

Qualifications Appeals Policy

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Section 1 – Introduction

The Chartered Institute for Securities and Investment (CISI) aims to ensure that all of the following are fair, consistent and based on valid judgements:

- Examinations: Computer-based, Multiple-choice questions (MCQ) and Narrative (written)
- Moderation of internally marked assessments: CISI Extended Project
- Financial plan case study assessment results
- Outcomes of applications for reasonable adjustments
- Outcomes of applications for special consideration
- Decisions, penalties and sanctions resulting from a malpractice or maladministration investigation.

The CISI's Appeals Policy is available to candidates and centres who wish to appeal a decision made by the CISI in relation to any of the above.

1.1 Before making an appeal – CISI query process

Before submitting an appeal, a candidate must ensure that they have followed the CISI's Feedback and Complaints process for examinations, to submit queries. In order to submit a query, candidates must submit an online feedback form within five working days of their examination or assessment deadline or results. The CISI will acknowledge feedback within two working days of receipt.

The query process allows candidates or centres to question decisions made by the CISI about a range of issues, including:

- examination content for multiple-choice question (MCQ) or narrative (written) examinations
- examination delivery
- applications for reasonable adjustments (see the CISI Reasonable Adjustment Policy)
- applications for special consideration (see the CISI Special Consideration Policy)
- moderation of internally marked assessments (the CISI Extended Project)
- the financial plan case study assessment.

If a candidate or centre wishes to question the judgement or severity of a penalty or sanction imposed following a malpractice and/ or maladministration investigation they can proceed straight to an appeal. Candidates and centres should refer to Section 2 below for more information on how to appeal these decisions.

Section 2 – Appeal process

2.1 Grounds for appeal

Candidates or centres can appeal the outcome of a query, or the judgement and/or severity of a penalty or sanction imposed following a malpractice and/or maladministration investigation.

The purpose of the appeal is to establish if the CISI’s procedures are consistent and have been fairly and properly applied. Appeals do not re-investigate the circumstances of the original decision.

The principal grounds for appeal are that:

- the policy and procedure for the decision reached were not applied consistently or followed properly and fairly by the CISI.
- substantive additional information or evidence that was not known by the CISI or, could not have been brought to the attention of the CISI for valid reasons at the time the decision was made, has now become available.

The following do not constitute grounds for appeal:

- a challenge to the academic judgment of the examiner(s), assessors, or moderator(s), including requests for further reviews or marking of a candidate’s work.
- a challenge to the actual findings of a malpractice or maladministration investigation.

2.2 How to submit an appeal

The table below describes each type of appeal and indicates who can submit an appeal application.

Type of appeal		Who can appeal
Outcome of a Query investigation	Examination results: MCQ and Narrative	Candidate (or centre in the case of schools candidates)
	Moderation of internally marked assessments	Head of centre
	Reasonable adjustments	Candidate (or centre in the case of schools candidates)
	Financial plan case study assessment result	Candidate
	Special consideration	Candidate (or centre in the case of schools candidates)
Decisions, penalties or sanctions resulting from a malpractice investigation		The individual(s) responsible for the malpractice/maladministration arising: Candidate, centre or centre staff

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

To submit an appeal to the CISI the appellant must complete the appeal application and submit it by email to appeals@cisi.org.

Alternatively, the appeal application may be sent to the CISI Global Director of Learning at the following address:

Chartered Institute for Securities & Investment
 3rd Floor
 20 Fenchurch Street
 London
 EC3M 3BY.

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 their CISI customer number as a reference. 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	no later than 10 working days from notification of the CISI's decision
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. The same process is followed for every type of appeal.

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 other candidate(s) or centre(s) who have been affected.