



CA Zambia

Practical Training Experience

Yearly/Half yearly

Assessment Form

INSTRUCTIONS FOR USING THIS TEMPLATE

This template includes all the Technical and non-technical Competencies of the CA Zambia training programme.

COMPLETION REQUIREMENTS

1. COMPETENCIES

Delete the Technical Competency areas that are NOT applicable to the trainee's training programme. No changes should be made to the Non-technical Competency areas.

Once this is done, you have the yearly or six months assessment template to be used in the organisation for trainees.

2. TIMING

The yearly or six months assessment form should be completed once every year or every six (6) months for trainees undertaking one year of practical training. Trainees should complete the assessment form timeously after each period (it is suggested that the form should be completed within one (1) week after the Competency Review Form for that Quarter has been signed off and dated by both the Mentor and the trainee at the end of the year).

3. TRANSFER OF RATINGS AND COMPETENCE LEVEL FROM CRF

Please transfer the overall rating against a particular task and competence level from the Competency Review Forms (CRF) onto this assessment form. Where the rating is below 4, the mentor should indicate in the comments column the needs assessment that the trainee should work on in order to attain the rating of 4.

4. TRANSFER OF COMPETENCIES ACHIEVED TO THE LOGBOOK

Where the ratings of tasks under a particular competency are all rated 4 and the competency levels are all at least at intermediate level, then the trainee has demonstrated competency in that competency and should be transferred to the Logbook and signed off.

NB: for a candidate to demonstrate competency, the tasks performed under that competency should be, as a minimum, at the intermediate level i.e. level 2.

Please note: for candidates to attain a level 2 (intermediate level) they should carry out work tasks that are characterized by moderate levels of ambiguity, complexity, and uncertainty. Thus they are expected to be working as part of a team and carrying out some tasks independently, being responsible for the quality of own work. Exercises judgement within established parameters.

To attain a level 3 (advanced level), candidates should carry out work tasks that are characterized by high levels of ambiguity, complexity, and uncertainty. Thus they are expected to be managing their own work and being responsible for the quality and quantity of the work they do. Exercises professional judgement.

5. SIGNING OFF

The **trainee** must complete the sign off cover page for the document, indicating the relevant period of their training contract, either First Year, Second Year or Third Year. Trainees who get 1 year exemption should indicate the relevant training period starting in year 2 while those that get 2 years exemption should be indicating the training period as year 3.

The **Mentor** must then complete the assessment form by indicating the needs assessment that the trainee should work on in order to attain the rating of 4 where the rating of a particular task is below 4.

The Assessment Form must be signed off and dated by **both the Mentor and the trainee**.

SIGN OFF COVER PAGE

This sign off indicates that both the trainee and the mentor agree with the contents of this document.

To be completed by the trainee. Delete period not applicable (yearly or six months)

Trainee name:					
Period of training contract:	YR 1		YR 2		YR 3
Start date of (year/six months):			End date of (year/six months):		
Total time spent during the (year/six months) (in days)					
Date when form is completed & submitted to Mentor					
Date of sign off					
Trainee signature					

To be completed by the Mentor:

Mentor's name:	
Date on when this form is received from the trainee	
Date when Mentor completes the form	
Mentor's signature:	

TECHNICAL COMPETENCIES

Please transfer the rating against a particular task from the Competency Review Forms (CRF). Where the rating is below 4, the mentor should indicate in the comments column the needs assessment that the trainee should work on in order to attain the rating of 4.

1.0 FINANCIAL ACCOUNTING AND REPORTING

COMPETENCY: FAR 1 - Apply accounting principles to record and account for financial transactions and events				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
FAR 1.1	Evaluates source documentation and information			
FAR 1.2	Evaluates and accounts for transactions and events using applicable accounting principles and International Financial Reporting Standards (IFRSs) or other relevant standards			
FAR 1.3	Prepares reconciliations of financial information, such as bank reconciliations, payables reconciliations, receivables reconciliations and other general ledger reconciliations			
FAR 1.4	Prepares an extended Trial balance			

COMPETENCY: FAR 2 - Evaluate the appropriateness of accounting policies and frameworks				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
FAR 2.1	Evaluates the appropriateness of the accounting framework based on the entity's financial reporting needs			
FAR 2.2	Evaluates accounting policies in accordance with the appropriate accounting framework			

