

ACTVET

Abu Dhabi Centre for | مركز أبوظبي
Technical and Vocational | للتعليم والتدريب
Education and Training | التقني والمهني

QUALIFICATIONS

Complaint and Appeals Procedure

ACTVET_L3_Q_QMPCDR003

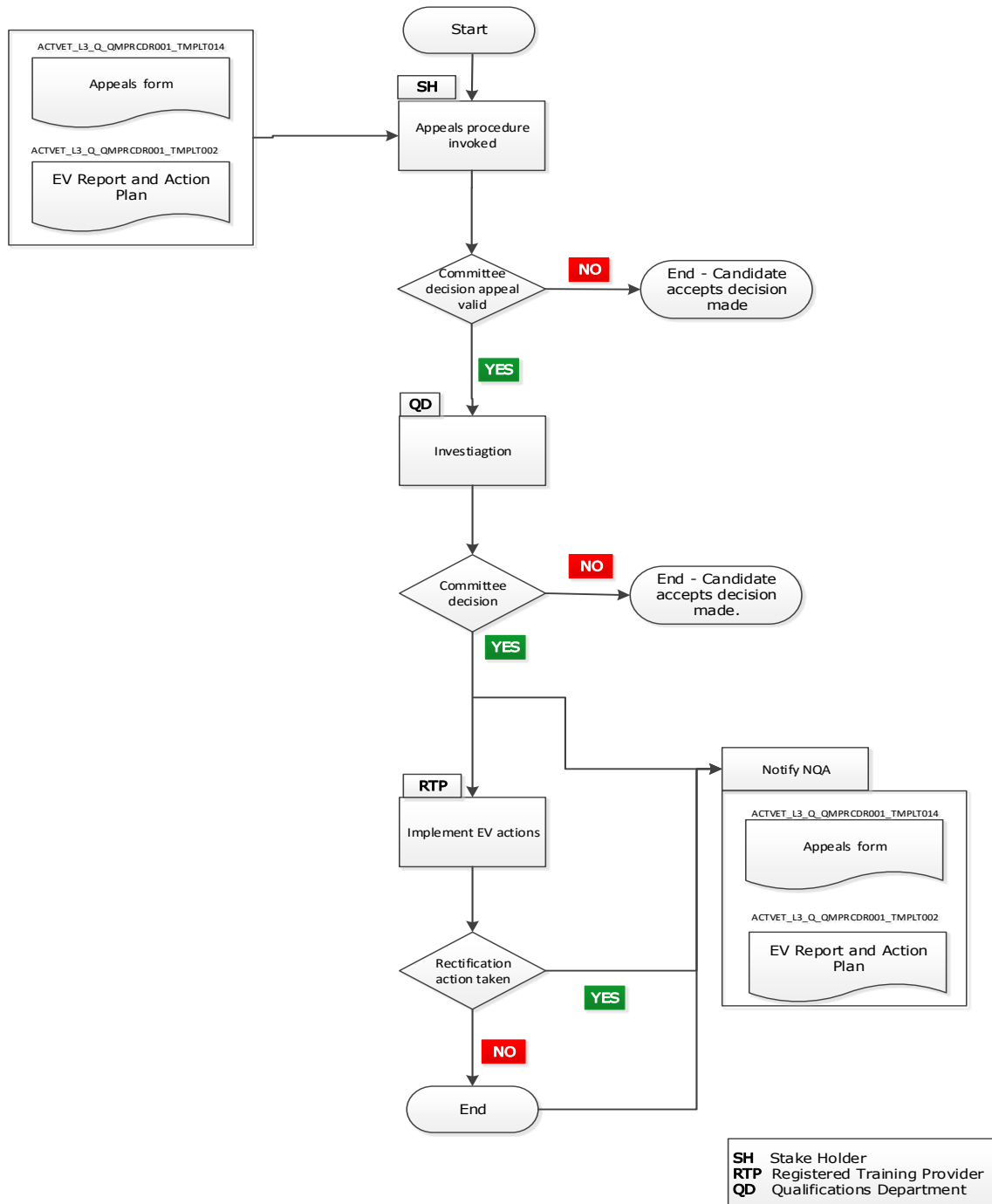
ACTVET©
All Rights Reserved

No part of these presents may be reproduced or transmitted in any form or by any means including photocopying and recording without the written permission of the copyright holder, application for which should be addressed to ACTVET, P.O. Box 108800 Abu Dhabi. Such permission must also be obtained before any part of these presents is stored in any retrieval system of any nature.

