

# CISI Candidate Sanctions Policy

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## **Section 1 - Introduction**

### **1.1 Introduction**

As a recognised awarding organisation, the Chartered Institute for Securities and Investment (“CISI”) offers qualifications regulated by Ofqual (Office of Qualifications and Examinations Regulation) in England, Qualifications Wales and CCEA (Council for the Curriculum, Examinations and Assessment) in Northern Ireland.

The document sets out the sanctions to be applied in the event that a candidate fails to comply with the CISI’s Examination Regulations or other stated requirements.

### **1.2 The purposes of sanctions**

The CISI’s aims in imposing sanctions are to:

- protect the interests of candidates
- minimise the risk to the integrity of CISI examinations, both in the present and the future and
- maintain public confidence in the development, delivery and awarding of qualifications.

The CISI has a range of sanctions that can be imposed on a candidate depending on:

- the severity of the situation
- the level and history of the non-compliance, and
- the risk to the interests of candidates and/or to the integrity of the CISI’s qualifications.

### **1.3 Definition of candidate ‘non-compliance’**

Candidate non-compliance may refer to any breach of the CISI Examination Regulations or other inappropriate behaviour by candidates taking CISI qualifications.

An issue of non-compliance may be defined in a number of ways, including but not limited to:

- inappropriate behaviour or malpractice by a candidate undertaking a CISI examination or qualification
- any attempt to discredit or damage the CISI, its staff and/or its reputation as a business and as an awarding organisation.

## **Section 2 – Levels of sanctions**

### **2.1 Potential candidate non-compliance**

If the CISI becomes aware of a situation where a candidate is potentially non-compliant with its requirements a temporary sanction may be applied, pending investigation of the situation.

Temporary sanctions may include:

- i) temporary suspension of exam bookings for the candidate

- ii) temporary restriction of results or certificates for a single candidate or for all candidates for one or more qualifications.

If, following investigation, it is found that the candidate has acted in line with CISI requirements, any temporary sanctions will be lifted.

## 2.2 Levels of sanctions for candidates

If a candidate is found not to have acted in line with CISI requirements, the CISI may impose sanctions, according to the nature and/or extent of the non-compliance.

The CISI can levy up to four levels of sanction against candidates, ranging in severity from Level 1 (a written warning to the individual) to Level 4 (a critical sanction that requires the CISI to debar the individual from some or all of its qualifications, perhaps indefinitely). A decision on the penalty to be imposed will be based on the extent of non-compliance, the intent of the candidate or both.

Sanction	Extent of non-compliance	Intent of candidate
1. Warning	Non-compliance that does not threaten the integrity of one or more examinations or assessments	Non-compliance appears unintentional or due to lack of awareness
2. Special conditions	Non-compliance that risks the integrity of one or more examinations or assessments	Non-compliance appears due to negligence
3. Permanent disqualification from the unit	Repeated non-compliance	Non-compliance appears deliberate and planned
4. Candidate debarment and referral to the Professional Standards Department	(a) Adverse effect on multiple candidates; (b) Loss of the integrity of examinations and assessments	Multiple instances of deliberate and planned non-compliance

The CISI reserves the right to refer candidates to its Professional Standards Department.

## Section 3 – Appealing a sanction

If a candidate is dissatisfied with the CISI's decision to impose a sanction on them, they may formally appeal the decision, in line with the [CISI's Appeals Policy](#).