

Lodgement of Appeal



Please fill in your **Identification Number**, if known (please use a **BLACK** pen)

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Purpose of this document

This form is to be completed by a candidate who wishes to lodge a formal appeal to the Appeals Subcommittee of the Institute's Education Board as outlined in the Candidate Grievance and Appeals Policy available in the Policies and Regulations section of charteredaccountants.com.au/program and www.nzica.com/Join-us/New-Chartered-Accountants-Program/About-the-new-Program/Regulations-and-Policies.aspx.

It is the candidate's responsibility to ensure they have progressed through all prior stages of the grievance and appeals process as outlined in the Policy before lodging this appeal document (Please refer to page 4).

Please complete **ALL** the sections (1 – 4) below, and return the application with payment, to the Institute of Chartered Accountants Australia and New Zealand Institute of Chartered Accountants (the Institutes) – see page 3 for contact details. **Please print in BLOCK LETTERS.**

Section 1 – Personal details (to be completed by candidate)

Title Mr Mrs Miss Ms Other →

Given name/s (in full) Preferred name

Family name Date of birth / /

Postal address (for Institute to forward response)

State Postcode Country

Email (home)

Phone Mobile

Section 2 – Reasons for appeal

I would like to appeal a decision made by the Chartered Accountants Program in relation to the following item(s) in accordance with 'Item 3' of the 'Candidate Grievance and Appeals Process Guidelines':

Registrations/Enrolments Fee refunds Module Assessments Other

1. Identify the specific element(s) of the above which you are appealing

2. Provide justification for appealing the decision (if insufficient space, please continue on page 2).

2. Provide justification for appealing the decision (continued)

Section 3 – Declaration and Privacy Policy

Privacy Policy (IMPORTANT: Your consent to disclosure)

By providing personal information to us in this form you consent to the Institute:

- (a) Disclosing to third parties your (current or former) status as a member or candidate of the Institute;
- (b) Disclosing to regulators, law enforcement bodies, professional associations and government or statutory bodies the details of any final adverse determinations (including sanctions) in relation to your professional and/or ethical conduct that are made by the Institute's Professional Conduct Tribunal or Appeal Tribunal (or as they may be reconstituted or renamed from time to time); and
- (c) Collecting from third parties information relating to your membership of a trade or professional association or union, your criminal record (if any), your health, religious beliefs or affiliation, racial or ethnic origin and any other sensitive information to the extent that it is reasonably necessary for one more of the functions or activities of the Institute.

We collect, use and disclose your personal information in connection with your application, the management and administration of candidates and/or programs, the provision of products and services and/or to communicate with you.

If you do not provide your personal information, we may be unable to process your application. We may disclose your information to agents, contractors and service providers such as where we outsource functions and to other third parties such as local and international professional bodies, ASIC and other regulators and government bodies. By completing this form, unless you opt-out, you consent to us also using and disclosing your information for promotional and marketing purposes. You can opt-out by contacting us at privacy@charteredaccountants.com.au or on 1300 137 322. We may also have collected information about you from a third party, for instance from other professional bodies with which we have reciprocal arrangements. Your information will also be used and disclosed as set out in the Institute's Privacy Policy, available at www.charteredaccountants.com.au/privacy. It is likely that your personal information will be disclosed to overseas recipients (as provided in our Privacy Policy, including the location of those entities). The Privacy Policy sets out how the Institute handles your personal information including how you can seek to access and correct your information or raise a privacy concern with us and how it will be dealt with as well as details about the disclosure of your information to entities overseas.

I declare that the information I have given in this application is complete, correct and up-to-date.

Applicant's signature

Date

/ /

Section 4 – Payment details

Fee payable: AU\$375

Terms and Conditions

The Institute of Chartered Accountants in Australia does **not accept cash payments**. Payment methods accepted include cheque, EFTPOS and credit cards. A dishonour fee of **\$25** will be charged for each cheque that is not cleared or honoured by the bank or financial institution. By submitting this form to the Institute of Chartered Accountants Australia you acknowledge that you agree to the Terms and Conditions.