COMPETENCY: FAR 3 - Prepares or evaluates financial statements and accompanying notes				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
FAR 3.1	Prepares or evaluates financial statements for single entities or for groups in accordance with the IFRSs or other relevant standards			
FAR 3.2	Prepares or evaluates notes to the financial statements for single entities or for groups in accordance with the IFRSs or other relevant standards			
FAR 3.3	Prepares or evaluates the non-financial information in the annual financial statements, for example Directors' Report, Corporate Governance Report, Sustainability Report etc.			

COMPETENCY: FAR 4 - Analyse and interpret financial statements and non-financial information (such as sustainability report) for entities				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
FAR 4.1	Calculates the profitability, liquidity, efficiency (activity) and solvency ratios			
FAR 4.2	Based on the ratios calculated in FAR 4.1, evaluates the performance, efficiency (activity), solvency and liquidity ratios from the financial statements and non-financial information			

2.0 AUDIT AND ASSURANCE

COMPETENCY: AA 1 - Evaluate the legal, regulatory, technical, professional and ethical issues involved with audit and assurance engagements				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
AA 1.1	Advises on the technical, professional, and ethical issues that may arise during audit and assurance engagements			
AA 1.2	Evaluates extent of legal liability including criminal and civil law liability and professional negligence issues and how they can be mitigated			

COMPETENCY: AA 2 - Apply best practice in acceptance of audit and assurance engagement				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
AA 2.1	Analyses the legal, professional and ethical issues during the acceptance of audit and assurance engagements			
AA 2.2	Analyses the potential issues that determine the nature, scope and extent of an audit or assurance engagement			
AA 2.3	Evaluates the considerations for an auditor of risk issues identified prior to accepting an engagement			
AA 2.4	Drafts or evaluates an appropriate engagement letter based on the engagement terms including those agreed with a client and those imposed by laws and regulations			

COMPETENCY: AA 3 - Apply best practice in management of audit and assurance engagement				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
AA 3.1	Plans resource needs of an audit or assurance engagement			
AA 3.2	Evaluates appropriate quality control measures at firm level and during the course of an audit or assurance engagement.			
AA 3.3	Evaluates the extent to which audit and assurance functions of a client can be used or relied upon.			
AA 3.4	Evaluates appropriate monitoring and review procedures to effectively manage an audit or assurance engagement.			

COMPETENCY: AA 4 - Plan audit and assurance assignments				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
AA 4.1	Obtains understanding of the client's business and environment and documents this information			
AA 4.2	Obtains understanding of the client's internal controls and documents the internal controls			
AA 4.3	Applies analytical procedures used to plan an audit or assurance engagement			
AA 4.4	Evaluates and communicates the audit risks i.e. inherent risk, control risk, and detection risk			

AA 4.5	Evaluates the appropriateness of the going concern assumption			
AA 4.6	Evaluates the client's business risks			
AA 4.7	Evaluates the risk of material misstatement at an overall financial statement level			
AA 4.8	Evaluate the risk of material misstatement at the assertion level for classes of transactions, account balances and disclosures			
AA 4.9	Evaluates the risks arising from accounting manipulation, error, fraud or other irregularities			
AA 4.10	Identifies and evaluates factors that affect the planning materiality			
AA 4.11	Calculates and documents the level of planning materiality for an audit engagement			
AA 4.12	Designs or selects appropriate tests of internal control, including the determination of sample sizes and methods of selection			
AA 4.13	Designs or selects appropriate substantive tests of detail, including the determination of sample sizes and methods of selection			
AA 4.14	Designs or selects appropriate substantive analytical review procedures			
AA 4.15	Evaluates the need to use Computer assisted audit techniques to gather suitable audit evidence.			
AA 4.16	Drafts or evaluates an audit plan with justifications of judgements made for an audit or assurance engagement.			

