

# Qualifications Feedback & Complaints Policy

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# Qualifications Feedback & Complaints Policy

## Section 1 - Introduction

### 1 Introduction

The Chartered Institute for Securities and Investment (CISI) welcomes feedback, positive or negative, on qualifications matters and is committed to addressing any issues that lead to customer dissatisfaction. The CISI’s Qualifications Feedback & Complaints Policy outlines the process that must be followed to feed back on or query CISI examination or qualification delivery, content, marking or results.

## Section 2 – Submitting a query

### 2.1 Online feedback form

Candidates may submit a query using the feedback form located on the CISI website ([Feedback and Complaints](#)), to query:

- any aspect of the delivery of their examination, at a test centre or by remote invigilation, or the examination environment
- the validity of examination content, in computer-based multiple-choice question (MCQ) or narrative examinations or regulatory assessments
- the marking or results of their narrative examination
- the marking or results of their financial plan case study assessment.

Queries submitted informally by telephone will normally be logged as a feedback by the CISI Customer Support Centre. Further details may be requested during the call, or via email, to support your feedback. An acknowledgement will be issued and the query will be investigated in line with this policy.

### 2.2 Query timescales

A query must be submitted within the timescale outlined below. Any queries received outside of this period will not normally be considered.

Deadline for query submission relating to computer-based multiple-choice question examinations, regulatory assessments and narrative examinations	<b>No later than 5 working days after the examination</b> (for feedback on delivery or content), or receipt of results (for feedback on examination/assessment results or marking)
Deadline for query submission relating to financial plan case study assessments	<b>No later than 10 working days</b> from receipt of results
CISI Acknowledgement	<b>2 working days</b> from receipt of query
Outcome of the investigation (computer-based multiple-choice examinations taken at test centres, regulatory assessments, and narrative examinations)	<b>10 working days</b> from receipt of query
Outcome of the investigation for examinations taken by remote invigilation	<b>15 working days</b> from receipt of query

The CISI seeks to ensure that feedback and complaints are investigated and a response provided to the candidate as set out above. In some cases, however, the investigation takes longer than this time frame, and, where this is the case, an email will be sent to the person submitting the feedback regarding the delay.

Please note: Candidates who feel that they have encountered a problem with the delivery or content of a narrative examination which has significantly affected their performance, may also submit a special consideration application in line with the CISI Special Consideration Policy. The application must be submitted within ten working days of their examination, in order to ensure that the CISI can investigate the situation and make a decision regarding special consideration before results are issued.

## **Section 3 - Examination venue and delivery**

### **3.1 Examination venue and delivery issues**

The CISI makes every effort to ensure timely delivery of examinations without environmental or technical disruptions. However, occasional administrative issues or faults with computer-based technology may delay or prevent testing for an individual on a particular day. Environmental factors such as external noise or extreme temperatures, though rare, can affect examination rooms. The CISI seeks to ensure that exam venue staff react as quickly as possible to minimise effects or make alternative arrangements if the examination delivery is disrupted.

#### **3.1.1 Examinations taken at CISI examination venues**

Candidates who feel that an administrative or technical issue (for example: a delay in the start of an examination, or computer equipment failure) or an environmental issue (for example external noise), has had, or is likely to have a negative impact on their examination experience should raise this with an invigilator immediately during the examination. Every effort will be made to resolve the issue at the time and the details of the problem encountered will be formally recorded by the invigilator and provided to the CISI.

Candidates who take their examinations at CISI exam venues are also asked to report the incident to the CISI, via the online feedback form, if they encounter an administrative, technical or environmental issue that they feel has disrupted their examination. This allows the CISI to investigate the complaint with the examination venue.

#### **3.1.2 Examinations taken by remote invigilation**

Candidates taking examinations by remote invigilation who feel that an administrative or technical issue (for example: a delay in the start of an examination or technical problems experienced during the examination), has had, or is likely to have a negative impact on their examination experience should raise this with an invigilator immediately during the examination. The invigilator will seek to resolve the issue at the time and will formally record the details of the problem encountered and provide these to the CISI.

Candidates are also asked to report the incident to the CISI, via the online feedback form, if they encounter an administrative or technical issue that they feel has disrupted their examination. This allows the CISI to investigate the complaint with the remote invigilation provider.

***Please note:*** It is the candidate's responsibility to ensure that they have a suitable working environment, internet connection and equipment that meets the specifications in the CISI Remote Exam web page before and during their examination. Problems relating to the candidate's remote working environment, computer equipment or local internet connection do not fall under the scope of this policy.

### **3.1.3 Examinations taken at schools and colleges**

Candidates who have experienced environmental or delivery issues during an examination at a school or college must, in the first instance, follow the school's or college's complaints procedure.

If the candidate is not satisfied with the school's or college's response, they can escalate their complaint to the CISI using the online feedback process.

## **3.2 Investigation**

Feedback to the CISI regarding examination venue and delivery issues will be investigated. The investigation process may involve consultation with exam venue and staff.

## **3.3 Outcome of the investigation**

If the CISI determines, as a result of the investigation, that action is required in order to resolve the query, the CISI will confirm the action to be taken and ensure that this is followed up.