Payable by:

- Cheque/Bank draft (payable to the **Institute of Chartered Accountants in Australia**)
- Chartered Accountants Amex
- Amex Visa MasterCard Diners Club

Card number

Expiry date /

Cardholder name

Cardholder signature

Section 5 – Submitting your lodgement form

Please submit your completed form with payment to:

MAIL The Secretary, Appeals Committee
Chartered Accountants Program
Institute of Chartered Accountants in Australia
GPO Box 9985, Sydney NSW 2001

EMAIL assessmarking@charteredaccountants.com.au

OR

If you have used a 'digital signature'
simply click the **submit button**

For further enquiries or additional information please contact the
Chartered Accountants Service Centre on:

EMAIL assessmarking@charteredaccountants.com.au

PHONE **AUSTRALIA** 1300 137 322 **OVERSEAS** +61 2 9290 5660

WEBSITE charteredaccountants.com.au

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New Zealand Institute of Chartered Accountants

Candidate Grievance and Appeals Process Guidelines

1. Introduction

The Institute has a formal appeal process. The Institute's processes and procedures in relation to the Chartered Accountants Program are set out in the Regulations for the Chartered Accountants Program. Should a candidate believe he/she has been treated unfairly or unjustly in terms of the Institute's regulations, processes and procedures then the candidate is entitled to follow the Institute's candidate grievance and appeal process. These guidelines outline a staged process of grievance and appeal for the major program procedures.

2. Summary of candidate grievance and appeal process

Below is the stepped process to follow when lodging an appeal or complaint.



3. Grounds for appeal

Appeals must be lodged using the relevant form and accompanied by fee payment.

An appellant must state the grounds for the appeal. An appellant may not appeal on grounds that challenge the policies or underlying rationale of policies approved by the Institutes.

Any appeal must be submitted in writing within 14 days of the related incident (28 days where the person is resident overseas).

3.1 Applications for registration/enrolment

The criteria that relate to the entry requirements of the Institutes from which appeals may arise are:

3.1.1 Education prerequisites for enrolment in the Chartered Accountants Program

3.1.2 Service eligibility for enrolment in modules

3.1.3 Mentor status.

These applications are assessed against the governing By-Laws, Regulations, and Rules and Policies of the Institute. Applicant/candidates are informed in writing of the outcome of the application and the reasons for the decision if unsuccessful.

3.2 Fee refunds

There is a written discontinuation and refund policy that relates to the percentage of the module fee that is refunded to candidates and the amount retained by the Institutes as an administration charge. If candidates believe the policy has been breached they can appeal the refund amount. This covers candidates who:

3.2.1 Voluntarily discontinue from a module

3.2.2 Are discontinued by the Institute due to failure of a prerequisite module

3.2.3 Have backstop enrolled and are discontinued by the Institute.

3.3 Assessment components of Program modules

This relates to candidates' concerns regarding their module result. There are three components.

3.3.1 Module Assessments

Marking of assessments is subject to detailed quality control procedures. The marking process involves each assessment being individually assessed against the specified criteria for the assessment. Where assessments are computer marked, a detailed testing process is undertaken to ensure the accuracy of the results being generated. For non computer marked assessments, all members of the marking panel meet to determine the criteria against which the assessment is being assessed. Each member of the marking panel then individually marks the same assessment. Once each member of the marking panel has marked the same assessment, the panel discusses the resultant marks and any areas of marking criteria that require further clarification. This process is then repeated until all members of the marking panel have a consistent standard. Each marker is then assigned a batch of assessments to mark. During the marking process, a minimum 20% audit is carried out to ensure ongoing consistency. This involves one of the marking auditors independently assessing a paper without any knowledge of the mark already assigned to the assessments by the original marker. If a discrepancy exists between the original mark and the auditor's mark, both markers review the paper and come to a consensus view. If necessary, a second auditor may be asked to mark the assessment.

3.3.2 Module examination/final assessment

Marking is subject to detailed quality control procedures. Each question is marked separately and follows the same procedure as that outlined in 3.3.1 for Module Assessments. There is a minimum 20% independent audit carried out during the marking process. All script books for borderline fails are independently remarked. As part of this process all marks are re-added and re-checked. Candidates are not entitled to a further remark, however, a candidate who believes he/she has grounds for appeal may do so in accordance with this policy.

It should be noted that a candidate cannot continue in a module while an appeal against a fail result in a prior module is being processed.

4. Notification of Appeals Subcommittee decision

The Subcommittee will provide written notification of their decision to the appellant signed by the Chair within 10 working days of the hearing.

For further details of the composition and terms of reference of this Appeals subcommittee please refer to the Candidate Grievance and Appeals Policy available in the Policies and Regulations section of charteredaccountants.com.au/program.