Contents

1. FLOWCHART.....	3
2. PURPOSE	4
3. SCOPE	4
4. REFERENCES	4
5. DEFINITIONS.....	5
6. RESPONSIBILITY.....	6
7. OPERATIONS	6
8. FEES AND FINES.....	7
9. DOCUMENTATION	8
10. COMMITTEE STRUCTURES	8
11. KEY PERFORMANCE INDICATORS.....	9
12. RISK FACTORS.....	9

1. FLOWCHART

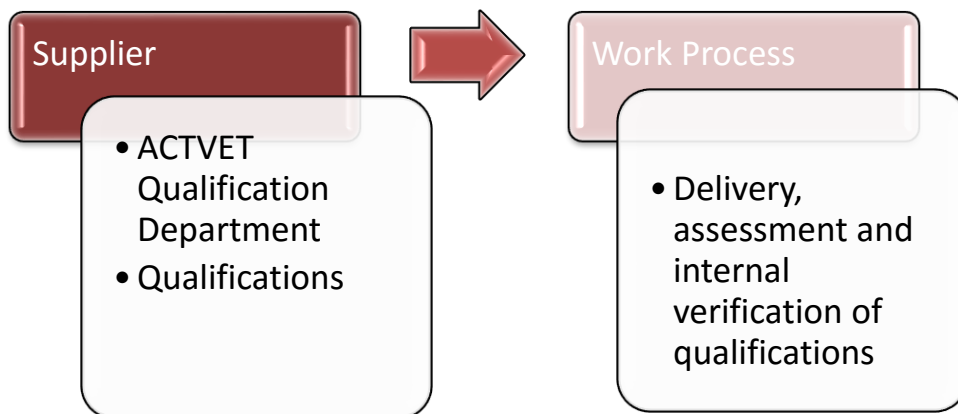


2. PURPOSE

The purpose of this procedure is to explain the process implemented by ACTVET to address decisions made in the qualification process to minimise risk in qualification delivery, assessment and internal verification process. This procedure does not relate to the behavior of individuals out with the qualification delivery, assessment and internal verification process as displayed in the course of everyday work in the work environment.

3. SCOPE

- 3.1 ACTVET Qualifications Department engages in risk management to ensure robust quality assurance processes are assessed in the form of risk analyses as monitored by the External Verification.
- 3.2 The internal Supplier-Customer Relationship is illustrated below:



4. REFERENCES

- 4.1 “NQA System for Registration and Quality Assurance of Training Providers and Qualifications” Manual Version 2; June 2014
- 4.2 VETAC System of Qualified Assessors, Internal Verifiers and External Verifiers, Version 1; 2014
- 4.3 NQA System for Registration and Quality Assurance of Training and Qualifications; Version 2; June 2014.
- 4.4 ISO 9001 Standard

Discipline:	Qualifications Management	Contents:	Page 4 of 9
Procedure:	Complaint and Appeals Procedure	Revision:	1
Procedure Number:	ACTVET_L3_Q_QMPCDR003	Revision Date:	06-DEC-2016

4.5 ACTVET Appeal & Complain Committee (ACTVET resolution # 10/2016)

5. DEFINITIONS

Term	Definition
Assessor	An individual trained to assess learners/candidates against unit standards in VETAC endorsed Q+Noss or registered foreign awards, so that the RTP can issue qualifications/awards.
Awarding Body	The body responsible to the National Qualifications Authority (NQA) for managing, coordinating and quality assuring the respective education and training sector as defined by the NQA Decree's aims and objectives
Candidate	A student studying for a degree, and taking an examination or assessment
External Verifier (EV)	The EV is the Awarding Body's representative who is responsible for monitoring and evaluating the quality assurance and assessment process conducted in an RTP to ensure that they meet standards
HQM	Head of Qualification management
Internal Verifier (IV)	An individual who is trained to develop, manage monitor and evaluate the internal quality and assessment process conducted in the RTP to ensure safe, impartial, valid and consistent assessment strategies and decisions to ensure consistency in assessment
Learner	Is the person undertaking education
Licensed Training Provider (LTP)	Licensed Training Provider is the term utilized to identify that a technical vocational educational and training provider has received a DED/ACTVET license to operate.
Registered Training Provider (RTP)	The Registered Training Provider (RTP) is an organization approved by the Awarding Body to deliver training and/or assessment services for national Vocational qualifications and awards based on national occupational skills standards (Q+Noss)
Trainer	The academically qualified and industry experienced expert that will provide the theoretical and practical training for the institute

6. RESPONSIBILITY

6.1 National Qualifications Authority, VETAC

National Qualifications Authority, VETAC is responsible for:

6.1.1 Resolution of all complaints and appeals that have escalated beyond the Qualification Department Complaint and Appeals Committee.

6.1 ACTVET Qualifications Department

ACTVET Qualifications Department is responsible for:

6.1.1 All escalated complaints and appeals being heard by a Qualification Department Complaint and Appeals Committee till resolution.

6.2 ACTVET External Verifier

ACTVET External Verifier is responsible for:

6.2.1 Escalating all unresolved complaints and appeals to ACTVET Qualification Department for resolution.

6.3 Registered Training Provider (RTP)

The Registered Training Provider is responsible for:

6.3.1 Escalating all unresolved complaints and appeals to the Head of Qualification Management (HQM) for resolution.

6.3.2 The following documents will be maintained in a Registered Training Provider file:

- Complaints and Appeals Form (ACTVET_L3_Q_QMPCDR002_TMPLT014)
- External Verification Report Template (ACTVET_L3_Q_QMPCDR002_TMPLT002)

7. OPERATIONS

Appeals Procedure

7.1 The Head of Qualification Management (HQM) will publish to stakeholders the Complaints and Appeals procedure for the qualification process.

