



CHARTERED INSTITUTE FOR
SECURITIES & INVESTMENT

Examination Regulations

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Examination Regulations

These regulations cover the requirements for candidates taking any CISI examination, including multiple-choice question (MCQ) examinations taken at test centres or via remote invigilation and narrative examinations.

Remote invigilation refers to examinations taken in any suitable location with invigilation being conducted remotely via live and recorded audio and video links over the internet.

Please note that narrative examinations are not currently available via remote invigilation.

Please also note that remote invigilation exams are not available for candidates under the age of 18.

1 Qualification Registration and Results

1.1 Qualification Registration Fee (QRF)

All candidates wishing to take a CISI examination must be registered with the CISI. A one-off Qualification Registration Fee (QRF) is payable when a candidate registers for their first qualification with the CISI. The Qualification Registration Fees for candidates in the UK, Channel Islands and Isle of Man, and for international candidates, are published in our [price list](#). The registration fee does not affect the Student Membership entitlement.

1.2 Student membership

Candidates receive free student membership for one year (or until they achieve a full qualification) upon booking their first examination with the CISI. For information regarding the benefits of student membership, please visit the [Student Membership](#) section of our website.

Candidates who do not wish to take advantage of free student membership must send an email confirming this to the Membership Department (studentmembership@cisi.org).

1.3 Results

Candidates must log into the personal area of the CISI website, MyCISI, and update their preferences for sharing their results and data ('MyCISI – My Account – Results Preferences').

Candidates may also access their results via MyCISI ('MyCISI – My Account – Account Activity – Qualifications & Assessments').

2 Identification

2.1 General identification requirements

Identification will be checked prior to the examination. The identification that candidates bring to their examination **must**:

- be valid: i.e., the date on the identification used must not have expired.
- be personal identification, which includes a photograph that resembles their current appearance, their name and their signature.

- bear the exact name in which their examination has been booked.

If the identification presented does not meet the requirements listed above, the candidate will **not** be permitted to sit the examination and will **not** be entitled to a refund of the examination fee.

In the event that a third party books an examination on their behalf, the candidate is responsible for ensuring that they pass on their correct personal details for the booking to be made.

Candidates must show their identification (other than the entry acknowledgement letter) to any examination official who requests it.

Candidates must also bring their booking confirmation to the test centre or, in the case of remote invigilation, have the 16-digit confirmation number found in their email confirmation.

Candidates who have recently changed their name must refer to the CISI Name Change Policy.

2.2 Acceptable forms of identification

The acceptable forms of identification (ID) required are different depending on whether you are taking your exam in a test centre or using remote invigilation.

For exams taken at **test centres**, one of the following forms of identification will be valid:

- (a) a **valid** passport of any country.
- (b) a **valid** full or provisional new style UK driving licence issued by the DVLA or DVLNI, or Guernsey, Isle of Man or Jersey driving licence with photograph. The photograph on the licence must resemble the candidate's current appearance.
- (c) a **valid** driving licence that was issued in the country in which the exam is being taken. If the driving licence does not have a photograph, the candidate must also provide additional photographic ID, which resembles their current appearance.
- (d) a **valid** European Union driving licence with photograph, where the exam is being taken in an EU country. The photograph on the licence must resemble the candidate's current appearance.
- (e) a signed declaration from a senior manager or the HR Department at the candidate's employer. It must be supplied on official stationery accompanied by the candidate's photograph. The declaration must certify that the candidate is an employee of the firm and must clearly state the name, position and contact details of the person signing the declaration. We recommend that the person certifying the candidate's identification attaches their business card to the letter. In addition, the employer must endorse and sign the reverse side of the photograph. **The same person needs to sign the letter and photograph.** The endorsement must read:

"I certify that this is a true likeness of [NAME]."

If this document does not bear the candidate's signature, they will also be required to produce a valid credit or debit card that bears their signature.

