



CA PROGRAM

Candidate Assessment Review Policy and Procedure

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Document Owner(s)	Head of Education Risk and Compliance		
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POLICY STATEMENT

This document establishes the Chartered Accountants Australia and New Zealand (**CA ANZ**) Chartered Accountants Program (**CA Program**) Candidate Assessment Review Policy and Procedure.

POLICY INTENT

CA ANZ is committed to providing CA Program candidates an education of the highest possible quality and assessing candidates undertaking CA Program studies through transparent, consistent and equitable assessment practices.

CA ANZ aims to assure that grades awarded to candidates reflect the level of attainment and achievement of learning outcomes. However, CA ANZ also recognises that, from time to time, candidates may have legitimate concerns about the result awarded for their assessment task (including exam) result or the final result awarded for their module performance. This document provides the framework and process for the review of academic results awarded in CA ANZ's CA Program.

POLICY

1. SCOPE

Who is covered by this policy?

- 1.1 This document applies to candidates seeking a formal review of an assessment task result or final result for their studies in the Graduate Diploma of Chartered Accounting (**GradDipCA**), which is the academic component of CA ANZ's CA Program.

When is this policy relevant?

- 1.2 It is strongly desired that CA Program candidates and staff take every possible step to satisfactorily resolve queries relating to an assessment task result or final result informally and in a timely manner with the relevant CA Program staff member.
- 1.3 This CA Program Candidate Assessment Review Policy and Procedure is to be used when the informal avenues have been exhausted.
- 1.4 The Assessment Review avenues set out in this document must be exhausted before a candidate may appeal a decision concerning an assessment task result or final result through the CA Program's [Candidate Complaints, Grievances and Appeals Policy and Procedure](#).
- 1.5 This document does not apply to:
- (a) A candidate seeking a remark of an assessment task (including exam).
CA ANZ follows a rigorous assessment marking process, subject to detailed quality control procedures. Due to the number of existing review points and controls within the assessment process, candidates are not entitled to request a remark.

- (b) A candidate seeking assessment feedback.
Candidates will be provided timely feedback on formative assessment to assist in their achievement of module learning outcomes and to self-identify needs for additional support. Seeking feedback is not an Assessment Review process. Assessment feedback provides candidates an opportunity to understand the result awarded with no further action required (refer to *CA Program [Candidate Assessment and Grading Policy and Procedure](#)*).
 - (c) Other academic complaints, grievances or appeals (refer to *CA Program [Candidate Complaints, Grievances and Appeals Policy](#)*).
 - (d) Non-academic complaints, grievances or appeals (refer to *CA Program [Candidate Complaints, Grievances and Appeals Policy](#)*).
 - (e) Requests for physical assistance in completing an assessment (refer to *[CA Program Assistance for Candidates Policy](#)*).
 - (f) Requests for special consideration due to an unforeseen event affecting assessment performance (refer to *[CA Program Assessment and Grading Policy and Procedure](#)*).
- 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**).
- 1.8 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.
- 1.9 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.

2. POLICY

- 2.1 CA ANZ is committed to maintaining quality and rigor within academic assessment marking and final result release processes.
- 2.2 CA ANZ aims to assure that assessment task results and final results awarded to candidates reflect the level of attainment and achievement of learning outcomes. However, CA ANZ also recognises that, from time to time, candidates may have legitimate concerns about the outcomes of an assessment.
- 2.3 The key principle informing this policy and procedure is that awarded assessment task results and final results reflect the candidate's level of attainment of the assessed learning outcomes accurately.
- 2.4 As indicated above, CA ANZ's rigorous assessment marking process is subject to detailed quality control procedures. Due to the number of existing review points and quality controls within the process, candidates are not entitled to request a remark.
- 2.5 CA ANZ recognises that all candidates should have the opportunity to request a review of an assessment task result or final result where there are valid grounds for review and is committed to dealing with all candidates consistently, transparently and equitably, within the scope of this policy and procedure.
- 2.6 CA ANZ may apply fee for Assessment Reviews. Where a mark increases after review, CA ANZ will refund the fee providing that the candidate does not have any outstanding fees to CA ANZ.

