CISI will return the application and fee to the appellant with a letter outlining the reasons why the application was declined.

Where the CISI accepts an appeal application a panel, including at least one individual who is independent of the CISI and with no previous involvement in making the decision that is under appeal, will be convened. The panel will meet within four weeks of the application being received.

The panel will review the appeal application and supporting documents and/or records relating to the original decision made by the CISI. All of the information (including details provided by the appellant and records kept by the CISI) will be checked against the relevant procedures and policy documents to determine if the correct procedures have been applied consistently and followed properly and fairly and the data used and results issued checked for correctness.

2.5 Outcome of the appeal

The CISI will inform the appellant of the outcome of the appeal no later than ten working days after the appeal panel meeting.

There are two possible outcomes to the appeal:

- The appeal is upheld (in part or in full). The CISI's letter to the appellant will include details of any remedial action to be taken by the CISI, and the appellant's fee will be returned to them.
- The appeal is not upheld. Reasons for this decision will be clearly outlined in the CISI's letter to the appellant.

Where the outcome of an appeal leads the CISI to learn of a failure in its processes, the actions taken to resolve or mitigate the failure will also be applied to other candidate(s) who have been affected.