

Appeals Policy

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"The only way to do great work is to love what you do." - Steve Jobs

Contents

Notice	3
Approval.....	3
Foreword	4
References.....	4
Key terms and definitions for the Appeals Policy:.....	5
Purpose:	7
Policy:.....	7
Procedure:.....	7
Stage 1: The Assessor.....	7
Stage 2: Completes an appeals	7
Stage 3: Submit the appeals form.....	8
Stage 4: Learner and institution engagement.....	9
Process for Assessors and Moderators:	9
Annexure A: Appeals Form	10
Annexure B: Appeals Process (Failed).....	11

Notice

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Approval

The signatories hereof, being duly authorised thereto, by their signatures hereto authorise the execution of the work detailed herein, or confirm their acceptance of the contents hereof and authorise the implementation/adoption thereof, as the case may be, for and on behalf of the parties represented by them.

CEO

Date

Foreword

This document serves as a vital component of our commitment to providing high-quality education and training in the automotive sector. It should be read in the context of our comprehensive Quality Management System (QMS), which aligns with our organization's core business principles and values.

Quality is at the heart of everything we do at KATS, and this policy is an essential guide to our approach in achieving and maintaining excellence in education and training. It applies to all KATS employees and management, serving as a valuable resource for both action and information.

Our dedication to quality assurance is a reflection of our mission and vision, and this policy outlines our commitment to continuous improvement through self-evaluation and action planning. It underscores the importance of quality in all aspects of our institution and emphasizes our collective responsibility in upholding these standards.

As we embark on this journey of quality assurance together, we encourage every member of the KATS family to engage with this policy, contribute to its implementation, and embrace our shared commitment to delivering the highest standards of education and training.

Thank you for your dedication to quality and let us continue striving for excellence in all that we do.

References

KATS-eQAP-001.VI

Key terms and definitions for the Appeals Policy:

1. **Appeals Policy:** The formal document outlining the procedures and guidelines for learners, assessors, and moderators to challenge assessment-related decisions or violations of principles of assessment.
2. **Learner:** An individual enrolled in an educational program or course, subject to the principles and practices of assessment outlined in the Appeals Policy.
3. **Assessor:** A qualified individual responsible for planning, conducting, and evaluating assessments, as per the principles defined in the Appeals Policy.
4. **Moderator:** A certified individual appointed to oversee and verify the assessment process, ensuring adherence to the Appeals Policy.
5. **Principles of Assessment:** The fundamental guidelines and standards that govern the assessment process, including fairness, validity, reliability, and transparency.
6. **Rights:** The entitlements and privileges granted to learners, assessors, and moderators as stipulated by the educational institution and the Appeals Policy.
7. **Appeals Procedure:** A detailed and structured set of steps and actions to be followed when initiating an appeal, including stages, timeframes, and responsible parties.
8. **Institute:** The educational organization responsible for implementing and adhering to the Appeals Policy.
9. **Internal Verifier:** A designated individual within the institution responsible for reviewing and investigating appeals filed by learners, assessors, or moderators.
10. **External Verifier:** A third-party entity, often affiliated with a SETA or recognized by SAQA, called upon to provide an impartial and final decision on appeals when internal resolution processes have been exhausted.
11. **SETA (Sector Education and Training Authority):** A statutory body in South Africa responsible for promoting skills development and quality assurance within specific economic sectors.
12. **QCTO (Quality Council for Trades and Occupations) or merSETA (Sector Education and Training Authority):** Governing bodies involved in the quality assurance of education and training in South Africa, depending on the specific industry or sector.
13. **MANCO (Management Committee):** The senior management team within the institution responsible for overseeing the implementation of the Appeals Policy.
14. **Annexure E: Appeals Form:** A supplementary document attached to the Appeals Policy, containing the necessary forms and information required for initiating an appeal.
15. **Transparency:** The quality of the appeals process being open, clear, and easily understandable to all stakeholders involved, ensuring that all parties have access to relevant information and decisions.
16. **Fairness:** The equitable and just treatment of learners, assessors, and moderators throughout the appeals process, without bias or discrimination.
17. **Validity:** The degree to which assessment-related decisions align with the intended purpose and objectives of the assessment process, as specified in the Appeals Policy.
18. **Reliability:** The consistency and accuracy of assessment-related decisions, ensuring that they can be replicated under similar conditions as outlined in the Appeals Policy.
19. **CCMA (Commission for Conciliation, Mediation and Arbitration):** An independent dispute resolution body in South Africa that may be involved in cases related to appeals and conflicts in the educational context.

20. **SAQA (South African Qualifications Authority):** The statutory body responsible for overseeing the National Qualifications Framework (NQF) in South Africa, ensuring the quality and standards of qualifications.
21. **ETQA (Education and Training Quality Assurance Body):** Organizations responsible for monitoring and auditing the quality of education and training providers against specified quality assurance standards and criteria.

Purpose:

The Appeals Policy serves to establish clear procedures for learners, assessors, and moderators to initiate appeals when they believe their rights or the principles of assessment have been violated. It ensures transparency, fairness, and the right to appeal within the educational process.

Policy:

Every learner, assessor, or moderator is entitled to file an appeal if they feel their rights as a participant in the assessment process or any principles of assessment have been compromised. The institution is committed to maintaining a procedure for appeals, clearly outlined in the Appeals Procedure, which all stakeholders must be familiar with. Each appeal will be thoroughly investigated, as specified in the Appeals Procedure.