### **3.3.1 Delivery of computer-based, multiple-choice question (MCQ) examinations or regulatory assessments**

Scores and grades for MCQ examinations or regulatory assessments delivered by computer-based testing are processed automatically, and provisional results delivered instantly based on a rigorous quality assured process. In the case of feedback relating to the examination venue, it is not the policy of the CISI to adjust grades after the assessment process is complete. Instead, where a candidate's feedback is substantiated, one complimentary exam sitting, or a refund of examination fees may be offered.

### **3.3.2 Delivery of narrative (written) examinations**

If a candidate's feedback is substantiated the CISI will ensure that appropriate special consideration is made during the results moderation process. The judgement and decision of the CISI is final. In the case of feedback relating to the examination venue, it is not the policy of the CISI to adjust grades after results are issued.

## **Section 4 – Examination content**

### **4.1 Quality assurance**

Questions included in CISI MCQ examinations and regulatory assessments are written by industry specialists and are subject to a series of editing and quality control checks before being approved by a panel of practitioners.

Narrative exam papers are written by subject specialists. The content of the examinations and the Chief Examiner's report are approved by a panel of industry practitioners prior to publication.

## 4.2 Investigation

Investigation of a query concerning the content of a MCQ or narrative examination or regulatory assessment may involve:

- a review of the question(s) and/or Chief Examiner's report for a narrative examination
- a review of the learning material (CISI workbook and/or related study materials)
- analysis of question performance (showing how other candidates have responded)
- an external review of the content by industry specialists.

## 4.3 Outcome of the investigation

If, as a result of the investigation, reasonable doubt arises as to the examination content, the CISI will amend its records and issue any appropriate certificate(s) to the candidate.

If the outcome of an investigation brings into question the accuracy of other results, the results of all candidates affected by the issue will be reviewed and, if necessary, amended, to ensure the integrity and consistency of the examination.

# Section 5 – Examination marking and results

## 5.1 Marking and results of computer-based multiple-choice question (MCQ) examinations and regulatory assessments

MCQ examinations and regulatory assessments delivered by computer-based testing are marked automatically, and provisional results delivered instantly based on a rigorous quality assured process. It is not, therefore, possible for an examination to be remarked, because this would return an identical result to the original marking.

Investigation of a query concerning the results of computer-based MCQ examinations and regulatory assessments may involve a review of the candidate's test, to confirm that the result is correct as it appears on the system.

**Please note:** Questions for all computer-based MCQ examinations and regulatory assessments must remain secure and cannot be circulated outside the examination situation. It is not possible for the CISI to provide any candidate or other third party with a copy of questions used in their test, or with an indication of which questions they answered correctly or incorrectly.

## 5.2 Marking and results of narrative examinations

### 5.2.1 Quality assurance

CISI narrative examinations are marked by examiners and are reviewed and agreed by the examination panel during the results moderation process, before results are issued.

## **5.2.2 Marking and examination results**

Investigation of a query concerning the marking of or results for narrative examinations may involve:

- administrative checks to ensure that all marks are counted and the totals are accurate
- a review of the learning material (CISI workbook and/or related study materials)
- analysis of question performance
- consultation with the examiner(s), examination panel and/or industry specialists.

## **5.3 Outcome of the investigation**

If, as a result of the investigation, reasonable doubt arises as to the marking or the candidate's result, this will be amended accordingly and the appropriate certificate(s) will be issued.

If the outcome of the investigation brings into question the accuracy of other results, the results of all candidates affected will be reviewed and, if necessary, amended, to ensure the integrity and consistency of the examination.

# **Section 6 – Financial plan case study assessment and results**

## **6.1 Quality Assurance**

The content of the case studies used for financial plan case study assessments is developed and reviewed by industry specialists who are also Certified Financial Planners.

Financial plans submitted for the financial plan case study assessment for the CISI Level 6 Diploma in Financial Planning are assessed by industry specialists who are also Certified Financial Planners, and feedback is provided to candidates who do not pass the assessment.

Financial plans submitted for the financial plan case study assessment for the CISI Level 7 Diploma in Advanced Financial Planning are assessed by industry specialists who are Certified Financial Planners, and are subject to a moderation process, before results are issued and feedback provided to candidates.

## **6.2 Marking and results**

Investigation of a query concerning the marking of or results for a financial plan case study assessment may involve:

- a review of the information and feedback provided to the candidate, the candidate's queries and previous correspondence relating to the assessment clarification process
- a review of the CISI case study and related study materials
- consultation with the assessor(s) and/or other industry specialists
- a review of the results determination process.

### **6.3 Outcome of the investigation**

If, as a result of the investigation, reasonable doubt arises as to the marking or the candidate's result, this will be amended accordingly and the appropriate certificate(s) will be issued.

If the outcome of the investigation brings into question the accuracy of other results, the results of all candidates affected will be reviewed and, if necessary, amended, to ensure the integrity and consistency of the examination.

## **Section 7 – Right to appeal**

The query process is thorough, and the investigation completes the CISI's response. Candidates who have exhausted the query process and are dissatisfied with the outcome have the right to appeal the CISI's decision providing the grounds for appeal can be met. Candidates who wish to appeal should refer to the [CISI Qualifications Appeals Policy](#) for further details.