7.2 Stakeholders will apply the published policies and procedures and will receive complaints or appeals when lodged on template number ACTVET_L3_Q_QMPCDR001_TMPLT014.

Discipline:	Qualifications Management	Contents:	Page 6 of 9
Procedure:	Complaint and Appeals Procedure	Revision:	1
Procedure Number:	ACTVET_L3_Q_QMPCDR003	Revision Date:	06-DEC-2016

- 7.3 Complaints and appeals that are unresolved by the stakeholder will be to the HQM for attention using template number ACTVET_L3_Q_QMPCDR001_TMPLT014.
- 7.4 The HQM will be responsible for presenting cases to the Complaint and Appeals Committee on template ACTVET_L3_Q_QMPCDR001_TMPLT014 for resolution.
- 7.5 HQM will ensure the Complaint and Appeals Committee is conducted by personnel that have no personal involvement in the qualification process. Those members with personal interest will be excused from the Committee.
- 7.6 HQM will ensure the Complaint and Appeals Committee hearings are resolved within the designated timelines.
- 7.7 HQM will ensure that submission of appeal is made to the HQM in writing using template number ACTVET_L3_Q_QMPCDR001_TMPLT014 not more than seven (7) days from occurrence of the complaint or the adverse decision.
- 7.8 HQM will ensure that investigation of the appeal by the Complaint and Appeals Committee is completed in not more than fourteen (14) days from occurrence of receipt of the written appeal using template number ACTVET_L3_Q_QMPCDR001_TMPLT014
- 7.9 HQM will ensure the Complaint or Appeal hearing is arranged and heard, not more than twenty-one (21) days from the receipt of the written appeal.
- 7.10 HQM will ensure that the outcome of hearing by the Complaints and Appeals Committee is informed to the stakeholders in not more than twenty-eight (28) days from the receipt of the written appeal.
- 7.11 HQM will request receipt of the decision from the stakeholder, in writing within seven (7) days from receipt of the Complaints and Appeals Committee decision and inform the stakeholder.
- 7.12 HQM will inform the stakeholder that if the appeal decision is disputed by the stakeholder an appeal of the decision can be lodged to the HQM within seven (7) days from the receipt of the Appeals Committee decision using template number ACTVET_L3_Q_QMPCDR001_TMPLT014.
- 7.13 HQM will escalate an appropriate complaint or appeal to the NQA for resolution where no resolution has been achieved by ACTVET Complaint or Appeals Committee.
- 7.14 HQM will ensure that where a complaint or appeal leads to discovery of failure of practice, the stakeholder must: review processes and procedures to mitigate the effect, rectify to negate learner disadvantage and be responsible for informing stakeholders of rectification.

8. FEES AND FINES

HQM will ensure that where a fee or fine (See Annexure A) is applied as a result of the complaint or appeal the fees are subsequently charged to and paid by the stakeholder.

Discipline:	Qualifications Management	Contents:	Page 7 of 9
Procedure:	Complaint and Appeals Procedure	Revision:	1
Procedure Number:	ACTVET_L3_Q_QMPCDR003	Revision Date:	06-DEC-2016

9. DOCUMENTATION

- Complaints and Appeals Form (ACTVET_L3_Q_QMPCDR002_TMPLT014)
- External Verification Report Template (ACTVET_L3_Q_QMPCDR002_TMPLT002)
- Annexure A – Fee charges (ACTVET-L3-Q-QM_Annexures)

10. COMMITTEE STRUCTURES

ACTVET Complaint or Appeals Committee - RTP level (RTP Policy)			
Representation	Observer	Member	Not present
Complainant	√		
Complainant representative		√	
RTP assessor		√	
RTP internal Verifier		√	
ACTVET Complaint or Appeals Committee - ACTVET level (ACTVET Policy)			
Complainant			√
Complainant's representative	√		
RTP assessor		√	
RTP internal Verifier		√	
ACTVET External Verifier		√	
Complaint or Appeals Committee - NQA level – (NQA Policy)			
Complainant			√
Complainants representative			√
RTP assessor		√	
RTP internal Verifier		√	
ACTVET External Verifier		√	

Discipline:	Qualifications Management	Contents:	Page 8 of 9
Procedure:	Complaint and Appeals Procedure	Revision:	1
Procedure Number:	ACTVET_L3_Q_QMPCDR003	Revision Date:	06-DEC-2016

NQA VETAC Representative		√	
--------------------------	--	---	--

11. KEY PERFORMANCE INDICATORS

No.	MEASUREMENT	UNIT OF MEASURE	REPORTING FREQUENCY
1	Complaints lodged	Number	Periodically

12. RISK FACTORS

No.	RISK	ROUTE CAUSE	MITIGATION
1	Too many complaints	Poor application or poor design of the policy and procedures and implementation of practice	Review the Policies and Procedures and their application for “fit for purpose”