Procedure:

Stage 1: The Assessor

1. The learner notifies the assessor, typically the program lecturer, of their intent to appeal.
2. The assessor makes an effort to assist the learner.
3. If the learner remains dissatisfied with the outcome, they can proceed to stage 2. The learner is given a 2-day timeframe to respond.

Stage 2: Completes an appeals

1. The learner completes an appeals form and submits it in a sealed envelope, obtainable from the reception to the course moderator.
2. The institution's secretary receives the sealed appeals form and forwards it to the course moderator.
3. Within 7 days of receiving the appeal, the moderator conducts a comprehensive investigation:

Upon receipt of an appeal, the appointed moderator plays a pivotal role in the process by undertaking a thorough investigation within a specified timeframe. This investigation is crucial to ensure that the appeal is handled diligently and fairly, in accordance with the Appeals Policy. Here is an expanded explanation of the various components of the moderator's investigative process:

- **Meeting with the Assessor:** The moderator initiates a meeting with the assessor involved in the assessment process under scrutiny. This meeting serves as an opportunity to gather insights and perspectives from the assessor regarding the circumstances leading to the appeal. It allows for a detailed examination of the assessment criteria, methods employed, and the rationale behind the assessment decision.
- **Meeting with the Learner:** Equally important is the moderator's meeting with the learner who initiated the appeal. During this interaction, the learner can provide their account of the assessment process, identify specific concerns or grievances, and offer any evidence or documentation supporting their appeal.

The moderator's engagement with the learner ensures that their perspective is thoroughly considered in the investigation.

- **Reviewing Assessment-Related Policies:** To establish the compliance of the assessment process with institutional policies and external quality assurance standards, the moderator conducts a comprehensive review of assessment-related policies. This entails a detailed examination of the institution's assessment policy, procedures, and any relevant guidelines or frameworks set forth by regulatory bodies such as ETQA (Education and Training Quality Assurance Body) or SAQA (South African Qualifications Authority). This review helps to assess whether the assessment process adheres to established principles and standards.
- **Seeking Guidance and Clarification from ETQA:** In cases where complexities or ambiguities arise during the investigation, the moderator may seek guidance and clarification from the ETQA (Education and Training Quality Assurance Body). ETQA serves as a recognized authority in matters related to assessment quality and standards. Contacting ETQA can provide valuable insights, interpretations, or guidance on specific assessment-related issues that require further clarification.
- **Contacting the Academic Head of the Institution:** As part of the investigative process, the moderator may also contact the academic head of the educational institution. This step is taken to ensure alignment with the institution's academic standards and practices. The academic head's input can shed light on the broader institutional context, any exceptional circumstances, or specific institutional policies that may have influenced the assessment process. It adds an additional layer of oversight to the investigation, contributing to a more holistic understanding of the situation.

The moderator's comprehensive investigation, which encompasses meetings with key stakeholders, policy reviews, and external guidance, is instrumental in evaluating the validity and fairness of the assessment decision being appealed. It ensures that all relevant information is considered and that the appeals process maintains its integrity and transparency as outlined in the Appeals Policy. The moderator's findings and subsequent actions play a pivotal role in achieving a just and equitable resolution to the appeal.

4. The moderator responds in writing to the learner.
5. If the learner remains unsatisfied, they may proceed to stage 3.

Stage 3: Submit the appeals form

1. The learner submits the appeals form, moderator's report, along with a detailed letter and explanation in a sealed envelope, available at the reception, to the internal verifier.
2. The institution's secretary receives the sealed appeals form and forwards it to the internal verifier.
3. Within 14 days of receiving the appeal, the verifier conducts a comprehensive investigation, which may include:
 - Meeting with the learner or both the learner and assessor, as required.
4. The learner receives a written response detailing the decision.

5. This decision marks the final stage in the internal appeals process. If the learner remains dissatisfied, they may proceed to stage 4.

Stage 4: Learner and institution engagement

1. The learner communicates their dissatisfaction and provides reasons for further action in writing to the internal verifier.
2. The institution engages with SETA to involve an external verifier for assistance.
3. The external verifier's decision is considered final.
4. External verification timelines may vary based on SETA availability and, as such, cannot be predetermined.

Process for Assessors and Moderators:

Stage 1: The assessor or moderator initiates an appeal with the Regional Offices' Quality Assurance Manager.

Stage 2: If the assessor or moderator's appeal remains unresolved, it can be escalated to the Senior Quality Assurance Executive Manager at Head Office, who is part of MANCO.

Stage 3: If the query persists without resolution, it will be escalated to the Chief Executive Officers of QCTO/merSETA.

Stage 4: As a last resort, if no resolution is achieved, the query will be referred to the Members of the relevant Boards of QCTO/merSETA. See annexure B.

Annexure E: Appeals Form can also be found as part of the Quality Management Manual (QMM).

Please note that the external verifier's decision is considered final, and timelines for external verification may vary based on SETA availability.

Annexure A: Appeals Form

Date:

Name of Assessor.....

Assessor License Number.....

Nature and reasons for appeal

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Learner

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Manager

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Moderator

Annexure B: Appeals Process (Failed)

