



**inseta**  
INSURANCE SECTOR EDUCATION  
AND TRAINING AUTHORITY

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## Appeals Policy

<b>Status:</b>	Approved
<b>Custodian:</b>	INSQA Manager
<b>Decision Date:</b>	12 March 2014
<b>Decision Number:</b>	014/14
<b>Review Date:</b>	March 2015
<b>Version Number:</b>	QA/EPL004/vs2/2014
<b>Amendment Date:</b>	

## **1. INTRODUCTION**

INSQA (The Insurance Sector Quality Authority) is dedicated to supporting the transformation imperatives of the nation and promoting the objectives of the National Qualifications Framework (NQF).

INSETA, as delegated by the Quality Council for Trades and Occupations (QCTO), is responsible for the quality assurance of Training Providers implementing learning provision against Insurance and related financial services qualifications and unit standards, registered on the National Qualifications Framework (NQF).

## **2. PURPOSE**

The purpose of the Appeals Policy is to ensure that all parties are offered a fair opportunity to state their dispute, with quality assurance activities or findings, based on documented evidence.

## **3. POLICY STATEMENT**

This Policy is aimed at providing a formal channel between stakeholders and Insurance Sector Quality Assurance Body (INSQA) with regard to formally resolving disputes.

## **4. PROCEDURE**

- 4.1 Appeals and supporting evidence must be submitted to the INSQA Manager within seven (7) calendar days of receipt of the contested quality assurance report/feedback.
- 4.2 Appeals must be completed comprehensively, using the prescribed Appeals Application Form;
- 4.3 The INSQA Manager will pre-evaluate the appeal and constitute an Appeals Panel to consider the appeal, within fourteen (14) calendar days.
- 4.4 The Appeals Panel will consist of no less than three people and the initial report/feedback, the appeal and the relevant Quality Assurance Policy, Guideline or Criteria are evaluated with evidence to determine the outcome of the appeal.

## **5. EXCLUSION**

- 5.1 A provider may not appeal against the right and obligation of INSQA to evaluate a programme, but only against the procedural fairness in terms of the Promotion of Administrative Justice Act No. 3 of 2000 s3(2,3);
- 5.2 Disputes between providers, assessors and moderators and Learners' Internal Appeals, must be managed in accordance with the Providers Quality Management System and Appeals Policy.

## 6. CRITERIA FOR APPEAL

Appeals are only processed if:

- 6.1 The Appeals Application Form has been completed in full;
- 6.2 There is supporting evidence attached to the Appeal Application Form; and
- 6.3 the appeal timeline has not expired;

It is the discretion of INSQA, to consider an appeal once the formal appeal application timeframe has expired and no precedent can be asserted by this action.

The appeal must relate to a:

- Accreditation Report and/or Learning Programme Application Report
  - (Memorandum of Understanding with Primary SETA and Extension of Scope);
- Monitoring Report;
- Verification Report; or
- Assessor/ moderator application outcome.

## 7. NON-COMPLIANT APPEALS

- 7.1 Appeals must relate to a report or official INSQA feedback, to a specific note within the report/official INSQA feedback, and have sufficient evidence, not narrative to support the appeal; and
- 7.2 Appeals submitted outside of the formal written appeals process, and within the agreed timeframes, will be rejected E.g. Verbal, Hearsay or not submitted to the QA Manager).
- 7.3 Generic complaints will not be accepted, only specific examples relating to a report, based on criteria will be considered through the appeals mechanism.

## 8. APPEAL OUTCOMES

An appeal can have the following four outcomes:

- 8.1 The appeal is upheld, in which case the person who lodged the appeal is informed that their appeal is noted and that their recommendation is acknowledged and will be the decision of the Appeals panel;
- 8.2 The appeal is upheld, however the Appeals panel have noted through the evidence that a new recommendation is suggested, which should then be implemented;
- 8.3 The appeal is not upheld and the original decision as per the report / Official INSQA feedback stands. In this case, the original time line to meet the

requirements goes back into effect or may be extended at the recommendation of the Appeals Panel;

8.4 New evidence has been supplied by the organisation or individual and as such the appeal is no longer considered; however, remedial opportunities are presented for the report and consideration, at the sole discretion of the INSQA. The right to appeal however is no longer available, at this point, as additional evidence is supplied that was not supplied to the INSQA before.

## **9. DISCIPLINARY AND FURTHER ACTION**

If the External Stakeholder or the INSQA personnel are found to have deliberately acted in a manner which is fraudulent or have presented evidence which is fraudulent then they can be disciplined as part of the disciplinary processes of the INSQA and will be reported to the CEO of the INSETA and the regulatory body (if relevant).

In the event that the appeal is not satisfactorily concluded by the INSQA, the appellant may then appeal to the QCTO.

## **10. REVIEW**

An annual review will be undertaken by INSQA to verify the ongoing suitability of divisional policies and procedures.

## ADDENDUM: INSQA APPEAL APPLICATION FORM

### Personal Details:

Name of person appealing	
Organisation name	
Contact number	
Contact e-mail	
Date of appeal	

### Appeal Type:

Please tick next to the report type you are appealing		Date of report	
• Accreditation/ Programme Approval		Section and page number of report appealing	
• Monitoring Report			
• Verification Report			
• Assessor/ Moderator Registration decision			
• Other (please describe)			
Report completed by: (ETQA representative name)			
Narrative of appeal:			
Evidence to support the appeal:			
Signature		Date	

Appeals Application Forms to be submitted to and received by the QA Manager by the latest seven (7) calendar days, via email, fax, post or hand delivered.

**Office use only:**

Date received:
ETQA panel review scheduled for:
ETQA panel members: 1) 2) 3)
ETQA panel outcome:
Decision communicated to appellant on and by: