



CA PROGRAM

Candidate Course Progression Policy and Procedure

Document ID	CA ANZ Candidate Progress and Support Policy [07-03-00-02-P]		
Document Owner(s)	CA Program General Manager and Head of Education Risk and Compliance		
Approved by	CA ANZ Education Board	Date Approved	21 April 2020
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PREAMBLE

Chartered Accountants Australia and New Zealand (**CA ANZ**) monitors candidate progression in order to provide timely intervention and appropriate support, and to ensure that candidates do not incur unnecessary debt.

POLICY INTENT

This Candidate Course Progression Policy and Procedure establishes:

- (a) CA ANZ's standards, definitions, requirements and procedures of satisfactory course progression;
- (b) the roles and responsibilities of CA ANZ staff and candidates in regard to course progression; and
- (c) descriptions of the types of resources and choices that CA ANZ makes available to assist candidates at risk of not achieving or who have not achieved satisfactory course progress.

POLICY

1. SCOPE

When is this policy and procedure relevant?

- 1.1 This document is relevant to CA ANZ's Graduate Diploma of Chartered Accounting (**GradDipCA**) course¹ which forms the academic component of CA ANZ's Chartered Accountants Program (**CA Program**).
- 1.2 This document does not apply to individuals enrolled in non-award studies in CA ANZ's GradDipCA course or a CA ANZ partner pathway.
- 1.3 The policy and procedures set out in this document do not replace or modify procedures or any other responsibilities which may arise under CA ANZ's constitutional documents namely, the CA ANZ Supplemental Royal Charter, By-Laws, Regulations and the NZICA Rules, including the provisions under CA ANZ Regulation *CR5 – Provisional Members* at CR5.11 relating to Duration², which are excluded from the scope of this policy and procedures document, except where stated explicitly as having a direct bearing on the provisions set out in this document.

¹ CA ANZ's Graduate Diploma of Chartered Accounting (GradDipCA) course is a TEQSA accredited higher education course.

² CR5.11 Provisional Member Duration requirements are:

- (a) If a person has been a Provisional Member of CA ANZ for a continuous period of 8 years, they will be automatically resigned from this form of membership.
- (b) If a Provisional Chartered Accountant who has not completed the Chartered Accountants Program has not enrolled in any module for a continuous period of 3 years, they will be automatically resigned from this form of membership.

- 1.4 The policy and procedures set out in this document do not replace or modify procedures or any other responsibilities which may arise under statute or any other law.

Who is covered by this policy?

- 1.5 This document applies to all current CA ANZ CA program candidates who have commenced and are still to complete studies in CA ANZ's GradDipCA course which forms the academic component of CA ANZ's CA Program.
- 1.6 This document applies to CA ANZ, its subsidiaries, affiliates and controlled entities, including the New Zealand Institute of Chartered Accountants (together, the **CA ANZ Group**), defining management requirements at all levels and in all jurisdictions where the CA ANZ Group operates.
- 1.7 This document applies to the CA ANZ Group and all CA ANZ Group employees, contractors, agents and officers (**CA ANZ Group Personnel**).

Who to contact if you are unsure whether this policy and procedure applies to you?

- 1.8 A candidate who is unsure whether this document applies to them should seek advice from CA ANZ Member Support Team. For contact details go to:
<https://www.charteredaccountantsanz.com/contact-us>

2. POLICY

2.1 Principles

The principles guiding this policy reflect CA ANZ's commitment to promoting candidate success and early identification and support for candidates at risk of not achieving or who have not achieved satisfactory course progress.

These principles are as follows:

- (a) all candidates shall be treated fairly and openly;
- (b) all candidates are responsible for their own course progress;
- (c) appropriate learning and other support should be offered to candidates identified as at risk of not achieving satisfactory course progress;
- (d) appropriate information regarding course status should be made available to candidates identified at risk of not achieving or who have not achieved satisfactory course progress;
- (e) the principles of equity, consistency, transparency and procedural fairness underpin CA ANZ's course progression requirements, definitions, and procedure.