- (f) CISI Identity Check Form. **This is only acceptable if no other identification is available.** The form must be signed by a doctor at the candidate's doctor's surgery. For details, contact Customer Support (customersupport@cisi.org).
- (g) a **valid** National Identity card from an EU country.
- (h) for examinations taken outside the EU, a **valid** National Identity card is acceptable when issued for the country where the examination is being taken, e.g. a UAE National Identity card is acceptable in the UAE only. ***If this document does not bear the candidate's signature, they will also be required to produce a valid credit or debit card that bears their signature.***
- (i) **valid** UK Residence Documentation.

For exams taken using **remote invigilation** one of the following forms of identification will be valid:

- (a) a **valid** passport of any country.
- (b) a **valid** full national driving licence with photograph and signature. The information on the licence must be provided in English and the photograph must resemble the candidate's current appearance.
- (c) a **valid** National Identity card. The information on the identity card must be provided in English and the photograph must resemble the candidate's current appearance.

In all cases, the ID must be original. Photocopies are not acceptable.

2.3 Forms of identification that are not acceptable

International driving licences, rail cards, capital cards, photo cards, student photo cards or photo credit cards are not acceptable forms of ID.

Candidates should call Customer Support on +44 20 7645 0777 before their examination date if they are not sure whether their ID will be accepted.

3 Permitted Examination Environment and Materials

3.1 Candidates taking multiple-choice question (MCQ) examinations

No reference material, books, revision notes, or digital or programmable equipment, including watches, are allowed into the examination room. Candidates must leave the following items outside the room (in the case of remote invigilated exams) or in a locker or other area specified by the invigilator (in the case of test centres): briefcases, bags, books (including dictionaries), revision notes, mobile phones, and other personal belongings (with the exception of stationery required for the examination).

In the case of remote invigilation:

- a) scratch paper is not permitted.

- b) candidates must comply with any instructions from the invigilator to move or cover items within the room.
- c) candidates must have a mirror available to allow the invigilator to inspect the area around their camera and monitor.
- d) no other person or animal may be present or enter the exam room at any point during the exam. If this occurs, your exam will be terminated and the result invalidated.

The CISI accepts no responsibility for the loss of any valuables.

Candidates needing a calculator must use the onscreen calculator for all CISI MCQ examinations in all languages in the UK and internationally, with the exception of the **Financial Planning & Advice** examination (see Section 3.3 below). A sample onscreen calculator guide is available in MyCISI (by clicking 'My Study' and 'On the day' on the left of the screen). It is strongly recommended that candidates log in to MyCISI in advance of their examination, to access and read the onscreen calculator guide.

3.2 Candidates taking narrative examinations

Candidates must leave the following in a locker or other area specified by the invigilator: briefcases, bags, books (including dictionaries), revision notes, mobile phones, and other personal belongings. No reference material, books, revision notes or digital or programmable equipment, including watches, are allowed into the examination room. The CISI accepts no responsibility for the loss of any valuables.

Please note: All narrative exam candidates **must** bring with them and use a black pen. The use of a ruler and highlighter is optional.

All candidates, with the exception of those sitting the **Advanced Financial Planning** examination (see Section 3.3 below), must bring their own **non-programmable** Casio, Canon, or Sharp scientific calculator to their exam. Calculators that do not meet these requirements will not be permitted for narrative examinations. **Calculators will not be provided at the venues.**

The Calculator Guide is available in MyCISI (by clicking 'My Study' and 'On the day' on the left of the screen). It is strongly recommended that candidates log in to MyCISI in advance of their examination, to access and read the Calculator Guide for narrative examinations.

Please note: The CISI reserves the right to check calculators and other equipment, such as watches, which candidates bring into narrative examinations. Candidates who bring in any equipment, including a calculator, that does not meet CISI requirements will not be allowed to use the equipment in their exam.