COMPETENCY: AA 5 - Execute audit and assurance assignments				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
AA 5.1	Performs the planned tests of internal control and document the evidence			
AA 5.2	Performs the planned substantive tests of detail and document the evidence			
AA 5.3	Performs the planned substantive analytical review procedures and document the evidence			
AA 5.4	Evaluates the internal controls and procedures			

COMPETENCY: AA 6 - Conclude and report on audit and assurance assignments				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
AA 6.1	Evaluates evidence and results of the tests and analysis			
AA 6.2	Prepares report and communicates with management, directors and those charged with governance on issues identified during the audit assignment			
AA 6.3	Performs a subsequent events review to identify subsequent events that may require adjustment or disclosure			
AA 6.4	Evaluates the management representation letter and recommends modifications where applicable.			
AA 6.5	Evaluates the appropriateness of the going concern assumption			
AA 6.6	Drafts appropriate audit or assurance report in accordance with the local law and international standards on auditing			

3.0 TAXATION

COMPETENCY: TA 1 - Calculates or evaluates the income tax payable by an individual and prepare or evaluates income tax returns for submission ZRA in compliance with the requirements of legislation.				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
TA 1.1	Evaluates taxable and exempt income for an individual or company			
TA 1.2	Evaluates allowable deductions as per the relevant legislation			
TA 1.3	Calculates the income tax payable by an individual			
TA 1.4	Prepares or evaluates income tax returns			
TA 1.5	Submits the returns on time to ZRA			

COMPETENCY: TA 2 - Calculates or evaluates the income tax payable by legal entities and prepare or evaluates income tax returns for submission ZRA in compliance with the requirements of legislation				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
TA 2.1	Evaluates type of legal entity i.e. whether private, public, farming etc.			
TA 2.2	Evaluates taxable and exempt income for the legal entity			
TA 2.3	Evaluates allowable deductions for the entity as per the relevant legislation			
TA 2.4	Calculates the income tax payable by the entity			
TA 2.5	Prepares or evaluates income tax returns			
TA 2.6	Submits the returns on time to ZRA			

COMPETENCY: TA 3 - Calculates other taxes payable (such as VAT, Customs Duty, and Property Transfer Tax etc.) and prepare appropriate statutory returns for submission to ZRA in compliance with the requirements of legislation				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
TA 3.1	Identifies and calculates deductions for other taxes as per the relevant legislation			
TA 3.2	Calculates the tax liability			
TA 3.3	Completes appropriate statutory returns for submission to ZRA			
TA 3.4	Submits the returns on time to ZRA			

COMPETENCY: TA 4 - Advise on the taxation implications of various financial arrangements that could be made by individuals or legal entities				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
TA 4.1	Evaluates the tax law on financial instruments			
TA 4.2	Advices on the taxation implications of various financial instruments that could be made by individual and legal entities			

COMPETENCY: TA 5 - Advise Zambian individuals and legal entities on international dimensions relevant to their taxation circumstances				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
TA 5.1	Evaluates the tax circumstances on an individual or legal entity			
TA 5.2	Assesses the liability to tax on international dimensions taking into account, liability to tax on foreign transactions, applicable treaty agreements, double taxation relief, tax anti-avoidance rules			

COMPETENCY: TA 6 - Advises on appropriate tax planning issues for individuals and legal entities				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
TA 6.1	Makes appropriate recommendations on the measures to minimise or defer tax liabilities for individuals and legal entities			

4.0 MANAGEMENT ACCOUNTING

COMPETENCY: MA 1 - Apply appropriate costing methods				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
MA 1.1	Records costs for labour, material and overheads			
MA 1.2	Performs cost classification			
MA 1.3	Applies different costing methods to ascertain the cost products and services, including inventory valuation methods			

COMPETENCY: MA 2 - Apply costing techniques to support management decision making				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
MA 2.1	Applies appropriate costing techniques to analyze cost behaviour and the drivers of costs			
MA 2.2	Performs cost volume profit and break even analyses using both numerical and graphical techniques to provide relevant information for management decision making.			
MA 2.3	Analyses non-financial data to provide relevant information for management decision making.			
MA 2.4	Makes recommendations on business decisions, e.g. make or buy, introduction or discontinuation of a business line, acceptance or rejection of a project, etc.			
MA 2.5	Prepares and presents reports to support management decision making			

