



# STUDENT HANDBOOK 2025

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Note: The Institute reserves the right to change its policies as contained in this handbook at any time.

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## SECTION 1: BACKGROUND

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### 1.1 The CGISA international qualifying scheme – a life-long career support package

The CGISA course of study is designed to equip students to enter the profession as a Chartered Secretary or Chartered Governance Professional. It is a tough and rigorous course, in keeping with the intense demands made on anyone practising in or occupying a position in the governance field, such as a Company Secretary, Governance Professional, Chief Executive Officer, Director, Risk Officer, Legal Advisor, Compliance Manager, Accounting Officer, Administrator or Manager.

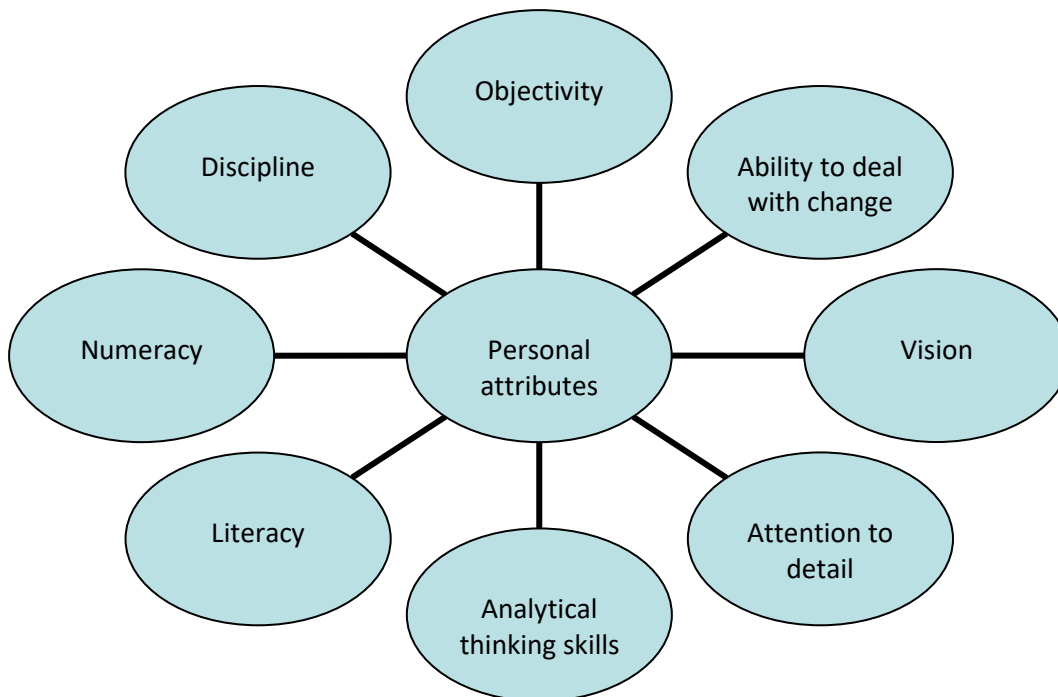
Embarking on a career in the governance field involves a life-long career relationship between the Institute and its students, who progress to become members of CGISA. (Please see section on membership, Section 8, of this handbook).

Chartered Secretaries and Chartered Governance Professionals (ACG and FCG members) are entitled to practise as company secretaries or governance professionals and may also practise as accounting officers, **provided they have the prescribed mix of accounting, law and tax subjects** in their qualifying scheme. (Please note CGISA no longer offers Taxation and Financial Accounting III as required subjects for completion of the CGISA qualification. Students wanting to become Accounting Officers or Tax Practitioners may write Taxation and Financial Accounting III at another institution and we will provide the required exemption. It will also be recorded on your academic record).

### 1.2 Personal Checklist

The Chartered Secretary or Chartered Governance Professional is a high-level professional administrator, alert to change, strong on people skills and thoroughly disciplined. In addition, they have the ability to communicate clearly with a range of senior officials and other stakeholders – including board directors, customers, bankers, brokers, shareholders, taxation and state officials. The effective administrator will drive a team to attend to matters affecting accounting, purchasing, manufacturing, planning, finance, risk management, compliance, marketing, labour relations, and human resources.

Key personal attributes that a Chartered Secretary or Chartered Governance Professional needs for success are summed up in the following diagram:



### 1.3 Career Prospects

Qualified and experienced Chartered Secretaries and Chartered Governance Professionals are in very short supply. They are in demand for their range of skills, knowledge, work experience and values (especially integrity, professional discipline and the willingness to maintain knowledge currency through continuing professional development – CPD).

Chartered Secretaries and Chartered Governance Professionals command excellent salaries, but the key to getting these top jobs is appropriate work experience and the maintenance of records of personal integrity and ability through membership of the Institute.

Membership is NOT automatic and is conferred on the basis of academic accomplishment and work experience, as well as proven personal and professional integrity.

Membership is vital as it provides the proof of integrity and personal good standing that the modern employer demands – a portfolio of work evidence, supported by a record of unbroken membership, provides a job applicant with the edge that is needed in any competitive environment. Membership provides a record of accountability, which is priceless if they are working in the modern governance environment. No other degree or academic qualification can provide the same accountability function as a professional relationship with a locally- and internationally-accredited, prestigious, and professional body such as Chartered Governance Institute of Southern Africa.

### 1.4 Accreditation of the Institute

The Institute is registered with the South African Qualifications Authority as a professional body.

This means that the qualification awarded to qualifying learners is given an NQF rating and that the certificate that is issued on the completion of each programme is endorsed by FASSET and the Quality Council on Trades and Occupations (QCTO).

This provides the qualification with greater recognition in the marketplace than if it was issued by the Institute alone.

CGISA is also accredited by The Chartered Governance Institute: <http://www.cgiglobal.org/>

## **1.5 The International Qualifications**

### **Qualifying Programme for Chartered Secretaries (QPCS)**

Chartered Secretaries are senior professionals trained in law, finance, governance and strategy. They principally work as company secretaries or in other similar roles. They are obliged to uphold the highest standards of governance practice and ethical behaviour. Highly valued by employers for their professional training, Chartered Secretaries are the primary source of advice on governance to their board. Broadly, this can span everything from legal and accounting advice, to the development of strategy and corporate planning.

### **Qualifying Programme for Governance Professionals (QPGP)**

Qualified Chartered Governance Professionals have a deep understanding of governance usually across the listed company, public and/or not-for-profit sectors. They also have a deep understanding of risk management and how to apply it across their organisation. Chartered Governance Professionals often act as their organisation's company secretary but also often have roles as risk managers, compliance managers or non-executive directors. They are obliged to uphold the highest standards of governance practice and ethical behaviour.

## SECTION 2: PROGRAMME STRUCTURE

### 2.1 Curriculum Structure

Please note that detailed syllabuses for each programme can be downloaded from the student page of the Institute's web site: [www.chartgov.co.za](http://www.chartgov.co.za).

Governance Practitioner	NQF level
Communication	5
Introduction to Financial Accounting	5
Introduction to Law	5
Introduction to Corporate Governance	5
Managing Information Systems	6
Principles of Business Law	6
Advanced Financial Accounting	6
Principles of Corporate Governance	6
Management Principles	7
Advanced Business Law	7
Advanced Corporate Governance	7

Company Secretary (NQF8)	Governance Professional (NQF8)
Applied Governance	Applied Governance
Finance for Decision-making	Finance for Decision-making
Corporate Law	Corporate Law
Risk and Compliance	Risk and Compliance
Company Secretarial Practice	Enterprise Risk Management
Development of Strategy	Public Sector Governance

Students are always advised to consult the latest Student Handbook. Students must keep themselves apprised of the latest rules and regulations as stated in the Student Handbook, on the website and on the annual registration forms.

Those that have already earned the qualification are not required to rewrite any examinations and will retain the qualifications that they already have.

If you have started studying towards the qualification, please contact [exams@chartgov.co.za](mailto:exams@chartgov.co.za) to enquire about transitional arrangements that will convert your studies to the new curriculum.

### 2.2 Restrictions

Board level: All previous levels must be passed (or exemptions awarded) before learners can enter the Board examinations. This means that NO subjects can be carried from the Governance Practitioner qualification into the Board Level. **No exceptions will be made.**

### **2.3 Prerequisites**

The curriculum is structured in such a way that subjects must be passed sequentially in terms of their NQF Levels. For example, you must pass Introduction to Law before being allowed to register for Principles of Business Law.