Please note: The two narrative examinations in the **ICAEW/CISI Diploma in Corporate Finance** are open book examinations. Candidates for these examinations are permitted to bring texts, articles and notes of any kind into the examination. It is the candidate's responsibility to ensure that they have any texts or notes that they need, and any material brought into the examination must be in hard copy only.

3.3 Candidates taking financial planning examinations

Candidates sitting the **Financial Planning & Advice** (MCQ) or **Advanced Financial Planning** (narrative) examination at test centres in the UK will be provided with a non-programmable, financial calculator (Hewlett Packard 10BII Financial Calculator).

Candidates are strongly advised to ensure that they are comfortable with the functionality of this calculator prior to the examination. Alternatively, candidates sitting either of these examinations may bring their own HP10BII calculator or either of the following calculators:

- Texas Instruments Advanced Financial Calculator BAII Plus
- Casio FC100V Financial Calculator.

Candidates sitting **Financial Planning & Advice** or **Advanced Financial Planning** at international exam venues or using remote invigilation must bring their own calculator, which must be either the Hewlett Packard 10BII Financial Calculator or one of the specified calculators above.

Please note: The CISI reserves the right to check or reset calculators brought in or used by candidates taking any CISI examination. Candidates whose calculator does not meet CISI requirements will not be allowed to use the calculator in their exam.

4 Entering and Leaving Examinations

4.1 Multiple-choice question (MCQ) examinations

Candidates are required to arrive at the examination test centre at least 30 minutes before the start time of their examination. Candidates arriving late for the examination may not be allowed into the examination room.

Other candidates will be arriving and leaving the test centre examination room during the exam period, and candidates are advised to use the available noise reduction equipment.

Candidates using remote invigilation must commence the registration and checking process at least 15 minutes before the time of their exam. Candidates must have completed the system check in advance of commencing registration to ensure that the machine they are using for the examination meets the testing machine requirements.

All instructions and interactions with the readiness agent and invigilators for remote invigilation exams will be in English. Failure to respond to any question or comply with any instruction will result in your examination being terminated.

Candidates wishing to terminate their examination early and leave the examination room may do so. Those attending a test centre must show consideration to those candidates who are still working. Those undertaking remote invigilation must inform the invigilator that they intend to terminate the exam and tell the invigilator why they are doing so.

For candidates using remote invigilation, if the internet link fails during the examination, the exam will be terminated, and the result so far recorded. It will not be possible to restart the exam and, if unsuccessful, the candidate will have to rebook and pay for a re-sit.

4.2 Narrative examinations

Candidates are required to arrive at the examination venue at least 30 minutes before the start time of their examination. Candidates may not be allowed into the examination room if they arrive less than 15 minutes before the scheduled examination start time.

Candidates wishing to terminate their examination and leave the examination room may do so after the first 30 minutes have elapsed and before the last 15 minutes of the exam. They must raise their hand to advise the invigilator that they wish to end their exam and must show consideration to those candidates who are still working when leaving the room.

4.3 Taking breaks

Candidates attending test centre venues may leave the examination room in accordance with regulation 8.

Those using remote invigilation may not leave the camera view or the room during their examination for any reason. If they do so the exam will be terminated and no result recorded.

5 **Inappropriate behaviour or malpractice**

Candidates should be aware of the consequences of any inappropriate behaviour or malpractice, which they display before, during or after the examination. Where it is established that a candidate has behaved inappropriately, the CISI reserves the right to contact the candidate's firm and the regulator may be notified.