COMPETENCY: MA 3 - Apply managerial budgetary control systems				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
MA 3.1	Evaluates the different types of budgets that may be employed in organisations			
MA 3.2	Prepares or evaluates the budget using the specific organisation process			
MA 3.3	Applies flexible budgeting techniques to a given scenario			
MA 3.4	Compares and analyses the actual results against the budget (i.e. performs variance analysis)			
MA 3.5	Prepares variance reports and advises management on the outcomes of the variance analysis			

COMPETENCY: MA 4 - Advise management on suitable product or service pricing				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
MA 4.1	Calculates product and service prices using different costing methods			
MA 4.2	Advices management upon suitable pricing strategies			

COMPETENCY: MA 5 - Evaluate the performance of products and business segments				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
MA 5.1	Evaluate appropriate performance measures to support strategic decisions, or entity management decisions, or divisional management decisions			
MA 5.2	Evaluates suitable monitoring and control mechanisms on strategic performance choice, or entity performance choice, or divisional performance choice.			
MA 5.3	Evaluates IT and human resources to support performance management			
MA 5.4	Prepares and presents performance management reports			

5.0 FINANCIAL MANAGEMENT

COMPETENCY: FM 1 - Evaluate financing options for an organisation				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
FM 1.1	Identifies and selects sources of finance taking into account company policy and business strategy			
FM 1.2	Evaluates the costs of different financing methods			
FM 1.3	Evaluates a financial proposal or a business plan			
FM 1.4	Based on the evaluation in FM 1.2 and 1.3 above, advises on the suitable financing method			

COMPETENCY: FM 2 - Appraise investments				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
FM 2.1	Assesses appropriate investment appraisal techniques based on a given business scenario			
FM 2.2	Assesses appropriate discount factors or rates used to undertake an investment appraisal based on a given business scenario, data and information.			
FM 2.3	Applies the investment appraisal methods taking into account inflation and tax			
FM 2.4	Assesses other factors that need to be considered beyond basic investment appraisal analysis, such as assessment of risks, limitation of data, non-financial factors etc			

FM 2.5	Advises on the results of the investment appraisal analysis			
FM 2.6	Calculates and drafts an optional investment plan in situations where there are capital restrictions and limitations			

COMPETENCY: FM 3 - Advise on appropriate financial risk strategies				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
FM 3.1	Evaluates the financial risks of an organisation			
FM 3.2	Evaluates the financial instruments that may be used to manage the organisation's risks			
FM 3.3	Recommends the appropriate financial risk strategies			

COMPETENCY: FM 4 - Prepares business valuations				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
FM 4.1	Calculates a valuation based on income, cash flow or asset bases			
FM 4.2	Performs a sensitivity analysis on the assumptions used in the valuation model to			
FM 4.3	Presents the valuations and other factors (estimates and assumptions) impacting on the valuation			

COMPETENCY: FM 5 - Appraise working capital requirements				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
FM 5.1	Evaluates an organisation's working capital position or components of it such as cash, inventory, accounts receivable or accounts payable etc.			
FM 5.2	Based on the evaluation in FM 5.1 above, recommends improvements or appropriate working capital requirements			

6.0 STRATEGIC BUSINESS ANALYSIS

COMPETENCY: SBA 1 - Advise on the formulation of a business strategy				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
SBA 1.1	Analyses the organisation's mission, vision and objectives			
SBA 1.2	Analyses the organisation's Strengths and weakness			
SBA 1.3	Analyses the organisation's opportunities and threats			
SBA 1.4	Based on the analysis above, advises on the formulation of a suitable business strategy			

COMPETENCY: SBA 2 - Advise on the appropriate good corporate governance principles				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
SBA 2.1	Assesses the governance structure and its impact on the organisational objectives			
SBA 2.2	Assesses the tenants of good corporate governance for an organisation			
SBA 2.3	Advises on the appropriate governance structure and principles			

COMPETENCY: SBA 3 - Advise on the appropriate risk management strategies				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
SBA 3.1	Assesses the business risks of an organisation and their impact upon the objectives			
SBA 3.2	Evaluates the measures that may be used to manage the business risks			
SBA 3.3	Recommends the appropriate risk management strategies			

