

ACTVET

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

Quality Assurance (ACTVET Awarding Body)

ATP Complaints and Appeal Procedure

ACTVET_L3_Q_QMPCDR003

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1. INTRODUCTION

ACTVET ensures transparency, integrity, and fairness in its processes for handling complaints and appeals. This includes acknowledging appeals promptly, appointing impartial specialists to review cases, and maintaining confidentiality. The procedures also emphasize timely investigations and hearings to resolve issues effectively and ensure continuous improvement in service delivery.

2. OBJECTIVE

ACTVET Awarding Body Complaints and Appeals Procedure is essential for maintaining integrity, transparency, and fairness between an Approved Training Provider and the ACTVET Awarding Body. It ensures the effective resolution of grievances, upholds standards and enhances the quality of education. The following objectives are aimed to be achieved through this procedure:

- **Ensuring Fairness and Transparency:** To provide a clear and transparent process for handling complaints and appeals, ensuring that all parties are treated fairly and impartially.
- **Maintaining Quality and Standards:** To uphold the integrity and quality of the training and assessment processes by addressing issues promptly and effectively.
- **Providing Resolution Mechanisms:** To offer a structured method for resolving complaints and appeals, ensuring that grievances are addressed promptly and appropriately.
- **Compliance with Regulatory Requirements:** To ensure that the Approved Training Provider and ACTVET Awarding Body comply with all relevant regulatory and accreditation requirements, maintaining the credibility and recognition of the qualifications awarded.
- **Protecting Stakeholder Interests:** To safeguard the interests of all stakeholders, including students, trainers, and the awarding body, by ensuring that complaints and appeals are managed professionally and confidentially.
- **Supporting Learners:** To provide learners with a clear avenue for raising concerns or issues related to their training or assessment, ensuring their voice is heard and considered in the decision-making process.

3. SCOPE

The scope of the Complaint and Appeal procedure includes the following:

3.1. Appeals Against External Verification Decisions:

- 3.1.1. Disagreements with the outcome of the External Verification report
- 3.1.2. Disagreements with the action plan requested by the External Verifier
- 3.1.3. Disagreements regarding decisions on special arrangements

3.2. Appeals Against Awarding Body Decisions:

- 3.2.1. Rejection of candidate registration or certificate claim

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3.3. Appeals Against Malpractice or Maladministration Findings

3.3.1. Disagreements with the findings of malpractice or maladministration investigations

4. DEFINITIONS

Sr.	Term	Definition
4.1	Appeal	A formal process by which an individual learner or institution may 'challenge' a regulator or an awarding body on the outcome of a decision affecting that individual learner or institution.
4.2	Awarding Body (AWB)	An entity entitled through legislation or other formal mandates from a regulatory authority to approve under its remit the development and issuing of qualifications formally recognizing the achievements of a given parcel of endorsed learning outcomes.
4.3	Candidate	A person registered for a National Qualification
4.4	Complaint	A sworn statement filed by a party (the complainant, petitioner, or plaintiff) to commence a case against another. The complaint sets forth the alleged grounds (allegations) for the case and requests consideration of the case.
4.5	External Verifier/EV/ EQA	A qualified and experienced professional who evaluates an ATP practice and performance against pre-defined criteria and VETAC guidelines
4.6	HOD	Head of Quality Department
4.7	Maladministration	Where the individual or group in charge is unjust, dishonest, or ineffective in their leadership that is so bad it must be investigated.
4.8	Malpractice	Dereliction of duty due to negligence or incompetence by a professional or the institution.
4.9	Accredited Training Provider (ATP)	Accredited Training Provider approved of offering national qualifications.

