



The Institute of  
**Internal Auditors**

*Australia*



# Grievance Policy

Policy P4





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## Purpose

To provide the Institute of Internal Auditors-Australia (IIA-Australia) candidates, prospective candidates, and staff with a clear set of principles and processes in relation to grievances.

## Scope

The grievance process covers all matters raised by a candidate or a prospective candidate that he/she considers may result in academic or non-academic disadvantage.

A grievance may relate to:

- Candidate admission processes;
- Enrolment;
- Academic issues that have not been satisfactorily dealt with under the relevant policy;
- Privacy; or
- Unfair treatment including discrimination, harassment, and bullying.

This policy does not cover issues such as appeals in relation to grades or refunds of student fees.

### Time limits for lodging a formal complaint

Grievances are to be lodged within six months after the event complained of. If lodged after this time, the complainant will have to show cause to the Registrar as to why the grievance should be considered.

## Definitions

P4.1	Grievance	Any behaviour or matter of concern which has, or is likely to have, an unreasonable negative impact on the aggrieved person. This excludes appeals in relation to grades.
P4.2	Candidate	Any person enrolled as a candidate at the IIA- Australia
P4.3	Complainant	The candidate that initiates the grievance process

# Policy Statement

IIA-Australia aims to provide a high-quality teaching and learning experience. It is acknowledged that complaints or grievances may arise from time to time that need to be appropriately managed.

As part of the commitment by the IIA-Australia to provide a fair, safe and productive study environment, consideration of grievances will be dealt with fairly, consistently, promptly, with sensitivity to all parties and in accordance with the principles of natural justice and confidentiality. No candidate or prospective candidate will be victimised or discriminated against in any stage of the grievance process. Internal grievances will be conducted at no cost to the candidate or the person who seeks redress in this manner.

A register will be kept of all grievances and their outcomes. The register will be considered annually by the Education Committee and the Board of Directors as part of quality improvement processes.

Further, IIA-Australia is committed to providing consideration of grievances in accordance with legislative requirements of the Tertiary Education Quality and Standards Agency Act 2011 (TEQSA) and other relevant legislation.

This Policy is made available to candidates and prospective candidates via a link in the Student Handbook and on the IIA-Australia website.

This Policy is included in the GradCertIA Procedures Manual and forms part of the staff induction process.

# Grievance Process

During the grievance process IIA-Australia ensures that:

- ❖ there will be no cost to the candidate for the internal or external stages of this grievance process;
- ❖ the complainant will not be discriminated against or victimised in any way;
- ❖ the complainant has an opportunity to present their case and each party may be accompanied by a support person at meetings; and
- ❖ the complainant will be provided with a written statement of the outcome of the complaint, including details and reasons for the decision and any corrective and/or preventative action required as a result of the decision as soon as practicable once the process is finalised.

## *Informal stage*

- ❖ The complainant or nominee may initiate the grievance process by discussing orally the nature of the grievance with the person who is most directly concerned to clarify any misunderstanding or error. If the complainant is not comfortable approaching the person most directly concerned, they may engage support services provided by IIA-Australia ([education@iia.org.au](mailto:education@iia.org.au)) to assist in this process. This may include support such as:

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- informally acting between the complainant and the respondent(s) to identify options and strategies for resolution;
- requesting the complainant provide the complaint in writing (such as email) so as to better clarify the issue;
- providing explanation and clarification of any relevant policies, procedures, decisions or conduct and outlining any limitations regarding the complainant's perceived issues and/or desired outcomes;
- facilitating a meeting between the relevant parties if appropriate;
- collating and recording any relevant information including correspondence from earlier resolution attempts and supporting material provided;
- recording the actions already undertaken to resolve the issue;
- referring the complainant to the relevant review or appeal procedures should their issue relate to matters not covered by this policy; or
- providing information (as required) to the relevant parties regarding the outcomes and conclusion of the complaint if the complaint is resolved informally.