2.2 Course Progression Requirements

- (a) A candidate will be regarded as having satisfactorily met the course progression requirements if they:
- have passed at least 50% of all attempted course modules having attempted three (3) or more modules; and
 - have passed an attempted course module within three attempts.
- (b) A candidate who has not met the course progression requirements at 2.2(a) above will be regarded as having not achieved satisfactory course progression.
- (c) A candidate who has met the course progression requirements at 2.2(a) above but who has a pass rate of between 51- 59% of all attempted modules will be regarded as 'at risk' of not achieving satisfactory course progression.
- 2.3 Candidates identified as having not achieved satisfactory course progression as indicated at 2.2(b) above will be normally restricted to enrolling into one module each Term until they have satisfactorily met course progression requirements (see 2.2(a)).

(c) Automatic resignation does not prevent an individual from reapplying to the Board for provisional membership.

- 2.4 Candidates identified with a repeated history of making unsatisfactory course progression may be excluded from their CA Program academic course studies for a period of up to 12 months or have their enrolment cancelled if they have failed more than 85% of modules attempted where number modules attempted is equal to or greater than (\Rightarrow) 10.
- 2.5 CA ANZ may cancel a candidate's enrolment in the CA Program where that candidate has returned from a period from exclusion and continues to make unsatisfactory course progress.
- 2.6 **Assessing and monitoring candidate course progression**
- (a) Reflective of the predominant part-time enrolment of candidates, CA ANZ assesses candidate course progression based on performance in final results for modules over an annual enrolment cycle and is assessed once each year, typically in the December period.
- (b) CA ANZ may also monitor the progression of candidates on an ongoing basis through the academic calendar year consistent with the principles of this policy.
- (c) For the purpose of assessing course progression all Pass and Pass with merit grades are considered to be passing grades and the grade of Fail will be considered a failing grade. Modules currently in progress, with outstanding or pending grades, and/or that are subject to a grade outcome determination in connection with a supplementary examination will be excluded from the assessment. Once resolved, excluded grades will be considered in the normal cycle of course progression assessment and monitoring.
- 2.7 The Course progression support strategies are tabled below and include both:
- (a) pro-active preventative support for candidates who have been identified as 'at risk' of not achieving satisfactory course progression; and
- (b) formal intervention support for candidates who have been identified as having not achieved satisfactory course progression.
- 2.8 In CA ANZ's determining a candidate's intervention stage, recognised applicable special circumstances will be taken into consideration.

Strategy / Stage	Progression status	Intervention Summary
Proactive Pre-Intervention		
Referral	Provided to a candidate who has been identified as: <ul style="list-style-type: none"> - 'at risk' of not achieving satisfactory course progression (see 2.2c above) 	A candidate will receive a notice from CA ANZ advising they have been identified as 'at risk' of not achieving satisfactory course progression.
	May be provided to a candidate as part of ongoing monitoring during the year. For example, if monitoring identifies any candidate has completed 2 or more modules in a term and attained a fail grade in 100% of modules attempted.	This notice will refer the candidate to CA Program's support services that can be used to support study success.
Formal Intervention		
Progression Support	Provided to a candidate who has been identified as either: <ul style="list-style-type: none"> - having not achieved satisfactory course progression (see 2.2a above) except excluded candidates; - having failed the same module after three or more attempts, except excluded candidates. 	A candidate will receive a notice from CA ANZ advising they have been identified as not achieving satisfactory course progression. This notice will include advice that the candidate must limit their enrolment to one module per Term until they have met the course

Strategy / Stage	Progression status	Intervention Summary
		<p>progression requirements at 2.2(a) above.</p> <p>This notice will provide details about the CA Program's support services available to them to support study success.</p>
<p>Exclusion from CA Program course studies for a period of up to 12 months</p> <p>CA ANZ may cancel a candidate's enrolment in the course where that candidate has returned from a period from exclusion and continues to not achieve satisfactory course progress.</p>	<p>May be applied to a candidate who has been identified as either:</p> <ul style="list-style-type: none"> - having failed more than 85% of all modules attempted where number all modules attempted is equal to or greater than 10; and/or - having failed the same module after seven (7) or more attempts. 	<p>A candidate will receive a Notice of Exclusion from CA ANZ advising the reasons for exclusion, the duration of the exclusion (maximum 12 months) and the appeal options.</p> <p>An excluded candidate retains their CA ANZ Provisional Membership entitlement and may continue with the Mentored Practical Experience (MPE) component of the CA Program if they wish to do so.</p> <p>An excluded candidate must reapply to resume their studies in the course available for study at the time that they seek to reenrol.</p> <p>Where a decision to cancel a candidate's enrolment in the course has been upheld following the exhaustion of the CA Program's appeals process the candidate will be referred to CA ANZ's disciplinary body concerning the candidate's Provisional membership entitlement.</p>