3. PROCEDURES

- 3.1 The procedures are designed to ensure that requests for an Assessment Review are dealt with procedural fairness and in a transparent and timely manner.
- 3.2 All parties to an Assessment Review must act in good faith and seek to achieve an amicable resolution. Candidates will not suffer any victimisation, discrimination or reprisals as a result of raising an Assessment Review in good faith. Intimidating, bullying, harassing, threatening or offensive behaviours will not be tolerated from any parties.
- 3.3 Candidates are encouraged to consult the CA Program delivery team for advice prior to requesting and presenting their grounds and supporting evidence for an assessment review. CA Program delivery team Candidate Support staff may assist candidates to address issues that have impacted on their academic performance and to develop strategies intended to improve their performance in the future.

How to lodge a request for an Assessment Review

- 3.4 An application to request an Assessment Review must be made within 15 business days of release of the assessment task result or final result in writing, specifying and substantiating the grounds for the Assessment Review and be lodged by the Candidate on CA Program Assessment Review Form (AR Form) as instructed on the form. This form can be accessed from the CA Program Policy webpage.

Grounds for requesting an Assessment Review

- 3.5 Valid grounds for requesting an Assessment Review:
The only grounds on which a candidate may normally request an Assessment Review are where there were procedural irregularities which had a significant negative impact on the determination of the assessment result. For instance, the candidate can provide evidence of disadvantage in one or more of the following ways:
- a piece of work submitted on time was not marked;
 - alleged wrong advice from staff teaching the course (e.g., about approval of an extension for an assessment); or
 - alleged discrimination, prejudice or bias on the part of the assessor or any other person involved in determining the result awarded.

Claims and allegation must be supported by specific and verifiable examples or evidence.

In exceptional circumstances, other grounds (except those in the list of not valid grounds) will be considered if the GM CA Program (or their delegate) accepts these as reasonable.

- 3.6 The following are not valid grounds for an Assessment Review:
- simple disagreement with the assessment mark or grade awarded;
 - requests to have the assessment examined by a more senior staff member;
 - challenges to
 - the specified learning outcomes of the module or course;
 - the assessment methods for the module or course;
 - the performance standard required to be met to receive a particular result;
 - a study or work/study overload or other personal and medical problems other than those permitted on the basis of accessibility or special consideration (refer to [CA Program Assistance for Candidates Policy](#) or CA Program [Candidate Assessment and Grading Policy and Procedure](#));
 - financial or other implications of not passing the module or course;
 - marks or grades received by other candidates for the assessment task or the module;
 - lack of English language or numeracy proficiency;
 - the amount of work the candidate has done;
 - a penalty imposed on a candidate in accordance with the Regulations, By-Laws, policies and procedures of CA ANZ or CA ANZ's CA Program;
 - the need for additional marks to achieve a higher grade; or

- other grounds to those listed above as not valid grounds considered by the GM CA Program (or their delegate) as not valid.