### **2.4 Prior studies**

NB: Students need to complete the qualification as it currently stands. All previous concessions such as “NR” (Not Required) and “CR” (Credit) have fallen away and student records have been amended accordingly.



## SECTION 3: REGULATIONS

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Candidates are responsible for their own registration, requesting of documents and any enquiries – no-one else may act on the candidate’s behalf, e.g. a skills development provider, relative, friend, etc.

The applicant bears the obligation of ensuring that they are familiar with the rules governing their admission and registration. Ignorance of these rules and related policies will not justify any transgressions, whether intentional or negligent.

- Registration is the act/acts of cumulative administrative processes, the completion of which results in the admission of an applicant to the Institute.
- Admission is the act of acceptance by the Institute of the applicant as a student subject to, and in terms of, this policy.

### 3.1 Entry Requirements

#### 3.1.1 New Applicants

##### 3.1.1.1 Registration process

Applicants apply to register to the CGISA on the relevant form found on the website. The form must be completed in full and returned via email to [students@chartgov.co.za](mailto:students@chartgov.co.za) with all the required accompanying documents.

- Once the applicant has completed the process of registration, the applicant will receive an automatic system-generated confirmation of registration email notification from the Institute.
- This confirmatory notification will include the student’s name, identity number, student number, and the qualification for which they are intending to study towards (i.e. NQF7: Governance Practitioner OR NQF8: Governance Professional OR NQF8: Company Secretary).
- This confirmatory notification is not to be construed as final admission to the Institute. Admission is a discretionary process having regard to, and in terms of the policy of the Institute from time to time.

##### 3.1.1.2 New applicant admission process

- Note: **admission is not automatic**, and applicants should not assume that they have been admitted until they have received the Institute’s formal acceptance letter.
- The Institute reserves the right to consider any other additional considerations as set out under **Additional Considerations** before exercising its discretion to admit the applicant.

An applicant’s registration is only regarded as final once:

- they have completed the registration process in full;
- they have received correspondence from the Student and Examinations Manager confirming their admission as a student ; and
- they have paid all fees owing.

### ADDITIONAL CONSIDERATIONS

Persons who meet the minimum academic requirements are not guaranteed admission as students, and admission is at the discretion of the Student and Examinations Manager.

The applicant must disclose, and the Student and Examinations Manager shall further consider:

- The applicant’s criminal record, if any;
- Civil judgments against or involving the applicant;

- Pending litigation or investigations of any kind into or involving the applicant's professional conduct, including those in which the applicant is participating as a third party; and
- Any other information which may reasonably affect the integrity of the professional standards required of a Company Secretary, Governance Professional or Governance Practitioner, including but not limited to allegations of deceit, deception or dishonesty.

The applicant's admission is regarded as final once:

- they have received correspondence signed by the Student and Examinations Manager confirming their admission;
- they have paid all fees owing; and
- they have been registered as students of CGISA.

First-time student registrations should be accompanied by all the relevant documentation, e.g. copy of ID document and entry requirements such as school certificates or other appropriate documentation. Registration fees are payable simultaneously. If such fees are not paid, the student will be liable for outstanding fees.

**Please note:**

If no documentation is supplied with the enrolment form, the student's examination enrolment will be blocked until such time as the correct/sufficient documentation is provided.

Once registration has been accepted, students will be issued with a student number and should register themselves online with their e-mail address and a password enabling them access to the online system whereby they can enroll for the examination sitting of their choice.

**3.1.2 Re-registrations**

A renewal of registration in subsequent years after the initial admission as a student will be considered a renewal of admission as a student. Please see the paragraph on **Additional Considerations** above.

At the time of applying for the renewal of their registration, the application shall be subject to the rules and policies in force at the time of applying for such renewal.

Re-registrations do not require the submission of the documentation required for first time students. Once the student is registered on the database, the Institute will send reminders to the students regarding registration fees, and the student will thereafter be responsible for paying such fees directly to the Institute. Re-registration fees may not be paid to skills development providers.

For repeat registrations, online registration can be done – proof of payment (via direct deposit or Internet transfer into the Institute bank account) must accompany the registration.

If the registration and examination fees are not paid before the cut-off date, students will remain liable for any outstanding fees.

If a student cancels his/her examination before closing date a 10% cancellation fee will be charged per module.

**YOU MAY NOT DE-REGISTER FROM YOUR EXAMINATION. PLEASE ENSURE THAT YOU EITHER CANCEL (BY 31 MARCH FOR THE MAY EXAMINATIONS AND 31 AUGUST FOR THE OCTOBER EXAMINATIONS) OR POSTPONE YOUR EXAMINATION BY THE CLOSING DATE – please refer to key dates. THE ANNUAL REGISTRATION FEE IS NOT REFUNDABLE EVEN IF YOU CANCEL YOUR EXAMINATION BY THE CLOSING DATE.**

## 3.2 Eligibility for Entrance

### 3.2.1 Entrance to the (NQF7) Governance Practitioner Qualification

The following persons are eligible to enter the programme at NQF Level 5 (i.e. Governance Practitioner):

- Persons who have passed the National Senior Certificate Examinations with a Level 4 pass in both English and a Level 4 pass in Mathematical Literacy;
- Persons who have achieved a relevant NQF4 qualification with English and Mathematics;
- Persons who have equivalent foreign qualifications.

Exemptions may be awarded for individual modules. For the exemptions application form, refer to the website.

### 3.2.2 Entrance to the (NQF8) Governance Professional or Company Secretary Qualification (The Board Examinations)

Access to the NQF8 qualifications is via two main routes:

#### **Route 1: Examinations**

The completion of the 11 modules of the Governance Practitioner qualification by passing the examinations.

#### **Route 2: Exemptions**

Exemptions may be awarded for relevant qualifications earned at the NQF7 level.

Please refer to the exemptions policy, which can be found in the Student Handbook.

Applicants should check this BEFORE they apply for registration and, if applicable, complete the exemptions application form .

Note: all degrees for which exemption is sought must be issued by a public university or Private Higher Education Institution (PHEI) accredited by the Council on Higher Education .

Special Note: Applicants may NOT register for NQF7 subjects and NQF8 subjects simultaneously. The Governance Practitioner qualification will need to be completed in full OR full exemption will need to be obtained before students can proceed to the board examinations.

***Persons who have equivalent foreign qualifications may also apply for exemptions.***

## 3.3 Mature Age Exemption

Persons who do not have the necessary entrance requirements and who have reached the age of 23, may apply for admission to the CGISA programme on the grounds of mature age. Such persons must, however, be able to provide evidence of their English and numerate skills. (For example, evidence of having been employed in a job where such skills are needed; evidence of other courses or modules having been passed with another accredited organisation).

All queries in this regard should be forwarded to [students@chartgov.co.za](mailto:students@chartgov.co.za)

## 3.4 Registration through a Skills Development Provider

If the first-time student is registering through an accredited skills development provider, the skills development provider must send all necessary documentation to the Institute. Which will include a completed manual enrolment form, copies of relevant documentation, e.g. copy of ID document and entry requirements such as school certificates or other appropriate documentation, and proof of enrolment fees for the student. If a student cancels his/her examination before the closing date, a 10% cancellation fee will be charged per examination.

The Institute staff will capture this information on the database. Please also see the rules above regarding documentation.

If such fees are not paid, then the student will be liable for any outstanding fees. Complaints in this regard will be referred back to the skills development provider.

Students will thereafter be individually responsible for enrolling for the examinations and paying their examination fees. NO bulk examination enrolments from skills development providers will be accepted.

The Institute cannot be held liable should an accredited skills development provider not send the necessary documentation or register the student.

Please note that NO REGISTRATIONS will be accepted from unaccredited skills development providers.

### **3.5 Revocation of Admission/ Registration**

If the Student and Examinations Manager is satisfied that the student may have fraudulently, through misrepresentation or the non-disclosure of material information, obtained admission to the CGISA or that the student's circumstances have changed in respect of any of the additional considerations listed in 7 above, the Student and Examinations Manager shall:

- raise their complaint immediately with the student, in writing, and advise them of the allegations against them and their right to make written representations within ten (10) working days;
- inform the CEO of their complaint; and
- submit the student's representations to the CEO.

Upon receiving representations from the Student and Examinations Manager and the student, the CEO:

- shall decide if it is in the public interest to revoke the student's admission to CGISA, having regard to the broader functions performed by CGISA in qualifying company secretaries and governance professionals and the qualities required for the respective positions;
- may call for a hearing, oral representations or further written representations from any party associated with the complaint;
- shall submit their decision with reasons to the Student and Examinations Manager and the student within ten (10) working days of receiving the complaint and the student's first set of representations; and
- shall delegate this function in circumstances where it would be appropriate to do so.

