

"ARQA" Independent agency for recognition and quality assurance in education	Quality Management System Rules for the Review of Complaints and Appeals	QMSON Pr 01-06-010-2018 Date 08/28/2018 With. 1 out of 13
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"APPROVED":

Director of ARQA

_____ **Kassymkhanov A.M.**

" ____ " _____ **2018**

QUALITY MANAGEMENT SYSTEM
(Machine translation)
RULES FOR THE REVIEW OF COMPLAINTS AND APPEALS
QMS NA Pr 01-06-010-2018

Ex. № _____

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Astana-2018

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FOREWORD

1 DESIGNED BY Administration of the "ARQA" Independent agency for recognition and quality assurance in education
(name of the structural unit that developed the document)

2 APPROVED AND INTRODUCED by Decree of the Director of "ARQA"
(official approving the document)
dated September 11, 2018
(name, date and number of the approving organizational and administrative document)

3 DEVELOPERS:
(position, academic degree, academic title, full name)

(position, academic degree, academic title, full name)

4 DEADLINE FOR FIRST INSPECTION 2021
CHECK FREQUENCY 3 years

5 FIRST EDITION

These Rules cannot be fully or partially reproduced, replicated and distributed without the written consent of the "ARQA" Independent Agency for Recognition and Quality Assurance in Education.

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1 Normative references

These Rules use references to the following legislative and regulatory documents:

1. Law of the Republic of Kazakhstan "On technical regulation" dated November 9, 2004 No. 603-II ZRK;
2. Law of the Republic of Kazakhstan "On Education" dated July 27, 2007 No. 319-III;
3. Decree of the President of the Republic of Kazakhstan dated February 1, 2010 No. 922 "On the Strategic Plan for the Development of the Republic of Kazakhstan until 2020";
4. The Standards and Guidelines for Quality Assurance in the EHEA (ESG) approved by the Ministerial Conference in Yerevan, May 14-15, 2015
5. MS ISO 9000:2015 "Quality management system. Basic provisions and vocabulary";
6. MS ISO 9001:2015 "Quality management system. Requirements";
7. ST RK ISO 9001:2016 "Quality management system. Requirements".

2 Definitions

The following terms and their definitions are used in these Rules:

Accreditation of educational organizations of the procedure for recognizing by the accreditation body the compliance of educational services with the established standards (regulations) of accreditation in order to provide objective information about their quality and confirm the existence of effective mechanisms for improving it.

Accreditation bodies legal entities that develop standards (regulations) and carry out accreditation of educational organizations based on the standards (regulations) developed by them.

Accreditation Council a permanent consultative and advisory body of ARQA, created for collegial consideration and decision-making on accreditation or refusal of accreditation, as well as on the terms and conditions for accreditation of educational organizations and educational programs implemented by educational organizations, based on the current ARQA Accreditation Standards.

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Appeal to the accreditation body	procedure for checking a written application by an accredited PA for a decision on accreditation/denial of accreditation by a PA/POor about the results of post-accreditation monitoring
External evaluation (visit)	visit of an expert group to an educational organization to assess compliance with the Standards for specialized accreditation of TVE organizations.
Complaint to the accreditation body Institutional accreditation	written or oral request to eliminate violations of procedures and standards accreditation body the process of assessing the quality of an educational organization by an accreditation body for compliance with the declared status and established standards of the accreditation body.
Post-accreditation monitoring	the procedure carried out by the agency during the period of accreditation of the educational organization / educational programs.
Post-accreditation monitoring report	a document containing an examination based on the results of an assessment of the activities of educational organizations / educational programs during the period of accreditation of an educational organization / educational programs.
Quality Assurance– QA)	procedures aimed at ensuring that the results of education and training and related services meet the stated requirements of the consumer.
Educational program	a single complex of the main characteristics of education, including the goals, results and content of education, the organization of the educational process, the ways and methods of their implementation, the criteria for assessing learning outcomes.
Reaccreditation	process re-accreditation by an educational organization.

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Standards (regulations) of accreditation documents of the accreditation body establishing the requirements for the accreditation procedure.

Specialized accreditation the process of assessing the quality of the educational program of an educational institution by the accreditation body for compliance with the declared status and established standards of the accreditation body.

Educational program self-assessment procedure a preliminary stage of the external evaluation of the educational program in the process of specialized accreditation carried out by ARQA.

Expert opinion a document containing an examination of the report on the results of self-assessment of the activities of educational organizations / implementation of the educational program within the framework of institutional / specialized accreditation

3 Designations and abbreviations

The following abbreviations apply in these Rules:

ARQA	Independent agency for accreditation and examination of the quality of education "ARQA"
EHEA	European Higher Education Area
ESG	The Standards and Guidelines for Quality Assurance in the EHEA
AC	Accreditation Council
TVE	Technical and Vocational Education
EO	Organization of education
EP	Educational program

4 Scope

These Rules present the grounds and procedure for considering complaints and appeals received by the agency.

5 Responsibility and authority

5.1. These Rules are approved by the Director of ARQA

5.2. Responsibility for the development and compliance of the provisions of these Rules with the requirements of ST RK ISO 9001-2016 lies with the Quality

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Service (hereinafter referred to as QS).

5.3. Responsibility for bringing the approved Rules to the attention of the employees of structural divisions lies with the head of the division;

5.4. A record of familiarization must be made in the "Familiarization Sheet" (Appendix B).

6 General provisions

6.1. These Rules govern the issues validity of complaints and appeals received by the agency, in particular against decisions on accreditation / denial of accreditation of OO / OP or about the results of post-accreditation monitoring, and making decisions on them based on their careful consideration.