3. PROCEDURES

3.1 Communication

- (a) Any candidate identified at Referral, Progression Support or Exclusion (or Cancellation if applicable) stage shall be officially notified in writing by email. All notices will:
- o advise of the reasons for notice and the course progression support strategies available to them to support their study success
 - o include the contact details for the CA Program Candidate Support Service; and
 - o advise the candidate of their rights and responsibilities, including of the availability of the CA Program's [Candidate Complaints, Grievances and Appeals Policy and Procedure](#).
- (b) A notice to any candidate placed on a course status of Exclusion will make clear the reasons for exclusion, the duration of the exclusion (maximum 12 months), appeal options and requirements to be followed to resume studies. This notice shall make clear that an excluded candidate retains their CA ANZ Provisional Membership entitlement and may continue with the Mentored Practical Experience (MPE) component of the CA Program if they wish to do so.
- (c) The notice to any candidate placed on a course status of Cancelled will make clear the reasons for the cancellation, and that as the candidate is no longer eligible to complete the CA Program their provisional membership has been cancelled, and associated appeal options. It will also make clear that where a decision to cancel a candidate's enrolment in the course has been upheld following the exhaustion of the CA Program's

appeals process the candidate will be referred to CA ANZ's disciplinary body concerning the candidate's Provisional membership entitlement.

3.2 Candidate communications, including details of the intervention strategy activated are to be appropriately recorded by the responsible Candidate Support Officer (or their delegate).

3.3 Appeal options

Candidates are able to appeal any decision taken by CA ANZ's CA Program in connection with this Course Progression Policy and Procedures through the CA Program [Grievances, Complaints and Appeals Policy and Procedure](#) (as a stage 2 appeal) within 20 working days of the date of notification of the decision.

3.4 Recording of any course exclusion or cancellation on academic transcript

A candidate who has been excluded from course enrolment for a period of up to 12 months (stage 3) will not have this outcome recorded on their academic transcript.

A candidate who has had their course enrolment cancelled will have this outcome recorded on their academic transcript.

3.5 Resumption of studies after a period of exclusion

A candidate who has been excluded from course enrolment under the provisions in this policy and procedure is required to re-apply for resumption of enrolment once the period of exclusion has concluded as outlined in the candidate's Notice of Exclusion. A candidate resuming studies after a period of exclusion is required to resume their studies in the current version of the course applicable at the time of resuming studies.

An excluded candidate retains their CA ANZ Provisional Membership entitlement and may continue with the Mentored Practical Experience (MPE) component of the CA Program if they wish to do so. Candidates are responsible for managing their own provisional membership and/or MPE requirements. For any candidate queries in relation to provisional membership, candidates are required to contact CA ANZ's Member Support Team service@charteredaccountantsanz.com.

3.6 Intervention support services for candidates

The types of assistance and course progression intervention support services suggested and provided to candidate may vary according to a candidate's individual needs and may include:

- (a) providing academic support advisory services from a senior CA program candidate support services team member (who can provide liaison, information, referral support, and self-directed study plan development support);
- (b) referral to wellbeing supports, including personal counselling support;
- (c) providing accessibility assistance support;
- (d) identification of a relevant CA ANZ's CA Foundation unit to address an assumed knowledge gap (enrolment fees may apply);
- (e) identification of a relevant CA Masterclass for additional study support aligned with the CA Program curriculum that is guided by a CA Program teaching facilitator and available in the form of face to face workshops and interactive webinars (enrolment fees may apply); and/or
- (f) providing linkage to CA ANZ's Indigenous Accountants network (for eligible candidates on request).

4. RESPONSIBLE OFFICER

Group Executives (or their delegate) are responsible for ensuring that Senior Leadership and Management staff in their Division are aware of this document and their responsibilities set out herein.