The CEO shall not revoke a student's admission under this provision after the student has written any examination or submitted any assignment, in which case, the Student Disciplinary Procedure shall apply.

### **3.6 Postponements**

You can only postpone a subject if you have **paid your fees in full**.

Postponements may be requested after the closing dates for registration which are 31 March for the May examinations and 31 August for the October examinations at an additional fee. Please refer to key dates on the website.

Postponements after that date will not be permitted and the examination fees will be forfeited.

If you do not pay for your postponement, you will be de-postponed and charged an administration fee. You will ALSO automatically be re-registered for the examination you registered for.

Late postponements due to work commitments will not be approved.

Candidates are allowed only one postponement per module, which is valid for 6 months. Thereafter they must reregister for the subject. **NO DOUBLE POSTPONEMENTS WILL BE APPROVED.**

A request for a postponement is only applicable for the following examination sitting and will not be allowed after the closing date.

Please refer to key dates on the website relating to postponements for bereavement and illness for both the May examinations and for the October examinations. Payment for the postponement is compulsory regardless of the reason (i.e. bereavement and illness). All doctor's certificates must stipulate that the medical practitioner is aware that examinations are taking place.

Postponement means that your registration is postponed in its entirety and you therefore have to comply with whatever arrangements are made for the next sitting, including the submission of assignments.

### **POSTPONEMENT FEES ARE NOT REFUNDABLE**

Please note that the Institute cannot be held responsible for any problems with late delivery of course material by skills development providers, incorrect information provided by skills development providers, or lectures not being provided by skills development providers. The Institute can also not be held liable should a student not be aware that fees are applicable.

### **3.7 Cancellations**

Please cancel or move your examination before closing dates (31 March for the May examinations and 31 August for the October examinations). Once registration has closed no cancellation, regardless of the reason, will be accepted. Candidates may apply to postpone their examinations (at an additional fee) to the next examination sitting – see paragraph above. Thereafter they will have to reregister and pay the prescribed fees.

If a student cancels his/her examination before the closing date, a **10% cancellation fee** will be charged per examination.

### **3.8 Timetables**

Examinations are written during or about May and October each year. The timetable is also available on the Institute's web site: [www.chartgov.co.za](http://www.chartgov.co.za).

Students must check the timetable BEFORE registering for any modules. It is the student's responsibility to ensure that their subject registrations do NOT clash and are correctly registered. It is also the responsibility of the student to ensure that all their contact details are current and correct.

### **3.9 Open Book Examinations**

Please refer to the open book policy.

### **3.10 Special Needs**

The Institute will provide reasonable accommodation in the assessments for students with special needs and disabilities. The latter must be indicated on the student's registration application form. The Policy on Special Needs and Disabilities is available on request from the Institute and can be downloaded from the Institute's website.

### **3.11 Student Contract**

It should be noted that once a candidate has completed and submitted a form for registration, this constitutes a contract between the student and the Institute. Students are responsible for acquainting themselves with the terms and conditions which is found at the back of the registration form.

### 3.12 Exemptions Process

#### 3.12.1 South African qualifications

Exemptions may be awarded on application in terms of the Institute's exemptions policy and are the sole prerogative of the Institute. Please see the exemptions policy on the website for more information.

**The onus is on the student to provide all the relevant evidence to support the application.**

#### 3.12.2 Supporting documents

For purposes of Recognition of Prior Learning (RPL) and/or exemptions, all relevant supporting documents must be submitted.

#### 3.12.3 Foreign qualifications

Students with foreign qualifications from any institution outside of South Africa must submit a SAQA Foreign Qualification Evaluation letter confirming the equivalence of the qualification together with the transcript, the modules taken and syllabuses for each module.

#### 3.12.4 Exemption fee

For all fees: Please refer to the student fees on the website [www.chartgov.co.za](http://www.chartgov.co.za)

The administration fee is required to proceed with the exemption application and is NOT RE-FUNDABLE. This administration fee is credited against the final fee due for the total of the exemptions granted. Should the Institute grant you two or more exemptions the administration fee will only count towards one exemption on condition that the student accepts all exemptions granted.

Candidates must submit exemption applications to the Institute's Students Department. Exemption applications should be made at least thirty (30) working days before the cut-off date for registration and enrolment to allow time for processing.

The Institute will inform the student via e-mail of their student number once all documentation and the administration fee has been received. The Institute will inform the student once again via e-mail of the outcome of their exemption application once full payment has been received. Only then will you be registered as a student and be allocated a registration number.

After exemptions have been granted, the student will then have to pay the per module exemption fee (please refer to student fees on the website).

**Please note that once an application for an exemption/s is successful, full payment of the prescribed fee will need to be paid in full within the 6 months following the successful application for exemption/s (you will receive an email confirming your exemptions, this date is to be used). Should you not make payment within the 6 months, you will then need to re-apply for the exemption/s.**

**On full payment of exemptions, you will be given 6 months to register for the upcoming examination.**

**You will only be granted a maximum of two (2) exemptions for Board (NQF8) subjects unless application is made in terms of our Fast Track process. No exemptions will be granted for Applied Governance and Company Secretarial Practice.**

No exemption information, confirmation, policies, etc. will be provided telephonically.

Exemptions will only be valid if confirmed in writing by the Institute.

Once exemptions have been granted and paid for in full, **no refund** will be approved should the student no longer want the exemptions.

NOTE: Candidates cannot register for the examination in any module before an exemption application has been processed as they will be liable for any fees in this regard.

**Exemptions can only be granted for “current competence”. If you wrote and passed a subject more than 10 years ago and have still not completed the qualification, you will have to provide additional evidence to prove that your knowledge is up to date. Unless you have completed your qualification, all NR credits are no longer applicable since they were awarded in 2005.**

Exemptions cannot be granted on the basis of exemptions and RPL received from other professional institutions or universities.

### **3.13 Assessment Policy**

The design, implementation and maintenance of the assessment practices for our qualifications will take into consideration the following guiding principles:

Assessment strategies will be in keeping with the aims and outcomes of the registered qualifications.

Formative assessment is the responsibility of the skills development provider with whom the student registers for a course of study. Skills development providers must be accredited by the Institute to offer the qualifications.

Assignments are required each semester for some Board subjects. **Assignments count for 30% of the final mark.** Examinations for these subjects count for 70% of the final mark. Note that **a minimum of 40%** must nevertheless be achieved on the exam in order to pass the module.

The summative assessment (examination) is a written examination paper based on the requirements for each module. The Institute administers the examinations. The qualifications require students to complete the knowledge, practical and workplace experience modules as outlined in the registered qualification. Knowledge and practical components are examined by means of a paper-based examination. Workplace experience must be signed off by an employer or an authorised skills development provider.

Examinations are conducted annually in May and October. No provision is made for supplementary sittings.

The examinations are marked and moderated by a team of highly qualified professionals with subject expertise. Accredited assessors and moderators form part of this assessment and moderation team.

Learners, assessors and moderators are provided with all relevant information with reference to assessments, e.g., required learning outcomes, assessment methods, assessment criteria, dates and times.

Learners' records, including a database, will be maintained, compatible with the QCTO and SAQA requirements.

The QCTO verifies the results and issues the certificates in accordance with requirements of the registered qualifications.

### **3.14 Individual Feedback Reports and Appeals**

All students who submit their scripts at the exam online for marking relinquish any rights they have to the script. No script reviews will be allowed and students are not entitled to take their scripts from the Institute or copy their scripts in any manner, as such scripts are the property of the Institute. All borderline scripts, i.e., within 5% of a pass mark are remarked before the results are released. If you do not pass, you can apply for an individual feedback report on your script which would point out where you went wrong.

### 3.14.1 Individual feedback reports

If a candidate fails an examination, he/she may apply for an Individual Feedback Report. The relevant form must be completed and the fee paid and submitted within ten (10) working days after the release of the results.

Feedback reports will provide the candidate with a brief overview of problem areas in their individual scripts.

Applications must be made personally and cannot be made on a candidate's behalf by a skills development provider.

### 3.14.2 Appeals

The appeals procedure applies to all candidates registered for examinations with the Institute. It can be used by any candidate who has evidence or believes that evidence exists to show that a declaration of failure (Not Yet Competent) was assigned or a similar evaluation was made as a result of prejudice, caprice, or other improper condition such as mechanical error. Applications should not be made for spurious reasons.