COMPETENCY: SBA 4 - Evaluate choice of a business strategy				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
SBA 4.1	Analyses the formulated business strategies			
SBA 4.2	Evaluates the appropriateness of business strategies that support the organisation objectives			
SBA 4.3	Advises on the choice of a business strategy that an organisation may adopt			

COMPETENCY: SBA 5 - Evaluate strategic implementation plans				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
SBA 5.1	Analyses the alternative functional strategies that may be appropriate to deliver a chosen strategy			
SBA 5.2	Evaluates the alternative organisation structures that may be appropriate to deliver a chosen strategy			
SBA 5.3	Evaluates the business plan and advises whether it can meet the business objectives			

7.0 INFORMATION TECHNOLOGY

COMPETENCY: IT 1 - Apply appropriate information systems and tools to business and accounting problems				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
IT 1.1	Uses information systems to achieve a particular accounting outcome			
IT 1.2	Applies relevant software (word processing, spreadsheets, databases, internet tools, presentation software, etc.) to achieve a particular accounting outcome			
IT 1.3	Uses accounting software.			

COMPETENCY: IT 2 - Assess accounting information systems and develop an organisation's accounting information systems strategy				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
IT 2.1	Identifies and documents user needs			
IT 2.2	Considers and documents costs and benefits of proposed solutions			
IT 2.3	Evaluates effectiveness and efficiency of accounting information systems			
IT 2.4	Reports on potential weaknesses in internal controls within accounting information systems.			

COMPETENCY: IT 3 - Advise on the design and management of accounting information systems installations and upgrades				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
IT 3.1	identifies and evaluates alternatives for accounting information systems packages			
IT 3.2	Advise on the design and management of system installations and upgrades			

8.0 ACCOUNTANCY EDUCATION

COMPETENCY: AE 1 - Teaches relevant courses				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
AE 1.1	Teaches accounting courses that satisfy the required topics with minimal supervision			
AE 1.2	Contributes significantly to the delivery of at least one intermediate level accounting paper			

COMPETENCY: AE 2 - Maintains currency (being up to date) in the relevant subject discipline to meet course and programme objectives				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
AE 2.1	Attends relevant staff professional development courses			
AE 2.2	Self-educates through reading relevant literature			

COMPETENCY: AE 3 - Undertakes relevant research in the appropriate area(s) of accounting				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
AE 3.1	Authorship of a conference paper, working paper or published article in the appropriate area(s) of accounting			
AE 3.2	Presents a paper to a conference or in-house workshop in the appropriate area(s) of accounting			

9.0 FINANCIAL ADVICE

COMPETENCY: FA 1 - Agree a scope of service with the client				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
FA 1.1	Explains the steps of the financial advice process to the client			
FA 1.2	Explains the role of the financial advisor and the firm's disclosure statement			
FA 1.3	Understands the client's goals and objectives			
FA 1.4	Agrees with the client the scope of the service to be provided			

COMPETENCY: FA 2 - Collect and record client information				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
FA 2.1	Gathers information relating to the client's existing financial situation			
FA 2.2	Understands the client's financial needs and goals, priorities and timeframes			
FA 2.3	Determines the client's risk profile			
FA 2.4	Documents all information in line with code of practice			

COMPETENCY: FA 3 - Advise on the appropriate risk management strategies				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
FA 3.1	Analyses client information in line with client goals			
FA 3.2	Identifies if there is a need for specialist advice			
FA 3.3	Identifies and evaluates options for financial strategy and solutions			
FA 3.4	Formulates recommendations including a risk strategy			
FA 3.5	Presents and discusses recommendations with a supervising Financial Advisor			

COMPETENCY: FA 4 - Implement recommendations made by the Financial Advisor				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
FA 4.1	Observes the Financial Advisor present and discuss recommendations with the client			
FA 4.2	Agrees financial strategies and solutions with the client and document these in accordance with firm protocols			
FA 4.3	Assists in putting in place agreed recommendations			

COMPETENCY: FA 5 - Monitor and review recommendations and prepare reports for the client

Tasks performed:		To be completed by the Mentor		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
FA 5.1	Monitors and evaluates performance of the financial strategy			
FA 5.2	Recommends any adjustments needed to achieve goals			

NON-TECHNICAL COMPETENCIES

Please transfer the rating against a particular task from the Competency Review Forms (CRF). Where the rating is below 4, the mentor should indicate in the comments column the needs assessment that the trainee should work on in order to attain the rating of 4.

