

CISI CPD Policy: Queries and Appeals Process

This policy relates to feedback or queries about the CISI CPD scheme and CISI CPD audit decisions.

1.1 Rationale

Recording Continuing Professional Development (CPD) via the CISI CPD scheme provides the opportunity for members to demonstrate and evidence their ongoing commitment to their professional development to both their employer and the regulator. The CISI, on an annual basis, audits a minimum of up to 10% of all CPD records to ensure compliance with the CPD scheme requirements and to uphold standards. This policy sets out the procedure for feedback and queries on and appeals against any CISI audit decision.

1.2 CISI CPD Scheme requirements and outcomes

CPD is mandatory for all CISI members, excluding students, however, the CPD Scheme is available for free to all members to access and record their CPD.

Successful completion of the annual CPD requirements is evidenced by an online certificate available to members to show they have met the CPD requirements.

When a member is selected for audit, a CPD Audit certificate will be available to view within your CPD Scheme, for that audit year, upon successful completion of the audit.

Where an audit decision has determined that the CPD log of a member has not met CISI CPD requirements this will be communicated to the individual member in writing along with a full explanation detailing why it has been decided they have not met the requirements, and the member will be informed of the consequences of not meeting the CPD requirements.

1.3 CPD Scheme Feedback / Queries

Members wishing to submit feedback on the CPD scheme can do so by emailing: cpdscheme@cisi.org

Members wishing to query an audit decision have 10 working days to query the audit decision / provide further feedback/clarification from the point at which the audit decision was communicated to them.

All feedback/queries will be acknowledged within 48 hours and a full response sent by the CISI within 10 working days.

Such queries/feedback will be reviewed by the CPD Scheme Manager.

If following the review of the feedback, any reasonable doubt arises as to the validity of the CPD audit decision, decisions relating to other members which may also be affected are reviewed, and if necessary, amended.

If the CISI finds that the audit decision should be upheld, this will be communicated to the member along with the rationale for upholding the decision.

1.4 Formal Appeal

Members who have been through the feedback/query process but remain dissatisfied with the feedback/query outcome have the right of formal appeal on the following grounds only:

- The member is able to provide substantive additional information not available for submission at the time of the initial CPD log production or query process, which is pertinent to the appeal
- The member has evidence that due process has not been followed by the CISI in making the audit decisions
- If the member can demonstrate reasons why they were unable to produce or access a CPD log. (*Please note as detailed in the CISI membership regulations, it is the responsibility of all members to keep the CISI informed of current contact details. As such, failure to receive the audit request will NOT be accepted as valid grounds for an appeal.*)

Appeals will only be accepted:

If the appeal request is submitted within 10 working days of the CISI communicating the outcome from the query/feedback process.

- If the appeal is submitted by the member (unless there are evidenced medical reasons why the member cannot do so, and a third party has been asked to do so on their behalf).
- All appeals must be submitted in writing.

1.5 Process for submitting an appeal

The member must give formal notice of appeal, in writing to the Assistant Director, Operations, at the CISI by emailing cpdaudit@cisi.org.

The formal notice of appeal must be accompanied by a fee of £100 made payable to the Chartered Institute for Securities & Investment which will be reimbursed in the event that the appeal is upheld.

The Notice of Appeal will be acknowledged in writing within 10 working days of receipt. The acknowledgment will be sent by post to the member's address held on the CISI database. If an acknowledgment is not received within five working days, is advised for the member to contact the CISI CPD Audit Team to see if the appeal has been received at cpdaudit@cisi.org.

1.6 Appeal process and outcomes

If an appeal is granted on the grounds stated in 1.4 above. The appeals panel, which includes at least one individual who is independent of the CISI, will be convened. This appeal panel will meet within four weeks of receipt of the candidate's appeal submission. A letter explaining the outcome of the appeal and any appropriate action will be sent no later than 10 working days after the panel has convened. Where the outcome of an appeal has been upheld, the CISI will update the members record and audit decision accordingly.

The decision of the Appeal Panel is final.

Formal Appeal Process