Candidates must make use of the other facilities available to them, such as the Individual Feedback Report, before submitting an appeal.

The application form must be submitted within five (5) working days after receiving an individual feedback report, and the relevant fees must be paid. If the appeal overturns the result, the application fee will be refunded.

In appealing, the learner must support in writing the allegation that an improper decision has been made and must specify the remedy sought. During an appeal, the burden of proof is on the learner.

Applications must be made personally and individually and cannot be made on a candidate's behalf.

**The appeal decision should be finalised within 30 days of the appeal being lodged.**

### 3.15 Re-Enrolment

If a candidate fails the examination, they can enroll again for that subject in the next examination sitting.



## SECTION 4: FEES

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Once enrolment has been submitted/received, the student is responsible for any outstanding fees. The Institute is not an accredited financial services provider and therefore cannot provide any form of credit or payment plan. All fees must be paid in full before delivery of a service can take place. Official evidence of payment must be presented (e.g. internet transfer advice or stamped bank deposit slip).

See the website for the current year's fees.

### 4.1 Payment Methods

The following payment methods are acceptable:

Direct deposit into the CGISA bank account. The Institute does not process cash payments at its premises under any circumstances.

Internet transfer into the CGISA bank account.

Cheques: These may be deposited into the CGISA bank account but there is a 10-day clearance period: registration cannot proceed until such cheques have been cleared. If a cheque is dishonoured by a bank, the student will not only be liable for the outstanding fees but will be liable for a 10 percent levy based on the value of the dishonoured cheque to cover bank charges.

Note: if students pay any fees for registration or examinations to any skills development provider, the Institute cannot be held responsible and will not liaise on their behalf in this regard.

Banking account details are as follows:

Account Name:	CGISA
Bank:	Nedbank
Branch Code	19 87 65
Account Number	1968 298 991

Deposit slips MUST reflect the full names of the student (in capital letters), Identity Number, as well as their student registration number (if they have previously been issued with such a number).

Note: if students pay any fees for registration or examinations to any skills development provider, the Institute cannot be held responsible and will not liaise on their behalf in this regard.

### 4.2 Failure to Pay

Failure to pay the full fees will lead to the following consequences:

A student not being allowed to register again, unless he or she has paid the previous year's fees or satisfactory arrangements have been made in this regard;

A student being liable for all outstanding fees;

A student's examination results or official certificate being withheld;

Legal action being taken, in which event the student will be liable for all legal costs incurred.

**NO REFUNDS WILL BE APPROVED FOR ANY FEES PAID UNDER ANY CIRCUMSTANCES**

### **4.3 Bursary Funding**

The Mentor Trust provides bursaries on an annual basis to students from all over Southern Africa. (Terms and conditions apply). These are only available for students studying towards the CGISA qualifications.

To apply for a bursary, please contact:

The Mentorship Department

Mentor Coordinator

P O Box 3146

Houghton

2041

Email: [exams@chartgov.co.za](mailto:exams@chartgov.co.za)

Fax: 011 551 4028

Closing date for applications is: 31 January.

### **4.4 Study Loans**

Study loans are offered by Edu-Loan and it must be noted that such loans are an arrangement solely between Edu-loan and the student.

Client Service number: 0860 55 55 44 Website: [www.eduloan.co.za](http://www.eduloan.co.za)

Postal address: Edu-Loan, PO Box 5287, Weltevreden Park, 1715

Regional offices: Eastern Cape, Free State, Gauteng, KwaZulu Natal, Limpopo, Mpumalanga, North West, Western Cape.

## SECTION 5: RESULTS AND CERTIFICATION

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### 5.1 Results

Examination results will be communicated to each student by e-mail and will not be given over the telephone or by e-mail.

Results may also be obtained by logging on to the web site: [www.chartgov.co.za](http://www.chartgov.co.za) and accessing your personal profile.

Please note that the advertised dates for the release of results are provisional – technical and other unforeseen problems could cause delays. The Institute does not accept any responsibility for possible delays in the release of results.

It is the responsibility of all students to check well before the release of results if their accounts are settled with the Institute. Results will not be released if there are any queries about outstanding fees and it is possible that in the event of such queries, results may then be available only in the third week of the new semester irrespective of the status of such accounts.

Marks	Symbols	Results
75% or more	A	Distinction
60% to 75%	B	Pass
50% to 59%	C	Pass
38% to 49%	D	Fail
25% to 37%	E	Fail
Less than 25%	F	Fail

If candidates are not satisfied with the outcome of the results, they can apply for an Individual Feedback Report. Application through the proper channels is required and fees are charged for these services. Note: candidates are responsible for doing this themselves – no-one else may act on the candidate's behalf, e.g. a skills development provider.

A student can request an academic record which will reflect all their results. The form can be downloaded and must be sent with proof of payment to the Institute. We require at least two (2) working days for the processing of an academic record once proof of payment has been received.

Note: candidates are responsible for doing this themselves – no-one else may act on the candidate's behalf, e.g. a skills development provider.

### 5.2 Certification

#### 5.2.1 FASSET Certification

Certificates are issued by FASSET as the Finance and Accounting Services Sector Education and Training Authority (Seta). The certificates are issued with an NQF rating indicated on them.

If students want a NQF7 certificate for the Governance Practitioner qualification, they must write and pass all the NQF7 modules and complete the Work Experience Portfolio.

The CGISA is responsible for submitting the learner records to FASSET, but is not responsible for delays in the issuing of certificates by FASSET.

## SECTION 6: TUITION

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Note: The Institute is not a skills development provider and may not act as one in terms of the NQF Act, 2008. The Institute is responsible for the curriculum and the assessment thereof, while accredited skills development providers are responsible for tuition.

### 6.1 Accredited Skills Development Providers

A number of accredited skills development providers are listed on the CGISA website.

It is essential that learners select an accredited skills development provider that has been quality assured to offer its programmes. Accredited skills development providers should be able to provide evidence of their accreditation before learners enroll with them. The Institute cannot be held responsible if learners register with an unaccredited provider.

Providers are responsible for:

- Supplying the learner with course materials that meet the syllabus requirements;
- Continuous assessment (to make sure that the learner studies consistently and is prepared for the examination);
- Tutorial support, such as help with understanding concepts.
- Students are responsible for:
  - Ensuring that their subject registrations do NOT clash and are correctly registered.
  - Ensuring that all their contact details are current and correct.

### 6.2 Independent Learning

Although this is not recommended by the Institute, learners may choose to be independent and not to use the services of a skills development provider.

Learners choosing this method of study are fully responsible for their own examination preparation and cannot rely on the Institute for assistance in this regard.

Learners choosing this route should buy the prescribed textbooks (latest editions) and any accompanying study guides provided by the publishers. The textbook list can be found on the Institute's website [www.chartgov.co.za](http://www.chartgov.co.za).

### 6.3 Continuous Assessment

The Institute does not conduct any form of continuous assessment for the Governance Practitioner qualification. This is the responsibility of the skills development provider. Any SDP continuous assessment marks are not taken into consideration in the final marks. They are simply a way of preparing you for the examinations.

### 6.4 Assignments

At the Board level, all students (including students who may have been granted access to the Board examinations via exemptions and those who have postponed their examinations from one semester to the next) must complete an assignment for each module where they are prescribed. The assignments are currently being phased in and are not necessarily required for all Board subjects. Students will be advised timeously via email of which assignments are required each semester. New assignments are set for each semester and students must complete the specific assignments set for that semester. If students either do

not write the examination or fail a module, they will have to complete the assignment set for the next examination for which they are registered. Students cannot carry marks from one semester to the next.

These assignments contribute 30% to the final mark for each module and the examination contributes 70% to the final mark.

## SECTION 7: MISCELLANEOUS

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### 7.1 Language Policy

English is used as the language medium for examinations.

Our communication policy aims to:

- Avoid obscure images, idioms and jargon;
- Avoid inappropriate expressions or language constructions;
- Avoid using demeaning or discriminatory language that makes assumptions based on age, race, nationality, sex, sexual orientation, transgender status, marital status, political conviction, religious belief, or disability, family responsibilities or career responsibilities.

This policy is based on the principles of:

- Equal opportunity;
- Anti-discrimination – inclusive language avoids communications that harass, exclude or discriminate against individual employees and groups in Chartered Governance Institute of Southern Africa;
- Clarity of expression – inclusive language avoids words or phrases that do not convey what people intend to communicate and that can be misinterpreted or give offence.

