

PROCESS FOR APPEALING ASSESSMENT OUTCOMES

AIM

The aim of this document is to describe the procedures to be followed by a trainee accountant who feels aggrieved by a training officer's decision in terms of the final assessment of the trainee's technical and professional competencies.

SCOPE

This procedure will apply to all disputes in terms of the final (summative) assessment stage of the training contract of a trainee accountant. All assessors and moderators will be trained assessors and moderators and will be registered with the SAICA-ETQA.

DEFINITIONS

Assessment: Refers to a structured process for gathering evidence and making judgements about an individual's performance in relation to registered national standards or qualifications. With reference to trainee accountants, the standards are the levels of competence to be achieved by the end of the training contract term and are set by SAICA.

Assessor: Refers to the person who is registered by the SAICA-ETQA, in accordance with criteria established for this purpose by SAQA, to assess the competence of trainee accountants in terms of the technical and professional skills prescribed by SAICA.

Learner: Refers to a trainee accountant who is registered under a training contract administered by SAICA.

Moderation: Refers to a process of quality assuring assessments conducted, to ensure that such assessments are fair, valid and reliable.

Moderator: Refers to the person or body who is registered by the SAICA – Education and Training Quality Assurance Body (ETQA) in accordance with criteria established for this purpose by the South African Qualifications Authority (SAQA) to

'supervise' and support assessors, in order to ensure consistency, validity, fairness and reliability in the assessment practices of trainee accountants, and

implement and manage assessment record keeping.

IMPLEMENTATION OF THIS POLICY

SAICA must ensure that all registered assessors and trainee accountants are aware of the appeals policy.

The registered assessor must ensure that candidates who dispute assessment decisions are given the opportunity to appeal.

The moderator must ensure that the appeals process is followed.

PROCEDURE FOR APPEAL

Documentation required

Completed SAICA Appeal Form
Completed Technical Skills Review Forms
Completed Professional Skills Review Forms
Completed Assessment Needs Analysis Forms

Stage one – initial discussion between the trainee and the assessor

The trainee accountant must, within three days of the assessment decision, discuss the reasons for his appeal of the assessment decision with the assessor concerned.

The assessor must consider the reasons advanced by the trainee accountant and respond by:

- Amending the trainee's assessment record; OR
- Furnishing the trainee with a clear explanation or a repeat explanation of the assessment decision following a re-evaluation of the evidence.

This should take place within three working days of receiving the trainee's appeal.

If the trainee accountant agrees with the outcome at this stage, the appeal will not proceed any further.

If the trainee accountant does not agree with the outcome of his discussion with the assessor, the appeal will proceed to Stage Two.

Stage two - conducting the appeal

The assessor must provide the moderator with the following documents within three working days after the initial discussion between the trainee and the Assessor:

- SAICA Appeal Form, with Section 1 completed;
- Completed Technical Skills Review Forms
- Completed Professional Skills Review Forms
- Completed Assessment Needs Analysis Forms

The moderator will consider the assessment decision by evaluating these documents.

The moderator must complete Section 2 of the SAICA Appeal Form.

In the event that the moderator does not agree with the assessor's assessment decision, he/she must provide the trainee with an alternative assessor and a date for a second assessment, within five working days of receiving the appeal.

Should the trainee remain unhappy with the second assessment decision, the appeal must proceed to stage three.

Stage three

SAICA will, within ten working days of receiving the appeal, convene a panel consisting of:

- the original assessors
- the moderator
- another moderator from the relevant discipline.

The panel will consider the following documents:

- SAICA Appeal Form, with Sections 1 and 2 completed
- Completed Technical Skills Review Forms
- Completed Professional Skills Review Forms
- Completed Assessment Needs Analysis Forms
- Any written comments from the moderator (e.g. background details)

The panel will complete Section 3 of the SAICA appeal form and will inform the trainee of its decision within five working days after having convened the panel.

Stage four

The moderator will forward relevant details to the SAICA Training Unit and these should include:

- Trainee appeal form, appropriately completed, (including the reason for the decision of the investigation panel)
- Assessment record sheets
- Written comments from the moderator (as supplied to stage three panel)

The external verifier will convene, within 10 working days of notification, a panel comprising of:

- The SAICA review specialist or the appropriate senior post holder
- The original moderator
- The original assessor

The candidate should be invited to attend with a representative if they wish.

The panel will reconsider the assessment evidence, led by the external verifier.

The panel must reach a decision and inform the candidate of the result within 5 working days, in writing.

The decision of the panel is final.

If the trainee is still not satisfied with the outcome he/she has the right to appeal the assessment decision with the SAICA Training Requirements Committee.

Adminstrating the appeal

Records of all appeals should be logged and made available as appropriate to:

- all relevant parties to the dispute
- SAICA

ASSESSMENT - APPEAL FORM

As a candidate you have the right to appeal against the assessment decision. If you wish to appeal, please follow the procedure as set out below. Please complete this form and return it to the Training Officer on site.

Should you not have received a response within 5 working days, please appeal directly to The South African Institute of Chartered Accountants – ETQA Department.

Date of assessment	
Name of trainee	
Details of training office	
Name of training officer	
Name of assessor	
Date	
SUMMATIVE ASSESSMENT OF TRAINEE ACCOUNTANT	
STAGE ONE	
Candidate's reasons for disagreeing with assessment decision:	
The assessor's rationale for the decision	
Candidate's signature	
Assessor's signature	

STAGE TWO	
Moderator's reconsidered decision and rationale	
Moderator's signature	
STAGE THREE	
Investigation panel's decision and rationale	
Designated signatory	
STAGE FOUR	
SAQA Appeals panel decision and rationale	
Designated signatory	

Please attach relevant documentation to this form