The Document Owner(s) (or their delegate) are responsible for the effective approval, implementation, maintenance and appropriate communication of this document, including arranging the documents posting to the document register and repository.

Senior Leadership/Management (or their delegate) are responsible for ensuring that employees in their remit are aware of this document and their responsibilities defined herein. Senior Leadership/Management also have the responsibility for:

- determining the extent and type of documentation necessary to effectively manage and control practices, processes and activities in their area of authority; and
- ensuring the responsibilities, authorities and accountabilities of their position are satisfied.

CA ANZ staff and agents are responsible for being aware of and complying with this document.

5. DEFINITIONS

For the purposes of this document the following definitions apply.

Organisation ('the organisation') means *Chartered Accountants Australia and New Zealand (CA ANZ) ABN 50 084 642 571* having its registered office at 33 Erskine St Sydney NSW 2000.

Member means a member of CA ANZ as defined in CA ANZ's constitutional documents namely, CA ANZ Supplemental Royal Charter, By-Laws, Regulations and the NZICA Rules.

Candidate means a CA ANZ registered current candidate of the academic CA ANZ CA Program enrolled in CA ANZ's Graduate Diploma of Chartered Accounting, this being the academic component of the CA Program.

Candidate Support Officer means an employee nominated by the General Manager, Education Content to provide advice in matters of candidate progression and support.

Module also means subject, unit and unit of study.

Program of study refers to the four technical modules and capstone module. This program of study leads to the award of Graduate Diploma of Chartered Accounting for CA ANZ CA Program candidates.

Procedural fairness, also referred to as natural justice, is concerned with the procedures used by the Responsible Officer or decision-maker, rather than the decision reached. Generally, procedural fairness requires decisions to be:

- free from bias or apprehension of bias by the decision-maker;
- rational or based on evidence that is logically capable of supporting the facts;
- providing people likely to be adversely affected by decisions an opportunity to present their case when the issues cannot be presented and decided fairly by written submissions alone and have their response taken into consideration before the decision is made. A candidate presenting their case may be accompanied and assisted by a layperson nominated by the candidate, for example, a family member or friend.

Progression (towards completion) means the progress made by a candidate towards completion of their program of study.

6. RECORDS

Records in association with this policy will be kept in accordance with CA ANZ's *Records Management Procedure* and *Privacy, Data Management and Retention Policy*.

7. RELATED DOCUMENTS

CA ANZ Supplemental Royal Charter, By-Laws, and Regulations (and the NZICA Act 1996 and the NZICA Rules if they apply to the candidate), Privacy, Data Management and Retention-Policy, Document Control Procedure, Records Management Procedure, Privacy Policy, and the CA Program's Candidate Code of Conduct, and Candidate Complaints Grievance and Appeals Policy and Procedure.

These documents can be accessed from the following website locations:

- CA ANZ CA Program Policy website → www.charteredaccountantsanz.com/become-a-member/ca-program-policies

- CA ANZ website. Go to Member Services → www.charteredaccountantsanz.com/member-services/member-obligations
- CA ANZ intranet for staff. Go to caanz.unily.com → Workspaces → Policies.

8. RELATED LEGISLATION AND STANDARDS

Tertiary Education Quality and Standards (TEQSA) Act (C'th), Higher Education Standards Framework (Threshold Standards), Australian Qualifications Framework, TEQSA Guidance Notes for Providers, Global Accounting Alliance (GAA) mutual recognition framework, International Federation of Accountants (IFAC) International Accounting Education Standards, and Tax Practitioners Board (Board) standards for course providers.

Document History				
Date Approved	Date Commencing	Summary of Changes	Version	Date Next Review
15 August 2011	15 August 2011	Document establishment	1.0	August 2016
14 July 2015	14 July 2015	Review and changes authorised by Chartered Accountants ANZ Education Board	2.0	July 2020
9 August 2017	9 August 2017	Review and changes authorised by Chartered Accountants ANZ Education Board	3.0	August 2021
21 April 2020	23 April 2020	Reviewed, updated and retitled. Formerly titled "Candidate Progress and Support Policy"	4.0	April 2023