### 7.2 Forms

All forms and information are available on the website ([www.chartgov.co.za](http://www.chartgov.co.za)) but can also be requested telephonically or via E-mail or collected from the Institute offices.

NB – Please remember to send in application forms together with proof of payment – for ALL transactions. DO NOT SEPARATE PROOF OF PAYMENTS AND APPLICATION FORMS.

### 7.3 Processing of Personal Information

The Institute must process students' personal information in the course of fulfilling its obligations to students and in the course of conducting CGISA's activities. By completing each relevant form, students consent to such processing and acknowledge, *inter alia*, that the Institute must process such information in order to meet its contractual obligations to students and that it is in their legitimate interests that the Institute process their personal information. Students must familiarise themselves with the Institute's Privacy Policy, which is available on the Institute's website

<https://www.chartgov.co.za/wp-content/uploads/2024/12/CGISA-Privacy-Policy-April-2022.pdf> which sets out in further detail as to what information the Institute processes, the purpose of such processing and students' rights as data subjects.

## SECTION 8: MEMBERSHIP

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### 8.1 Applications for Membership

For full details on becoming a member of the Institute, please consult the CGISA website ([www.chartgov.co.za](http://www.chartgov.co.za)).

The hierarchy of membership is as follows:

**GradCG** – Conferred once you have passed the Board examination. To attain graduateship, you must formally accept GradCG status. You can then use the post-nominal GradCG. Examination success does not in itself confer membership and Graduate membership (GradCG) is dependent on the member being in good standing.

**ACG** – Associate membership may be awarded on application after six years of relevant work experience. This can be reduced to three years should you have a relevant degree. When you become an Associate, you are then a Chartered Secretary and or a Chartered Governance Professional and can use the post-nominal ACG.

**FCG** – Fellow membership on application after eight years of relevant work experience at a senior level. This can be reduced with relevant education qualifications in some circumstances. When you become a Fellow, you can then use the post-nominal FCG.

Every graduate must apply to become either an Associate or a Fellow within ten years of becoming a graduate.

Successful completion of the Board Examination does NOT automatically confer membership of the Institute and / or any other status, in terms of South Africa legislation. Membership is conferred on the basis of academic accomplishment and work experience, as well as proven personal and professional integrity.

You must apply on the relevant forms for membership. Annual fees are applicable for each membership designation.

Membership status will be withdrawn if annual fees are not up to date.

In order to practise in one's own business as an Accounting Officer or Tax Practitioner, all Chartered Secretaries in good standing are required to apply and renew their practising certificate annually.

For further information about membership, please email: [membership@chartgov.co.za](mailto:membership@chartgov.co.za)

### 8.2 Recognition of Members by Regulatory Bodies

Note: Terms and conditions apply. The accreditations are not automatic and certain preconditions need to be met and applications have to be made to the relevant regulatory body for recognition. No one may claim any status without official, written recognition.

ACG and FCG members are recognised by:

- The Companies and Intellectual Property Commission (CIPC) as accounting officers
- The Financial Sector Conduct Authority (FSCA) as financial advisors and compliance officers
- The South African Revenue Service (SARS) as tax advisors
- The Department of Justice (DoJ) as Commissioners of Oaths

GradCG and CG (Affiliated) members are **NOT recognised** for accreditation by these bodies.

### **8.3 Foreign Qualifications and Recognition**

Note for members who have passed the Board qualifications in countries other than South Africa:

In order to be able to practise as an accounting officer in South Africa, members holding foreign qualifications must meet the requirements of the regulatory bodies and must register as members of the CGISA and apply for a Practising Certificate.



## **SECTION 9: TERMS AND CONDITIONS**

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The Institute reserves the right to change terms and conditions at any time, and you agree to abide by the most recent version.

### **GENERAL CONDITIONS FOR ALL STUDENTS**

1. The onus is on students to ensure that they are properly prepared for the examinations. It should be remembered that for each credit allocated to a module, it takes approximately 10 hours of study (so-called notional hours) to earn that credit. Notional hours include work experience, reading and studying textbooks and tuition material or attending lectures, doing assignments and working through past examination papers. For example, a subject worth 20 credits will take about 200 hours of learning; a subject worth 30 credits will take about 300 hours.
2. The Institute is ONLY responsible for the syllabus and curriculum outline, as well as the provision of a list of PRESCRIBED/ESSENTIAL textbooks, and, where possible and relevant, a list of additional, recommended readings; conducting examinations (as well as assignments, in the case of Board modules); and the publication of the examination results following the Institute's quality assurance approval of the final results.
3. Text books are generally not sufficient reading to cover all aspects of the syllabus and it is entirely the student's responsibility to cover the syllabus and curriculum outcomes.
4. It is entirely the student's responsibility to obtain suitable tuition for these examinations and the Institute will not be held responsible in any way for inadequate tuition provision.
5. The Institute expects students to be familiar with the requirements of the syllabus and curriculum. Students should understand that rote learning, cramming and spot learning will in all probability lead to failure.
6. With regard to queries and appeals, the decision of the Chief Examiner is final.
7. The formal process must be used to appeal or query a result and all the costs involved in such appeals must be paid before any appeal will be considered.
8. The contents, conditions and rules of this handbook are valid for 2022. Information in all handbooks, brochures, website information, and skills development provider information, published in prior years is no longer applicable.
9. The main reason for the Institute providing the CGISA Qualifying Scheme and the Board Examinations is to qualify as a Chartered Secretary or Chartered Governance Professional. The CGISA Qualifying Scheme and the Board Examinations are professional benchmarks designed and implemented for the sole purposes of selecting appropriate candidates who have successfully completed the first requirements for admission to membership of the Institute. It is the policy of all tertiary institutes to use their own exemption/credit policies and the CGISA professional qualifying scheme and board examinations do not guarantee any access to other tertiary education programmes. Any applications in this regard need to be made on an individual merit basis and the Institute cannot be held responsible for any problems raised by individual tertiary institutions regarding the NQF status of the Institute's programmes.
10. The CGISA Qualifying Schemes, the Board Examinations and Membership of the Institute, do not guarantee entry to any job nor can they be used anywhere to guarantee immigration points. There are now more stringent requirements regarding immigration rules and a professional qualification on its own may not be sufficient to provide the education points needed for this purpose. "International"

refers to the portability of the Membership “Chartered Secretary” and “Chartered Governance Professional” and does not describe the actual qualifying scheme in any way.

11. The Student Code of Behaviour and Conduct (see Appendix) as it relates to the conduct of a student, during the provision of tuition and during the course of examinations applies to all students. If a student breaches this code, the student may be disciplined by a tribunal convened by the Chief Examiner and/or her delegates. The outcome of such a tribunal could be the disbarring from any future registrations as a student and preclusion from being admitted as a Chartered Secretary or Chartered Governance professional. All fees paid to date will be forfeited.
12. Services will be withheld until all fees are paid in full. It is the student’s responsibility to be in possession of a valid examination registration form to be allowed entry to the examinations and results will be withheld if any fees owing to the Institute are outstanding. The onus is on the student to provide clear and unambiguous proof of such payments.
13. Students must read and understand the assessment and moderation policy, the independent feedback report policy and the appeals policy.
14. It is students’ full responsibility to check the examination time-table and venue allocation/online examination procedures (as applicable) well in advance and to ensure that they are familiar with the venue and its location/the online examination procedures (as applicable). Students will not hold the Institute responsible for my late arrival at a venue/late entry to the online exam as a result of changes to the online exam procedures/venue changes and/or timetable changes that might occur from time to time as a result of circumstances beyond the control of the Institute. Students must therefore consult the published information on the website or via posted/e-mailed circular and ensure that they are totally familiar with the venue/online exam procedures well before hand.
15. It is students’ responsibility to ensure that the Institute is in possession of their current contact details. Students are responsible for notifying the Institute of any changes and must ensure these changes are made by checking with the Institute or by logging my student details on the Institute website.
16. The Institute uses e-mail circulars as its main means of immediate communication, followed by the website, followed by tuition providers (if applicable) and in the last resort, by the postal system.
17. Submission of your registration form, either manually or online, implies that you have accepted these terms and conditions.

#### **PRIVATE CANDIDATES**

Students registering as Independent Candidates (i.e. without the services of a skills development provider) must accept the conditions and take full responsibility for their examination results.

## **APPENDIX: THE STUDENT CODE OF CONDUCT**

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### **INTRODUCTION**

All applicants who register with the Institute for the examinations are registered as students. It is incumbent upon students to comply with the Code of Ethics governing professional conduct and the Code of Conduct in terms of the examinations.

