



CIRO · OCRI

Canadian Investment
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CIRO Proficiency Program

1015 – Complaints Policy

Supported by



FitchLearning



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Purpose of Policy

The purpose of this document is to explain the basis upon which Candidates can submit a complaint related to a CIRO exam.

Scope of Policy

The policy applies to all Candidates who are enrolled, or plan to enrol in CIRO Exams.

Definitions and Terminology

- **CIRO Exam:** any exam offered by CIRO, delivered and supported by Fitch Learning.
- **Candidate:** an individual who is taking, or intends to take, a CIRO Exam.
- **Complaint:** can be related to exam content, exam delivery services and other issues the Candidate feels impacted the outcome or experience of the exam attempt.
- **Exam Attempt:** an Exam Attempt is recorded where a Candidate takes an individual CIRO Exam and receives a pass, fail or absent result.
- **Exam Enrolment:** purchase of the right to schedule up to three attempts of a CIRO Exam within the Enrolment Period.
- **Enrolment Period:** the period from the date of Exam Enrolment up to a maximum of 12 months, during which the Candidate may complete up to three Exam Attempts for a specific exam.
- **Enrolment Fee:** a fee for the first Exam Attempt within an Enrolment Period.
- **Retake Fee:** a fee for the second or third Exam Attempt within an Enrolment Period.
- **Cooling-off Period:** the six-month period that occurs after three failed (or absent) Exam Attempts within six months. During this time, Exam Enrolment, scheduling and further Exam Attempts are not permitted.
- **Exemption:** a Candidate may be excused from the requirements of the policy due to Exceptional Circumstances.
- **Exceptional Circumstances:** the specific conditions under which an Exemption may be considered.

Policy Statement

Candidates can submit complaints about exam-related services or delivery, and the exam itself. A Candidate may request an investigation into their complaint.

Policy Requirements

Candidates and Approved Persons can raise a complaint via the Fitch Learning Support team at <https://fitchlearning-na.zendesk.com/hc/en-ca> within five business days of completing their CIRO Exam Attempt. Complaints received after this time will be acknowledged but not considered for further action.

Where the Candidate believes an incident may have impacted the result of a CIRO Exam Attempt, they may highlight this by choosing the appropriate category of complaint.

Such incidents may include established procedures for the administration or delivery of the exam not being followed, or technical, physical or environmental issues outside of the Candidate's control.



Where the Candidate chooses a category of complaint that requires an investigation, a Fitch Learning representative will be assigned to provide an initial review. Fitch Learning may request additional information from the Candidate or other parties involved as required, and may escalate complaints to CIRO for review and decision as needed.

Where there is evidence that the incident may have affected the Candidate's exam result or the fairness of the exam, Fitch Learning may revoke the result and allow the Candidate to reattempt the exam without an additional fee or a Cooling-off Period.

Candidates may comment on CIRO Exam content. When a Candidate provides feedback that a question is inaccurate or inappropriate, Fitch Learning will review the question's validity and, where required, with CIRO, consider the impact of the review on the Candidate's results and, if needed, take appropriate compensating action.

Roles and Responsibilities

Fitch Learning are responsible for initially reviewing complaints and requesting any additional information or evidence required to respond appropriately to the complaint, as well as escalating to CIRO as required.

CIRO are responsible for decisions on escalated complaints.



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