

## **SII Candidate Policy 6: Multiple Sittings**

This policy relates to restrictions on candidates attempting to take a test more than three times.

### **6.1 Rationale**

The SII is committed to ensuring that candidates have the best possible opportunity to pass their examinations. This includes encouraging candidates to prepare appropriately and sufficiently for their examination. The SII reserves the right to protect the integrity of their examinations from inappropriate multiple exposure of live questions to any one individual.

Whilst the Institute allows multiple examination attempts for any given subject, it will enforce a 'rest period' to allow the candidate time for further study and examination preparation, in the event of multiple failures over a short time span.

### **6.2 Rest period after three attempts**

From the date when a candidate sits their first examination in a particular subject; in the event that they are unsuccessful, they will initially be allowed to retake the same subject a further two times. If the candidate is still unsuccessful at the third attempt, the SII will enforce a six-week rest period from the date of their first examination before allowing the candidate to re-sit the examination.

### **6.3 Employer-endorsed waiver**

Under exceptional circumstances, the SII will consider allowing an extra sitting for a specific candidate. The designated contact for SII bookings within a candidate's firm must complete a Waiver Request Form and send it to the Operations Manager with details of why the waiver is being requested. If a candidate has been granted a waiver, no further waivers will be considered for the same subject within a 12 month period from the date of their first examination.

### **6.4 Restrictions in a 12 month period**

After the enforced six week rest period, a candidate will be allowed up to three further attempts to pass the examination within the twelve months from when they first sat the examination. Two further attempts will be allowed after the rest period if a waiver has been granted. A maximum of six attempts will be allowed in any 12 month period from the date of the first examination attempt in that subject.

### **6.5 Trainers and candidates who have passed**

SII reserves the right to refuse entry to an examination to any candidate who has previously passed the same examination. Candidates who are trainers are subject to SII Trainers Sitting Exams (Section 7 of this document).



# SECURITIES & INVESTMENT

## WAIVER REQUEST FORM CANDIDATE POLICY 6: MULTIPLE SITTINGS

Please read the attached the SII Candidate policy 6: multiple sittings before completing this form.

This form **MUST** be completed by the candidate's line manager, training manager or Human Resources. Once completed, please send it to the Operations Manager at [susan.steward@sii.org.uk](mailto:susan.steward@sii.org.uk)

On receipt, the waiver request will be considered and, if granted, will be processed within seven days of receipt.

Your name:
Organisation:
Job title:
Telephone number:
E-mail address:
Candidate name:
Candidate number:
Candidate date of Birth:
Exam to be taken:
If waiver granted, preferred date of next sitting:
<b><i>Please provide details of why the waiver is being requested</i></b>
<b><i>Please provide details of how your organisation is providing support for the candidate (e.g. training course, one to one sessions etc.)</i></b>



# SECURITIES & INVESTMENT INSTITUTE

Signature:
Name:

**If the waiver is granted and the candidate is unsuccessful in their fourth exam sitting, a six week rest period will be enforced. After this break, the candidate will be allowed up to two further attempts to pass the examination within twelve months from when they first sat the examination.**

**After this, no further waivers will be considered for this candidate.**

**The section below is to be completed by SII**

Has the waiver been granted?

Yes

No

Comments

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Signature..... Date.....