What happens after lodging a request for review of an assessment result

- 3.7 A submitted Assessment Review Form (AR Form) will be reviewed by the CA Program Delivery Manager (or their delegate) to determine whether there are clearly documented and evidenced grounds for the Assessment Review.
- (a) Where it is determined there are no grounds for an Assessment Review, the candidate will be notified in writing and no further action will be taken.
- Where it is determined there are grounds for an Assessment Review, the candidate will be notified in writing that their Assessment Review will be overseen by an appropriately qualified CA Program academic staff member (**the Responsible Officer**). The responsible officer may designate any CA ANZ staff member to assist with the review investigation and has the option to consider the review independently, in consultation with suitably qualified other officers internal or external to CA ANZ, and/or establish an internal Assessment Appeals Panel to review and decide on the case.
- 3.8 The candidate will be notified in writing of the outcome of their request for Assessment Review and the reason for the decision.
- 3.9 CA ANZ CA Program will make determinations on Assessment Reviews as soon as practicable, however, some cases may not be resolved before teaching commences for the next teaching period.
- 3.10 An Assessment Review may lead to a result (mark or grade) remaining unchanged or going up or down.
- 3.11 Where an Assessment Review decision overturns the previously awarded assessment result, any action required will be initiated promptly, regardless of whether the assessment result is higher or lower than the result originally awarded.
- 3.12 If the grounds for a review are upheld and it is considered that the circumstances may have disadvantaged other candidates within the course, then the General Manager - CA Program will determine whether any further action in respect of these students is required.
- 3.13 Where an Assessment Review decision upholds the original decision, the candidate may exercise their right to appeal under the provisions of the CA ANZ's [CA Program Candidate Complaints, Grievances and Appeals Policy and Procedure](#). Such further appeals must be made within 10 business days of the date of the notification on the outcome of the Assessment Review and will only be considered if there are grounds that the process has not been followed. There will be no further consideration of the academic merits of the case.
- 3.14 A candidate waiting for the outcome of an Assessment Review in relation to a final mark/grade which may impact upon the requisite requirements for further study in the course in the following teaching period must consult with the CA Program Delivery Manager (or their delegate). A candidate's re-enrolment should proceed on the basis that the result will remain unchanged; an enrolment variation can be made later if appropriate. A candidate must be formally enrolled in and eligible to undertake any studies they commence.

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.

CA ANZ's CA Program Delivery Manager (or their delegate) is responsible for overseeing the administration of the procedures herein and ensuring records are maintained, accessed and released consistent with this document.

CA ANZ CA Program nominated Responsible Officer(s) or their delegate (see 3.7 above) are responsible for overseeing and supporting the prompt handling of formally lodged CA Program Candidate Assessment Reviews or Appeals in their remit in a timely manner and in accordance with this document, including ensuring:

- a written notification on the outcomes has been issued to the candidate; and
- all case records that they (or their nominated delegate) have created are provided in a timely manner to CA ANZ's CA Program Delivery Manager (or their delegate).

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.

Assessment Review means a formal application for reconsideration of a decision concerning a CA ANZ CA Program awarded result (mark or grade) for an assessment task (including exam) or a module.

Candidate means a CA ANZ registered current candidate or recent graduate of CA ANZ's GradDipCA course, this being the academic component of CA ANZ's CA Program.

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

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.

6. RECORDS

6.1 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.

6.2 CA ANZ will maintain Assessment Review records as specified in CA ANZ's Records Management Procedure.

Note: Assessment items (including examination scripts) are retained by CA ANZ, if not returned to the candidate, at least 15 business days after result release or until the end of an Assessment Review or any subsequent appeal period, then may be destroyed except records relating to changes to assessment results as a result of moderation, re-marking review or appeal processes which are retained a minimum of 7 years after action completed, then may be destroyed.

6.3 The complainant and/or respondent have the right of supervised access to all documents held by CA ANZ concerning an Assessment Review as specified in the CA ANZ Privacy Policy.

7. CONFIDENTIALITY

7.1 CA ANZ is obliged to maintain records relating to CA Program candidate assessment reviews.

7.2 Information provided by candidates to CA ANZ will be stored confidentially and only used in attempt to resolve the Assessment Review and any related subsequent appeal.

7.3 CA ANZ will not use the information for any other purpose or share it with any other party unless requested by the candidate to do so for the purpose of third-party review, or where the release of information is required by law.

8. 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 webpage → 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”

9. 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
13 March 2018	26 March 2018	Established	1.0	March 2023
16 December 2019	20 December 2019	Retitled (prior titled 'Assessment Appeals Policy' and replaces 'Access to Assessment Material Policy (CAP)'), template transitioned and updated	2.0	December 2022
	11 February 2020	Minor technical amendments	2.1	December 2022
	14 May 2020	Minor technical amendments	2.2	December 2022