### **PART A – THE CODE OF ETHICS**

This Code demonstrates the standard of professional conduct expected of all students studying towards the Institute's qualifications.

#### **1. GENERAL FUNDAMENTAL PRINCIPLES**

1.1 The professional ethics described in this Code are issued by the Board of Directors for the guidance of students and to assist students to conduct themselves in a manner which the Board considers appropriate to the profession in general and to Chartered Secretaries and Chartered Governance Professionals in particular. However, as misconduct cannot be specifically defined for all instances, but will need to be determined in the light of the circumstances of each individual case, it follows that the Board cannot publish lists of every possible instance of misconduct.

1.2 This Code is issued by the Board to facilitate the enforcement of ethical standards through its disciplinary procedures. Failure to observe the provisions of the Code does not (as is indicated above) ipso facto constitute misconduct but does mean that students may be required to justify their actions in answer to a complaint.

1.3 The Memorandum of Incorporation of the Institute requires the observance of rules of conduct as a condition of student registration and renders students liable to disciplinary action if found guilty of misconduct, which includes, but is not confined to, any act or default likely to bring discredit to the student, the Institute, or the profession. Nevertheless, the Board considers it desirable to be more explicit in particular areas.

1.4 Students are required to uphold the Institute's Charter and comply with its Bylaws.

1.5 Students are required to exercise integrity, honesty, diligence and due care in carrying out their duties and responsibilities. They shall conduct themselves with courtesy and consideration towards all with whom they come into contact in the course of their studies, professional work, as well as in terms of their personal conduct in general.

1.6 Students shall at all times be cognisant of their responsibilities as professional persons towards the wider community. They shall follow the guidance of this Code and, in circumstances not provided for, should conduct themselves in a manner consistent with the good reputation of the profession and the Institute.

1.7 If employed, students shall at all times safeguard the interests of their employers, colleagues and clients provided that they shall not knowingly be party to any illegal or unethical activity.

1.8 If employed, students shall not enter into any agreement or undertake any activity which may be in conflict with the legitimate interests of their employer or client or which would prejudice the performance of their professional duties.

1.9 Students shall refrain from conduct or action, whether in their personal or professional capacity, which detracts from the reputation of the Institute.

## STUDENT DISCIPLINARY PROCEDURE

### TERMS OF REFERENCE

This document sets out the procedures which should be followed where the Student Code of Conduct is allegedly breached. Breach of the Student Code of Conduct may lead to disciplinary action being taken against a student and repeated breaches or a single, very serious breach may result in a student being excluded from the Institute.

Note: In all disciplinary matters, the student shall have the right of appeal and the right to representation.

### DEFINITIONS

#### Glossary of terms and definitions

- I. This glossary of terms and conditions forms part of the CGISA's student disciplinary policy.
- II. Unless otherwise expressly stated, in this policy, the following terms have the meanings indicated below.

Authorised Person	A person authorised by the Chief Executive Officer to deal with actual or possible misconduct and who may impose penalties where minor offences can be shown to have been committed.
Burden of proof	'Burden of proof' indicates who must prove (has the burden of proving) a specific allegation.  For minor and major offences, the burden of proof lies with the CGISA.
Decision	A decision by an authorised person, a disciplinary committee or a disciplinary appeal committee.
Disbarment	The permanent exclusion of the student from CGISA and termination of the student's registration with the CGISA.
Disciplinary action	Action taken under this policy.
Disciplinary Appeal Committee	An appeal committee conducted in accordance with the policy for hearings by the committee that is convened to hear an appeal by a student against the decision(s) of a disciplinary committee (see below)
Disciplinary Committee	A committee convened under the terms of the CGISA's disciplinary policy to hear a matter within the scope of the policy.
Major offence	Misconduct by a student such as that listed in Table 3 below, that could, if confirmed to have occurred, justify one of the following penalties being imposed on the student  a) Suspension from the CGISA for a period; b) Exclusion from the CGISA for a period; or c) Disbarment.
Minor offence	Misconduct by a student such as that listed in Table 1.
Misconduct	Actions or acts, or failures to act, by a student of the CGISA, or by a guest or guests invited on to CGISA premises by a student of the CGISA, that are contrary to the maintenance of good order and mutually respectful behaviour within the CGISA community and/or contravene the CGISA's policy to which the student subscribes

	when registering to study with the CGISA. Misconduct is further defined in these Table 1.
Penalties	The policy provides the general framework within which authorised persons may impose penalties on students.
Premises	Premises refers to the CGISA offices or any examination venue arranged by the CGISA.
Report	A formal written statement issued by the CGISA to a student to confirm the outcome of the disciplinary hearing. A report is required before a student can refer a matter on appeal.
Representation	In all disciplinary proceedings and appeals, a student may be represented by another student.
Standard of proof	In all proceedings and appeals under these Disciplinary Regulations, the standard of proof that is required is, that on the evidence put forward it is more likely than not that the student committed the offence. In cases where major misconduct is alleged, where the penalties for the student may be serious, the CGISA expects the evidence that is put forward to show that the student committed the misconduct to be particularly cogent and compelling, and that it will be examined and tested with special care.
Student	A student is any person who fulfils one or more of the following criteria i. A person registered for one or more modules offered by the CGISA ii. A person registered as a student with another organisation operating in collaboration with the CGISA, for example, Witsplus. iii. Students registered with one of the CGISA's accredited institutions to study for an award of the CGISA qualifications.
Suspension of registration	Suspension of a student's registration with the CGISA for a defined period is a penalty available to a disciplinary committee or disciplinary appeal committee when a student is found to have committed a major offence.

## 1. OFFENCES

A case for disciplinary action shall exist if a student is alleged to have committed an offence that may be listed in Appendix 1 appended to this policy.

## 2. PROCEDURE

2.1 Minor offences will be summarily dealt with by an authorised person who will at the same time make a decision as to the penalty imposed.

2.2 Serious and very serious offences will be referred to the Chief Examiner by the Student Manager who will then convene a disciplinary committee for a decision. The disciplinary committee will comprise:

- The Chief Examiner (chair);
- Members of CGISA Education and Examinations Committee (EDEX); or
- Members of staff.

The selection of the members is at the sole discretion of the chair.

Note: the chair could, if necessary, be replaced by another authorised person if there is a conflict of interest or the Chief Examiner is unavailable.

If the disciplinary committee, having reviewed the information available, believes that there is a case for the student to answer, then the student will be formally requested in writing to present themselves at a hearing on a specified day, at a specified place and at a specified time. Attendance at the hearing may be virtual. The formal request will specify the allegations. Should the student notify the chair that they acknowledge the allegation, this acknowledgement will be taken into account in mitigation when the penalty is imposed. At the hearing, the student may be accompanied by a fellow CGISA student. If the student declines to present themselves at the hearing, the hearing will proceed in the student's absence.

In dealing with a matter, the disciplinary committee will consider written and/or oral evidence from any person regarding the misconduct. The burden of proof lies with the CGISA; that is, the CGISA must show that the student committed the misconduct and is liable for the consequences. It is not for the student to prove that they did not commit the alleged minor misconduct or serious misconduct. In an appeal by a student against a penalty imposed by an authorised person, or an appeal against the recommendations of a disciplinary committee, the burden of proof shifts and lies with the person making the appeal. That is, it is for the person appealing to show that there are grounds for their appeal and to provide relevant evidence to support their appeal.

The evidence must meet the required standard of proof. The disciplinary committee will find the student guilty of misconduct only if, on the evidence provided, the committee is satisfied on the balance of probabilities that the student is guilty of the offence. If a finding of guilt is made, the disciplinary committee may impose any of the penalties set out below.

At the termination of the proceedings, the disciplinary committee will arrange for a short report to be written. In the event of a guilty finding, the report will set out the misconduct alleged, a brief summary of evidence received, the grounds for the guilty finding, the penalty imposed, and the factors taken into account when deciding the penalty. A copy of the report will be sent to the student within ten (10) working days of the hearing and will be circulated, at the disciplinary committee's discretion to appropriate members of the Institute staff. The report will be kept on the student's file.

2.3 Appendix 2 appended to this policy sets out the process to be followed during a disciplinary hearing.

### **3. PENALTIES**

At the start of all hearings, the chair will explain the purpose of the hearing and the extent of his/her delegated powers and the disciplinary penalties which are possible outcomes of that hearing.