1.0 TEAMWORK AND LEADERSHIP

COMPETENCY: TL 1 - Work with others and in teams				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
TL 1.1	Collaborates with colleagues and/or clients from diverse backgrounds and works effectively as a team member			
TL 1.2	Effectively participates in meetings			

COMPETENCY: TL 2 - Demonstrate leadership				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
TL 2.1	Manages and supervises others effectively			
TL 2.2	Leads effective meetings			
TL 2.3	Resolves conflict or differences and negotiates appropriate solutions			

2.0 ORGANISATION SKILLS

COMPETENCY: OS 1 - Plan, organise and monitor activities				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
OS 1.1	Plans and manages projects			
OS 1.2	Respects deadlines, manages time and organises tasks logically			
OS 1.3	Monitors activities			

COMPETENCY: OS 2 - Delegate tasks				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
OS 2.1	Delegates tasks effectively			

COMPETENCY: OS 3 - Use information technology effectively				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
OS 3.1	Uses IT applications, including spreadsheets, word processing, presentations and e-mail, effectively			
OS 3.2	Effectively uses the internet as a source of information			
OS 3.3	Applies procedures and controls to ensure integrity and security of personal IT resources, for example password protection, backup procedures, distribution of confidential information, anti-virus measures, etc			

3.0 ANALYTICAL, RESEARCH AND EVALUATION

COMPETENCY: ARE 1 - Research, analyse and evaluate information				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
ARE 1.1	Identifies problems or situations			
ARE 1.2	Obtains required information by asking appropriate and probing questions			
ARE 1.3	Apply mathematical ideas and techniques to assess problems			
ARE 1.4	Recommends appropriate solutions			

COMPETENCY: ARE 2 - Maintain a current awareness of the legal, regulatory and economic environment of business				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
ARE 2.1	Identifies and evaluates critical factors in the economic, social, legislative, regulatory and political environment that impact on business and the financial decisions of an entity			

4.0 INTELLECTUAL SKILLS

COMPETENCY: IS 1 - Solve problems, propose solutions and make decisions				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
IS 1.1	Obtains, locates, organises and understands information			
IS 1.2	Critically analyses information			
IS 1.3	Identifies and recommends solution to unstructured problems			
IS 1.4	Makes decisions			

COMPETENCY: IS 2 - Exercise appropriate professional judgement				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
IS 2.1	Exercises good judgement in complex organisational situations			

5.0 ETHICAL AND PROFESSIONAL BEHAVIOUR

COMPETENCY: EPB 1 - Consistently demonstrate personal integrity, professional values, and ethical conduct				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
EPB 1.1	Displays honesty and integrity in all business and professional relationships			
EPB 1.2	Exercises due care in carrying out the work			
EPB 1.3	Avoids conflict of interest and maintains objectivity and independence so as not to override professional or business judgement			
EPB 1.4	Protects the confidentiality of information			
EPB 1.5	Enhances profession's reputation			

COMPETENCY: EPB 2 - Adhere to the fundamental principles of the Code of Ethics				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
EPB 2.1	Adheres to the rules of professional conduct, including the ZICA code of professional Conduct			
EPB 2.2	Responds to potential ethical dilemmas			

6.0 COMMUNICATION AND INTERPERSONAL SKILLS

COMPETENCY: CIS 1 - Communicate ideas and information effectively and efficiently, verbally and in writing				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
CIS 1.1	Communicates effectively verbally in the correct tone and manner			
CIS 1.2	Communicates effectively in written format			

COMPETENCY: CIS 2 - Demonstrate effective negotiation skills				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
CIS 2.1	Discusses and reaches agreements in a professional manner			

COMPETENCY: CIS 3 - Identify and meet the needs of internal and external clients or stakeholders				
Tasks performed:		To be completed by the Trainee		To be completed by the Mentor
		Rating by Mentor	Competence Level	Mentor's comment
CIS 3.1	Listens attentively and processes information correctly			
CIS 3.2	Interacts well with both internal and external clients			