5. ROLES & RESPONSIBILITIES

Sr.#	Responsible Party	Roles & Responsibilities
5.1	ACTVET Awarding Body	<ul style="list-style-type: none"> Acknowledge all appeals raised by ATPs. Appoint an EV specialist(s) with no previous involvement in the case to review the appeal. Complete the investigation by the EV specialist(s). Arrange a hearing by the EV specialist(s) with all parties involved in the appeal. Finalize and communicate the outcome of the hearing by the EV specialist(s) to all parties involved.
5.2	Accredited Training Provider (ATP)	<ul style="list-style-type: none"> Submit an appeal in writing to the Awarding Body. Keep records of all relevant documents related to the appeal until the appeal decision is finalized. Maintain the candidates' portfolios and the Assessment and IV documentation for all learners in the cohort claimed for if the appeal involves assessment decisions.

6. PRINCIPLES & RULES

This document outlines the guiding principles and specific rules for ATPs and the ACTVET Awarding Body. By adhering to these guidelines, we aim to address complaints and appeals promptly and impartially, fostering a collaborative environment where issues are resolved constructively.

6.1. For Approved Training Providers (ATPs)

- 6.1.1.1. communicate the complaints and appeals procedure to all stakeholders, including staff and learners.
- 6.1.1.2. Submit complaints and appeals promptly to ensure timely resolution.
- 6.1.1.3. Maintain comprehensive records of all relevant documents related to the complaint or appeal.
- 6.1.1.4. Ensure that all information related to the complaint or appeal is confidential and only shared with authorized individuals.
- 6.1.1.5. Ensure all complaints and appeals are handled impartially and unbiasedly.
- 6.1.1.6. Support learners and staff involved in the complaints and appeals process.
- 6.1.1.7. Submit an appeal in writing within **seven days** of the occurrence of the adverse decision.