5.1 Examples of inappropriate behaviour or malpractice

Inappropriate candidate behaviour or malpractice includes, but is not limited to:

- talking to any person other than the invigilator at any point during the examination
- copying from, or in any way colluding with any other person at any point during the examination
- abusive, disruptive or aggressive behaviour
- cheating or attempting to cheat in the examination
- possessing unauthorised material (mobile phones, books, notes, documents etc.) or having it on their person in the examination room
- removing unauthorised material from the examination room (question papers, answer books, scrap paper etc.)
- copying by whatever means all or part of the examination content
- having someone take the examination on their behalf (which may lead to both parties being reported)
- impersonating another candidate for the examination
- failing to disclose that they are a trainer
- failing to act in accordance with the examination invigilator's instructions
- failing to adhere to the CISI Examination Regulations
- altering or creating result documents, including certificates
- acting in any way, intentionally or otherwise, that compromises or threatens to compromise the integrity of any examination
- refusing to comply with a reasonable request to empty pockets, pull back sleeves or hair, or remove items from the test environment
- for MCQ examinations only, making notes during the tutorial
- disclosing any part of the examination content to any person or organisation (including trainers and training companies) verbally, in writing or by electronic or other means of communication, unless expressly permitted to do so by an employee of the CISI.

5.2 Monitoring, investigation and consequences of inappropriate behaviour or malpractice

Exams are continuously monitored by video and audio recording. Candidates must acknowledge that they have no right to privacy at their current location during exam delivery and waive any and all claims asserting a right to privacy. Candidates who do not wish to be recorded (either by video or audio), will not be able to sit our exams.

Examination invigilators carry out careful monitoring and observation throughout each examination. Candidate behaviour that is considered to be suspect or inappropriate may be recorded and logged during the exam for subsequent investigation.

The CISI reserves the right, and the examinations invigilator has the authority, to terminate the examination of any candidate suspected on reasonable grounds of inappropriate behaviour or malpractice, and, for exams taken at centres, to have the candidate escorted from the examination room before the examination has finished. In these circumstances, the candidate's examination sitting will be void. No results will be issued, and no examination refund or transfer will be provided.

Where a candidate is suspected of inappropriate behaviour or malpractice, the CISI will investigate the suspected malpractice in line with its Candidate Malpractice Policy.

Where it is established that a candidate has behaved inappropriately or has been involved in malpractice, the CISI may impose a sanction on the candidate in line with its published Candidate Sanctions Policy. The CISI also reserves the right to contact the candidate's employer and/or the financial services and qualifications regulator(s), if appropriate, upon conclusion of its investigation. The CISI may also refer the candidate to its Professional Standards Department, and/or decline any application by the candidate for membership.

6 **Liability**

The CISI's liability is limited to a refund of the entry fee paid for the exam concerned. Nothing in these conditions excludes or limits the liability of the CISI:

- (a) for death or personal injury caused by the negligence of the CISI.
- (b) for any matter for which it would be illegal or unlawful for the CISI to exclude or attempt to exclude its liability.

7 **Compliance with the Examination Regulations**

In booking any CISI examination, candidates are agreeing to abide by these regulations. In the event of any failure by a candidate to comply with these regulations, the CISI may cancel the candidate's entry for the examination, terminate the candidate's participation in the examination and escort the candidate from the examination, or decline to issue the candidate with a result for the examination, and may notify the candidate's employer and/or regulator. In any such case, neither the CISI nor the examinations invigilator nor his/her staff shall be liable for any loss (financial or otherwise) accruing to the candidate and/or their firm.

8 Assistance prior to and during examinations

Candidates taking examinations at Further Education colleges or schools and who require wheelchair access must contact the college or school where they intend to take their examination to make the arrangements. All other candidates taking exams at a test centre who require wheelchair access must contact Customer Support (customersupport@cisi.org) at least one week in advance of the exam date to make the necessary arrangements.

Candidates who require assistance during an examination at a test centre must attract the attention of one of the invigilators by raising their hand, in a manner that does not disturb other candidates. No candidate may leave the examination room without the permission of one of the invigilators, who may require the candidate to be accompanied while they are out of the examination room.