7 Description

7.1 Handling Complaints.

7.1.1. Only complaints about actions/inaction of officials or experts of the agency during the entire accreditation period, i.e. from application submission to post-accreditation monitoring.

Complaints may be written or oral and must be brought to the attention of the director of the agency.

7.1.2. On behalf of the director, officials who have committed unlawful actions / inaction must provide explanations, based on the results of which the director of the agency takes action.

7.1.3. Experts who committed illegal actions/inaction during the visit should be suspended from participation in the work of the expert group.

7.2. Consideration of appeals

7.2.1. Only written applications of the accredited PA for:

- expert opinion on the report on the results of self-assessment of the activities of educational organizations / educational programs within the framework of institutional / specialized accreditation;

- decision on accreditation/refusal of accreditation of OO/OP or about the results of post-accreditation monitoring.

In case of disagreement with the decision of the AC, an EO must file an appeal within 30 calendar days after receiving the decision.

7.2.2. Procedure for consideration of applications:

- 1) the appeal is submitted to the AC for the preparation of arguments on the validity of the decision;

- 2) an appeal commission (hereinafter AC) is created from an odd number of members in the amount of at least 3 people. The composition of the appeal commission is approved by the order of the director of the agency, indicating its chairman;

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3) Absentee and in-person meetings of the AC are held and a decision is made. Meetings of the AK are competent only with the full composition of the AC. The solution can be of three types:

- on refusal to satisfy the appeal;
- on partial satisfaction of the appeal;
- on the full satisfaction of the appeal.

Decisions of the commission are taken by a simple majority, drawn up in protocols and signed by all members of the commission (the form of the protocol is given in Appendix 1). A dissenting opinion of a member of the commission who disagrees with the opinion of other members of the commission is recorded in the minutes after the signatures of the other members of the commission;

4) the decision of the Appeal Commission drawn up by the protocol is brought to the attention of the AC members;

5) The AC conducts a second vote. The decision of the AC in the second vote is final and not subject to revision.

6) the decision of the AC on the application for appeal is transferred to the PA within 7 days after the adoption.

7.3. Rights and obligations of AC members:

7.3.1. Rights of AC members:

- participate in the discussion of appeals and vote;
- to express a dissenting opinion on the appeal considered at the AC meeting;
- receive a monetary reward (fee) for participation in the work of the AC.

7.3.2. Duties of AC members:

- analyze the arguments of the AC on the objections to the appeal;
- attend AC meetings and make decisions based on the results of the discussion of the appeal;
- sign and comply with the code of ethics of the AC member (Appendix 2).

7.4. AC structure

7.4.1. The powers of the AC are established only on the pending appeal.

7.4.2. Composition of AC

The composition of the AC is formed from among reputable scientists and practitioners on the proposal of the director of the department. Candidates to the AC are approved by the order of the director of the agency if the candidates meet the following criteria: work experience in EOs, enterprises and organizations for at least 5 years, personal qualities. Members of the AC should not be employees of the same organization.

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Minutes of the meeting of the appeal committee

Astana No. ____ " ____ " _____

The Appeals Committee (AC), having considered the appeal

_____ ,

- 1) notes: _____
- 2) He has made a decision:

Voting results:

“for” ____ AC members, “against” ____ AC members, “abstained” ____ AC members

Chairman of AC _____

signature transcript signature

AC member _____

signature transcript signature

Member of the ACC _____

signature transcript signature

Separate opinion of the AC member:

AC member _____

signature transcript signature

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- 8.1. The responsibility for the transfer of the approved Regulations (original) for storage in the UK lies with the developer.
- 8.2. Distribution of accounting copies of this Regulation is carried out by the IC.
- 8.3. The IC is responsible for keeping a copy of the Regulations.

9 How to make changes

- 9.1. Changes and (or) additions are made to the current Regulations in order to improve it.
- 9.2. Appeals of educational institutions, stakeholders for changes and (or) additions (hereinafter referred to as the appeal) are drawn up in an arbitrary form with justification for the need for such changes and (or) additions.
- 9.3. Appeals are sent to ARQA by e-mail:office@arqa.kz.
- 9.4. ARQA conducts an examination of applications for their validity and expediency.
- 9.5. Amendments and (or) additions to the Regulations are carried out by ARQA.
- 9.6. Changes and (or) additions to the current Regulations after the examination are approved by order of the ARQA director, which are issued in a new edition and posted on the website www.arqa.kz
- 9.7. Changes to the Regulations are made by an employee of the IC with a mandatory mark in the "Change Registration Sheet" (Appendix B).

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(mandatory)

Approval sheet

Job title	FULL NAME.	the date	Signature

Annex B
(mandatory)

Reference list

Job title	FULL NAME.	the date	Signature

Annex C

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(mandatory)

Change Registration Sheet

re v. no .	Notifica tion No.	Number of sheets (pages)				Tot al she ets	Cha nge date	Full name, implement ation of changes	Chang er's signat ure
		me as- us	replac ement nyh	ne w	annul ed- nyh				

Annex D
(mandatory)

Periodic Inspection Record Sheet

Check date	FULL NAME. the person who performed the check	Checker's signature	Wording of comments

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Annex E
(reference)

Bibliography

1. Law of the Republic of Kazakhstan "On technical regulation" dated November 9, 2004 No. 603-II ZRK;
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