The chair will explain that the CGISA can either dismiss or uphold an allegation made against the student. The Institute will be asked to present its evidence and witnesses may be called. The student will be given an opportunity to present evidence to refute or in mitigation. It is also appropriate to consider any previous matters on file. If a decision is taken to uphold the allegation, the process will move to a second stage by considering the imposition of penalties listed below:

- Absolutely discharged, which means that although the student may be technically guilty of the misconduct alleged, no blame should be attached to his or her actions;
- Admonished;
- Cautioned and put on report which means that no penalty is imposed, but if the student is found guilty of misconduct on a subsequent occasion in the following twelve months, or some other specified period, there will be consideration of both offences;
- Conditionally discharged, which means that no penalty is imposed, subject to the student fulfilling certain stipulated conditions including future good behaviour over the following twelve months or some

other specified period. If the conditions are not met, a penalty may be imposed following a further hearing;

- Suspended from registration with the Institute for a fixed period of time, up to a maximum of three years. A student who is suspended is prohibited from entering Institute premises, and from participating in Institute activities. The terms of the suspension will be notified to the student in writing. An order of suspension may include a requirement that the student shall have no contact with a named person or persons.
- Temporary suspension pending an investigation.
- Summary suspension. This means that the suspension is immediate and without a disciplinary hearing. This will only occur where there is clear, incontrovertible evidence of an act of such serious gross misconduct that could only result in permanent suspension or disbarment, for example, a physical assault upon a member of staff or other students.
- Disbarred from the Institute which means that the student may not complete the qualification.

A recommendation will be made to the Chief Executive or one of the Vice-Presidents, following a hearing by a disciplinary committee. Students will be advised in writing by the Student Manager of the decision.

**Note.** Repeated offences including repeated minor offences may be dealt with by the CGISA as a single matter that merits treatment as a serious offence.

#### **4. APPEAL AGAINST THE DECISION**

The student has the right to appeal the finding of the disciplinary committee. However, this is not an academic appeal, but an appeal against the proposed disciplinary action.

- An appeal against the outcome of the hearing must be sent to the Student Manager who will pass it on to the President of CGISA.
- In all eventualities, notice of appeal must be lodged President of CGISA within ten (10) working days of the date of the notification of the outcome. In all eventualities, the notice of appeal must give grounds and brief particulars of the appeal.

The grounds of appeal include but are not limited to the following:

- There was a serious breach of the CGISA's procedures that may have adversely affected the outcome.
- New evidence has come to light that was not available at the original disciplinary hearing and could be expected to materially influence the original outcome.
- The findings were unreasonable in the light of the facts.
- The penalty imposed was too severe in the circumstances.

In any appeal, an appeal interview will be held at which both the student and a representative of the Institute will be invited to present their cases. The interview may be held in person or online. The burden of proof is on the student. The decision to uphold or not will be made after the interview once the person hearing the appeal has had time to consider the evidence. The person hearing the appeal may, if deemed necessary, convene a disciplinary appeal committee. The President may request other board members to sit in on the interview.

- The decision of the person dealing with the appeal will be confirmed in writing together with a statement of the reason(s) for the decision.
- If the appeal is dismissed, the person dealing with the appeal may confirm or vary the penalty, including imposing a greater sanction. The final decision will be confirmed in writing to the student as soon as possible after the appeal has been lodged.

- In the event that an appeal is upheld, the President in their sole discretion is able to amend the sanction handed down by the Disciplinary Committee; however, it is recommended that the Disciplinary Committee Chairperson and the CEO be consulted in this regard.
- The finding of the appeal chair is final and binding on the student and CGISA, and no further discussion on the matter will be entertained.
- Appendix 2 appended to this policy sets out the process to be followed during an appeal hearing.

## **5. VARIATIONS**

In exceptional cases, it may be necessary that variations should be made to procedural aspects of this policy. The CGISA may make such variations as it sees fit, subject to informing the student concerned and subject always to considerations of reasonableness and fairness. Without limitation, such variations may include disciplinary hearing or appeals being conducted by different persons, if the person who would otherwise be conducting the hearing or appeal has previously had close personal involvement in the matter to be considered or for any other reason deemed appropriate in the circumstances.

Whilst the CGISA will aim to meet all of the stated time limits, in certain circumstances this will not always be possible. In such cases, the CGISA will contact the student as soon as possible.

### **Supporting documents**

- Registration application form
- Student Handbook
- Student Code of Conduct



## APPENDIX 1: LIST OF OFFENCES

**Table 1: Illustrative statement of acts that the CGISA considers to be minor misconduct (Note: the list is not exhaustive).**

1. A first or single breach of CGISA regulations or policies e.g. smoking in non-designated areas, ignoring fire alarms, ignoring invigilator’s instructions in an examination venue.
2. Refusal to respond to reasonable requests by CGISA staff.
3. Anti-social conduct, including causing a public nuisance by drunkenness or disorderly conduct.
4. Minor damage to property.
5. Writing after the end of the exam.
6. A breach of the students’ code of conduct

**Table 2: Illustrative statement of acts that the CGISA considers to be misconduct of a serious nature (Note: the list is not exhaustive).**

1. A breach of the students’ code of conduct
2. Failure to disclose personal details to a member of staff of the CGISA in circumstances in which it is reasonable to require that such information be given. [Note. Students of the CGISA are required to give their names, their home and CGISA addresses and to produce their identity card or other reasonable means of establishing both student status and identity, when asked to do so by any CGISA employee or security personnel.]
3. Rudeness telephonically, face-to-face or via electronic media (emails, social media) towards any employee, member, student or invigilator of the CGISA, the online tutor, or any visitor to the CGISA.
4. Using unauthorised notes and textbooks during an examination; breach of the CGISA open-book policy.

**Table 3: Illustrative statement of acts that the CGISA considers to be very serious misconduct (Note: the list is not exhaustive).**

1. Repeated minor offences.
2. A breach of the students’ code of conduct
3. Action or inaction likely to cause injury or impair safety on CGISA premises.
4. Any conduct that brings the CGISA into disrepute.
5. Any conduct that constitutes a criminal offence.
6. Any conduct which comes to light after the student’s admission (and, if applicable, registration) which affects <b><i>the professional and ethical standards required of a Company Secretary, Governance Professional or Governance Practitioner, including but not limited to allegations of deceit, deception or dishonesty.</i></b>
7. The discovery, after submission of an assignment and/or after writing an examination, that the student has acted dishonestly (including by failing to disclose material information) in any application to the CGISA, including applications for admission, exemptions and registration.
8. Breach of a CGISA-approved code, rule or regulation.
9. Causing damage or harm to CGISA staff, students, members, the online tutor, examiners and moderators, or visitors to the CGISA.
10. Damage to CGISA property, or the property of the CGISA staff, students, members, the online tutor, examiners and moderators, or visitors to the CGISA, caused intentionally or recklessly.
11. Direct or indirect attempts to influence or intimidate members of staff prior to or during an examination, disciplinary investigation, subsequent proceedings, or any other internal procedures.

12. Dishonesty with regard to examination procedures: collusion with any person with regard to the writing of an examination; copying in an examination; using an incorrect or false ID/Driver's license; writing an examination on behalf of another person or getting another person to write an examination in the place of the student; using crib notes in an examination; misuse of a cellphone; misusing toilet privileges with the objective of cheating, cribbing or other dishonest purposes.
13. Disruption of, or improper interference with, the academic, administrative, social or other activities of the CGISA.
14. Failure to comply with a reasonable instruction relating to prior disciplinary action.
15. Failure to respect the rights of others to freedom of belief and freedom of speech
16. Fraud, deceit, deception or dishonesty in relation to the CGISA staff, students, members, the online tutor, examiners and moderators, or visitors to the CGISA.
17. Harassment of any employee, member, student, invigilator, examiner or moderator of the CGISA, the online tutor, or any visitor to the CGISA.
18. Misuse or unauthorised use of CGISA premises
19. Obstruction of, or improper interference with, the functions, duties or activities of any CGISA staff, students, members, the online tutor, examiners and moderators, or visitors to the CGISA.
20. Serious disruption of, or improper interference at an examination venue and CGISA premises.
21. Theft, misappropriation or misuse of CGISA property, or the property of the CGISA's members or visitors.
22. Use of violent, indecent, disorderly, threatening, intimidating or offensive behaviour or language to any CGISA staff, students, members, the online tutor, examiners and moderators, or visitors to the CGISA.

## APPENDIX 2: HOW TO CONDUCT A DISCIPLINARY HEARING

The below checklist is for guidance purposes only, as it is recognised that the Chair will need to determine how best to manage any disciplinary hearing given the individual circumstances of the case.