Candidates using remote invigilation and who require assistance during an examination can use the LIVE PROCTOR feature on the right of the screen, to speak with or send a message to the Invigilator to ask for help. **Leaving the camera view while the exam is in progress is strictly prohibited and will result in the exam being terminated and no result being recorded.**

9 Refusal of entry

The CISI expressly reserves the right to refuse entry to an examination to any candidate who has previously passed the same examination, or who has sat the examination on several occasions. With reference to the latter, please refer to the [Multiple Sittings Policy](#) on the CISI website.

Candidates under the age of 18 years are not permitted to sit their exam using remote invigilation.

Candidates who are trainers/tutors are subject to separate criteria, which are set out in the Trainers Sitting CISI Exams Policy. Further information can be obtained by emailing customersupport@cisi.org.

10 Reasonable adjustments and special consideration

10.1 Reasonable adjustments

The CISI policy is to ensure that there are no unnecessary barriers to assessment that prevent candidates from effectively demonstrating their competence. At the same time, the CISI must ensure that candidates requiring reasonable adjustments are not given any unfair advantages.

Candidates requiring a reasonable adjustment for a CISI examination must follow the CISI's published [Reasonable Adjustment Policy](#) and submit an application, together with supporting evidence, in line with the requirements of the policy. Candidates for whom reasonable adjustments are made will receive no additional consideration as a result of that reasonable adjustment during the assessment of their result.

10.2 Special consideration

Candidates who wish to request special consideration as a result of circumstances arising at the time of their examination must follow the CISI's published [Special Consideration Policy](#) and submit an application, together with relevant supporting evidence, in line with the requirements of the policy.

11 Feedback and complaints

Any candidate wishing to provide feedback (positive or negative) or to complain about the content or delivery of their examination, CISI learning resources, or about any aspect of the CISI's service, should complete a [Candidate Feedback Form](#), which is available on the CISI website.

The feedback system allows candidates to submit feedback and complaints about issues with the examination content and marking, examination delivery, venue or equipment, or study materials. Further information about the feedback and complaints process is available in the CISI Qualifications Feedback & Complaints Policy.

Any candidate who feels that they have been affected by an issue during or on the day of their examination must notify the invigilator at the centre, so that they can ensure that a record is made of the issue that they have encountered. They must also complete a [Candidate Feedback Form](#) as soon as possible after the exam, and in any case within 48 hours of the examination, so that the issue can be investigated with the exam venue as quickly as possible.

12 Appeals

The CISI Qualifications Appeals Policy is available on the [Exam Policies & Procedures](#) page of the CISI website. This provides detail of the areas about which a candidate may make an appeal, the grounds for appeal, and the appeals process.

13 Force Majeure

The CISI shall not be liable to the candidate or be deemed to be in breach of its agreement to provide examinations and/or results to candidates by reason of any delay in performing, or any failure to perform, any of the CISI's obligations, if the delay or failure is due to any cause beyond the CISI's reasonable control. Causes beyond the CISI's reasonable control shall include:

- the non-availability (including due to sickness, injury or death) of any person employed or engaged by the CISI to deliver the services who cannot by the exercise of reasonable endeavours be replaced or substituted;
- events or circumstances that cause any premises where the examinations are to be delivered to be unavailable, if suitable alternative premises cannot by the exercise of reasonable endeavours be found;
- an examination being terminated prior to its scheduled close (e.g. due to a bomb threat, security evacuation, fire evacuation);
- failure of power, internet connection or the candidate's system in the case of remote invigilation examinations.

In such circumstances the CISI may extend the time for performance of its obligations so affected and if the cause continues for longer than 30 days the CISI may cancel the examination without liability to the candidate.

14 Miscellaneous

The laws of England shall govern these regulations and their interpretation. Subject to regulation 10, the CISI and the candidate submit to the non-exclusive jurisdiction of the English Courts.

If any provision of these regulations shall be illegal, invalid or unenforceable in any respect under any law or regulation, such provision shall be severed from and shall not affect or impair the validity, legality and enforceability of the remaining provisions.

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