



Disciplinary Assessor – Role and Responsibilities

Nature and scope of the role

The independent panel of disciplinary assessors comprises individuals with a wide range of expertise, including but not limited to accountancy and law. As arm's length decision makers in the disciplinary process, the disciplinary assessors play an integral role in assisting ACCA in providing robust, swift, fair and independent regulation in the public interest.

Please see **Guide for candidates** for further information.

Key responsibilities:

- to act in the public interest
- consider investigation reports, evidence and disciplinary allegations referred by ACCA's Investigations department, and deciding whether there is a case to answer; if so, whether to refer it to ACCA's Disciplinary Committee or to rest the matter on file
- draft clear and well - reasoned decisions for each case considered
- work within a clear timescale to achieve an efficient throughput of cases
- review decisions of the Investigations department to close an investigation or to rest on file, when requested
- to maintain own personal development and to undertake training provided by ACCA.

Disciplinary assessors are expected to receive, on average, approximately 18 - 20 cases per year for review. The majority of cases are expected to take three to five hours to review.

Disciplinary assessors have the power to seek legal or technical advice and may direct that further enquiries should be made of the parties by ACCA. However, assessors have independent decision-making responsibilities.

Person specification:

- proven and significant experience in making challenging and evidence-based decisions ideally within a regulatory framework and/or applying guidelines, policies and procedures.
- ability to quickly analyse and interrogate a large volume of written evidence and assimilate complex facts and arguments within a legal framework
- a high level of ability in writing clear, concise and adequate reasons for decisions that are equally appropriate for members, complainants and/or a lay person. Your decisions should be capable of withstanding external scrutiny
- ability to make impartial and proportionate decisions, with the ability to remain independent and objective at all times.
- ability to work constructively with others, and alone to tight timescales. Making decisions on an individual basis, while recognising circumstances in which assistance should be sought
- a flexible approach to your work and be adaptable to changes in procedures and processes
- a clear understanding of what the public interest entails in the context of professional regulation

- proficient in IT systems, such as MS Word, Excel, Outlook, SharePoint and Teams
- an understanding of Data Security and the importance of maintaining confidentiality at all times
- a willingness to engage with the organisation and participate in feedback and sharing of best practice.

Applications from former ACCA employees and independent members of ACCA Boards and Committees shall not be considered unless a period of six years has elapsed since their employment or contract for services ceased.

Please see the **core competencies framework** which will be used as a basis to assess applications and the on-going performance assessments of successful candidates.