Please ensure that all discussions during this process are fair, appropriate and above reproach.

### 1. Introduction

- Welcome attendees.
- **Request that all attendees turn off any electronic devices to avoid unnecessary interruptions during the meeting and advise that the CGISA expressly prohibits the recording of meetings, except by the note-taker for purposes of producing the report on the hearing.**
- Introduce those present and their roles; this may include: the CGISA representative who will present the case for the Institute; the committee members and note-taker.
- Ask the student to introduce him/herself and any companion s/he may have with him/her.
- Check whether the participants are happy with use of first names.
- Confirm with the student that s/he has received the notice of the disciplinary hearing/meeting.
- Advise that any questions, comfort breaks and adjournments requests should be directed at the Chair.
- Identify the location of the rooms available to both the student and member(s) of the committee, to be used should any adjournments be required.

### 2. Preliminary matters

- Confirm that the disciplinary hearing/meeting is a result of allegations of misconduct against the student, and that the hearing will be conducted in line with the relevant procedure. It is not about academic results.
- If the hearing/meeting has been rescheduled, confirm with the student that s/he acknowledges why this was the case.
- Reaffirm that the hearing is to consider the allegations of misconduct as indicated in the notice of disciplinary hearing sent to the student.
- Advise that the decision of the disciplinary committee will be made after the hearing, following a brief adjournment of the committee to consider the case. The outcome will be confirmed in writing, together with a short report usually within ten (10) working days of the hearing.

### 3. Clarify procedure

- Advise of the procedure to be followed.
- Representation of student who may not be a legal representative – If accompanied, confirm the role and identity of the companion, i.e. that they will be able to address the hearing in order to: put the student's case forward; sum up the case; respond on the student's behalf to any view expressed at the hearing; and confer with the student. However, the representative will not usually answer questions on behalf of the student but may do so with the agreement of the committee.
- If not accompanied, note that the student has been advised of their right to be accompanied by the fellow CGISA student, but has chosen to attend unaccompanied.
- Representation of the Institute – the role of the representative will be clarified, namely that s/he is there to present the case for the Institute.
- Witnesses may be called to give evidence of the misconduct.

#### **4. Documentation**

- Confirm the documentation provided, identifying, if appropriate, any other documentation the committee has at their disposal for reference purposes, or any additional information supplied by the student.
- Advise that it is the CGISA's responsibility to specifically draw the committee's attention to all relevant documentary evidence that should be considered in relation to their grounds for the hearing. Note that the burden of proof lies with the CGISA.
- Explain that anything that does not relate to the grounds for the hearing, will not be taken into consideration for the purpose of this procedure.

#### **5. Taking of Notes**

- Advise that the note-taker will take summary notes to support the committee's consideration. Advise that both the student and his/her representative are welcome to make their own notes. A report will be drafted after the hearing.
- Respond to any procedural concerns/queries that may arise.

#### **6. Running order**

- The CGISA representative will be invited to present the case of misconduct.
- Witnesses may be called.
- The disciplinary committee will ask questions/seek clarification as necessary.
- The student will ask questions/seek clarification as necessary.
- Student will be invited to present his/her case, including mitigating factors, during which it would be helpful if s/he directed the committee to the issues that s/he would like the disciplinary committee to consider.
- The Institute representative to be given an opportunity to make a closing statement.
- The student to be given the same opportunity.
- The committee may adjourn the hearing briefly to consider the decision or have further time to consider the decision.
- The student, student representative and CGISA representative will be asked to leave the room until recalled.

#### **7. Hearing the case**

- Hearing the case is based on the above running order.
- If the committee is unable to make a decision as further information is required, inform the student as to when they can expect written notification of the decision (or if further action was deemed necessary what this would entail)
- Close the hearing, ensuring that everyone understands what is going to happen.
- The committee considers the case and makes a decision.
- The outcome of the hearing should be made immediately after due consideration of the evidence and will be confirmed to the student in writing, usually within ten (10) working days of the hearing.
- Advise the student that s/he may appeal any decision within ten (10) working days of the hearing.

#### **8. Record**

- Record summary of the discussions, (including any agreed actions and timescales).
- Ensure that the records are factual and constructive.
- Store records securely, as these may be subsequently required within later procedural stages.
- Circulate the report of the hearing to those that are entitled to receive it.

### APPENDIX 3: HOW TO CONDUCT AN APPEAL HEARING

The below checklist is for guidance purposes only, as it is recognised that the Chair will need to determine how best to manage any hearing given the individual circumstances of the case.

Please ensure that all discussions during this process are fair, appropriate and above reproach.

#### ○ Introduction

- Welcome attendees.
- **Request that all attendees turn off any electronic devices to avoid unnecessary interruptions during the meeting and advise that the CGISA expressly prohibits the recording of meetings, except by the note-taker for use in preparing the report after the hearing.**
- Introduce those present and their roles, this may include: committee members, note-taker, member[s] of the disciplinary committee etc.
- Ask the student to introduce him/herself and any representative s/he may have with them.
- Check whether the participants are happy with use of first names.
- Confirm with the student that s/he have received the letter notifying them of the appeal hearing/meeting and any associated documentation.
- Advise that any questions, comfort breaks and adjournments requests should be directed at the Chair.
- Identify the location of the rooms available to both the student and member(s) of the original committee, to be used should any adjournments be required.

#### ○ Preliminary matters

- Confirm that the appeal hearing/meeting is a result of the decision of a disciplinary committee (providing the date of original hearing/meeting and its outcome), and that the appeal will be heard in line with the relevant procedure.
- If the appeal hearing/meeting has been rescheduled, confirm with the student that h/she acknowledges why this was the case.
- Reaffirm that the appeal process is not an opportunity for a re-hearing of the original submission but to consider the grounds of their appeal; e.g. this could be to determine if previous decision was fair, consider any new facts and judge reasonableness of procedure to date etc.
- Advise that the decision of the appeal committee will be made after the hearing, either following an adjournment, or after closing the hearing, should it require more time to consider the case. The outcome will be confirmed in writing usually within ten (10) working days of the hearing.

#### ○ Clarify procedure

- Advise of the procedure to be followed.
- Representation of student – If accompanied, confirm the role of the representative, i.e. that they will be able to address the hearing in order to: put the student's case forward; sum up the case; respond on the student's behalf to any view expressed at the hearing; and confer with the student. However, the representative will not usually answer questions on behalf of the student but may do so with the agreement of the appeal committee.
- If not accompanied, note that the student has been advised of their right to be accompanied but has chosen to attend unaccompanied.
- Representation of the Institute – the role of the representative will be clarified, namely that s/he is there to present the case on why the given disciplinary measure is warranted.

- **Documentation**
  - Confirm the documentation provided, identifying, if appropriate, any other documentation the committee has at their disposal for reference purposes, or any additional information supplied by the student.
  - Advise that it is the student's responsibility to specifically draw the committee's attention to all relevant documentary evidence that should be considered in relation to his/her grounds for appeal.
  - Explain that anything that does not relate to the grounds for appeal or which is not directly referenced by the student, will not be taken into consideration for the purpose of this procedure.
- **Taking of Notes**
  - Advise that the note-taker will take summary notes to support the committee's consideration. Advise that both the student and his/her representative would be welcome to make their own notes. A report will be sent to the student.
  - Respond to any procedural concerns/queries that may arise.
- **Running order**
  - Student will be invited to present his/her case, during which it would be helpful if they directed the committee to the issues that they would like the appeal committee to consider.
  - Where previously agreed with the chair, witnesses may be called.
  - The appeal committee will ask questions/seek clarification as necessary.
  - The Institute representative will ask questions/seek clarification as necessary.
  - The student to be given an opportunity to make a closing statement.
  - The Institute representative to be given same opportunity.
  - The committee will adjourn for the appeal committee to consider the decision.
- **Hearing the case**
  - Hearing the case is based on the above running order.
  - If the committee is unable to make a decision as further information is required, inform the student as to when s/he can expect written notification of the decision (or if further action was deemed necessary what this would entail)
  - Close the hearing, ensuring that everyone understands what is going to happen.
  - Committee considers the case and makes a decision. The outcome of the appeal hearing should not be made immediately before due consideration of the evidence and will be confirmed to the student in writing, usually within 5 days of the hearing.
- 8. Record**
  - Record summary of the discussions, (including any agreed actions and timescales).
  - Ensure that the records are factual and constructive.
  - Store records securely, as these may be subsequently required within later procedural stages.
  - The decision of the appeal committee is final and no further correspondence will be entered into.