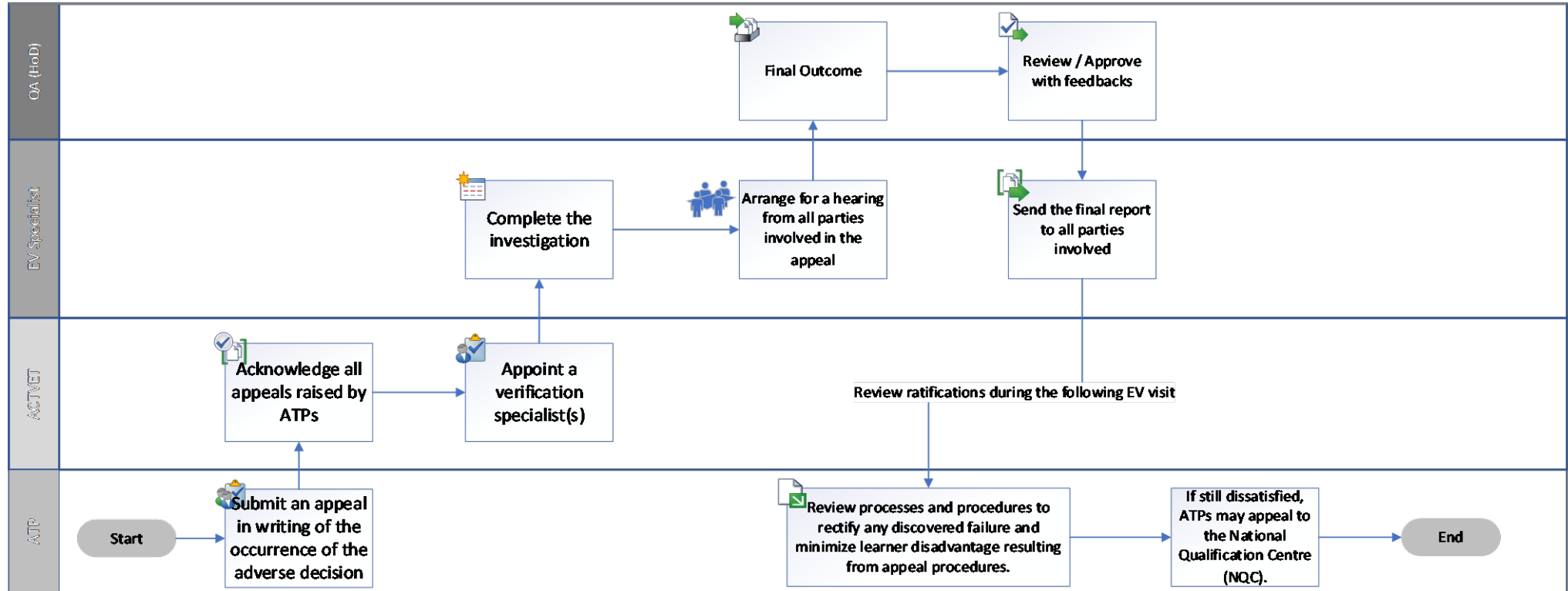
6.2. For the Awarding Body

- 6.2.1.1. Acknowledge receipt of all appeals raised by ATPs within **three working days**.

- 6.2.1.2. Appoint an EV specialist(s) without prior involvement in the case to review the appeal.
- 6.2.1.3. Ensure the EV specialist(s) completes the investigation within **14 working days** from the initial appeal date.
- 6.2.1.4. Arrange for a hearing involving all parties within **21 days** from the initial appeal date.
- 6.2.1.5. The EV specialist(s) finalizes the hearing outcome and submits it to the Head of the Quality Department for approval.
- 6.2.1.6. Send the final report to all parties involved within **28 days** from the initial appeal date.
- 6.2.1.7. Maintain detailed records of the complaint or appeal, the investigation process, and the final decision.
- 6.2.1.8. Protect the confidentiality of all parties involved and ensure information is only shared with those who need to know.
- 6.2.1.9. Ensure the procedure is applied consistently to all complaints and appeals.
- 6.2.1.10. Use feedback from complaints and appeals to improve processes and practices continuously.
- 6.2.1.11. If the ATP still disagrees with the final appeal decision, the awarding body will not take further action. The ATP has the right to complain to the regulator, the National Qualification Centre (NQC).

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7. FLOWCHART



8. PROCEDURES

8.1. Complaint and Appeals

Sr. #	Steps	Accountable	Timeline	Outputs
8.1.1	Submit an appeal in writing of the occurrence of the adverse decision	ATP	7 days	ATP Complaints and Appeals Form
8.1.2	Acknowledge all appeals raised by ATPs	ACTVET (Awarding Body)	3 working days	-
8.1.3	Appoint a verification specialist(s) without previous involvement in the case to review the appeal.	ACTVET (Awarding Body)	-	-
8.1.4	Complete the investigation	EV specialist(s)	14 working days	-
8.1.5	Arrange for a hearing from all parties involved in the appeal	EV specialist(s)	21 working days	-
8.1.6	Finalize the hearing's outcome and submit it to the Head of Quality Assurance.	EV specialist(s) HoD	-	-
8.1.7	Send the final report to all parties involved	EV specialist(s)	28 working days	-
8.1.8	Review processes and procedures to mitigate the effect of failure, rectify failure, and negate learner disadvantage if the appeal procedures lead to the discovery of failure of practice	APT or AWB	-	Action Plan
8.1.9	Review ratifications during the following EV visit	EV specialist(s)	-	-
8.1.10	If still dissatisfied with the final appeal decision, ATPs may complain to the regulator, the National Qualification Centre (NQC)	ATP	-	-

9. RISK IDENTIFIED IN PROCESSES

Refer to the Department Risk Register

10. KEY PERFORMANCE INDICATORS (KPIs)

Sr. #	Measurement	Unit of Measure	Reporting frequency
	N/A		

11. REFERENCES

Sr.#	Document Title	Document Reference
11.1	Official NQC Awarding Body Quality Standards for the UAE.	V2/2022; Sept 2022
11.2	External Verification Procedure	ACTVET_L3_Q_QMPCRD004

12. APPENDIX <OR APPENDICES>

- Complaints and Appeals Form (ACTVET_L3_Q_QMPCRD002_TMPLT014)
- External Verification Report Template (ACTVET_L3_Q_QMPCRD004_QMPLCY004_B)

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