### *Formal stage*

#### **Stage 1: Review of grievance**

- ❖ If the outcome of their attempt at informal resolution does not satisfy the complainant, he/she may submit a written description of the grievance using the Grievance Form with supporting material if appropriate, to the Registrar of IIA-Australia who will acknowledge the grievance in writing. The Registrar will endeavour to resolve the issue amicably and with respect to the rights and responsibilities of both parties within ten (10) working days.
- ❖ In seeking to resolve the matter, the Registrar may interview those parties involved in the grievance and consider other relevant material.
- ❖ If the matter is able to be resolved, the Registrar will report the outcome to the parties involved. A confidential record will be retained and the grievance will be recorded in the Grievance Register. If the Registrar is unable to resolve the matter to the complainant's satisfaction, he/she will advise the complainant of this in writing and of the option to proceed to Stage 2 of the process.

#### **Stage 2: Hearing by independent panel of the Conduct and Appeals Sub-committee**

- ❖ If the matter remains unresolved after Stage 1, the complainant may submit the Grievance Form with supporting documentation, as appropriate, to the Conduct and Appeals Sub-Committee at [governance@iaa.org.au](mailto:governance@iaa.org.au). This must be done within twenty (20) working days of receiving the written advice from the Registrar.
- ❖ A panel of at least three members of the Conduct and Appeals Sub-committee will be convened to investigate the grievance. The panel will be convened within ten (10) working days of the grievance being received.
- ❖ The panel will hear the matter and may determine to:
  - provide a decision or ruling on the complaint, allegation or appeal
  - state any actions to be taken by IIA-Australia or the complainant
- ❖ All outcomes are reported to the Education Committee and data is collated by the Academic Standards and Quality Sub-Committee and placed on the Grievance Register.

### Stage 3: External appeal

- ❖ If a grievance remains unresolved after Stage 2, an application will be made by IIA-Australia in writing to the Chief Executive Officer of Independent Higher Education Australia (IHEA), detailing the grievance, the process applied, and grounds for an external review of the decision. The complainant will not be discriminated against or victimised, and may be accompanied and assisted by a third party. There will be no cost to the complainant for utilising the external grievance appeals process. The cost incurred by the use of the IHEA external review will be borne by IIA-Australia. The IHEA appointed reviewer must make a determination and advise the relevant officer of IIA-Australia, the complainant and IHEA within 30 days, providing written reasons for the decision and actions to be taken.

### Stage 4: Further action

- ❖ If a grievance remains unresolved after the external appeal process in Stage 3, the complainant may refer the grievance to a government agency e.g. the Anti-Discrimination Board or the Office of Fair Trading.
- ❖ The process in this policy does not replace or alter any responsibilities which arise under other policies or statute or any other law. Nothing in this policy limits the right of a complainant to take action under Australia's Consumer Protection laws or to pursue other legal action.

### Record keeping

A written record of all grievances and their outcomes will be kept in the Grievance Register for a period of five years to allow parties to the grievance access to these records, upon written request to the CEO. These records will be maintained at Level 5, 580 Bond St, Sydney NSW 2000.

All records relating to grievances are confidential and are covered by IIA-Australia's Privacy Policy.

## Responsibility

*IIA-Australia*

The Registrar of the IIA-Australia and Conduct and Appeals Sub-committee deal with all grievances in accordance with this policy.

## Legislative context

- ❖ Higher Education Standards Framework (Threshold Standards) 2021

## Associated documents

- ❖ P1: Candidate Plagiarism
- ❖ P2: Candidate Selection and Admission

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- ❖ P5: Candidate Progression, Exclusion and Graduation
- ❖ P6: Candidate Assessment
- ❖ P8: Candidate Support & Consultation
- ❖ Grievance Form
- ❖ Education Committee Charter and Terms of Reference of its sub-committees
- ❖ Graduate Certificate in Internal Auditing Course Handbook
- ❖ Privacy Policy

The above documents are available on the website at: [www.iaa.org.au](http://www.iaa.org.au)

## Version

Version No	Date	Document Location	Name of Person	Comments
V1	May 2016		EC	Revised version
V2	29 Nov 2016		EC	Editing and formatting
V3	January 2017		EC	Updating for HES Framework 2015
V4	December 2018		IIA-Australia	Update email address
V5	June 2019		IIA-Australia	Update COPHE to IHEA
V6	August 2019		IIA-Australia	Remove any cost to complainant for external appeal
V7	August 2021		Education Manager	Update address Update Threshold Stds
V8	September 2022		Education Coordinator	Updated Branding

## Key Contact Details

The Institute of Internal Auditors-Australia  
PO Box A2311  
Sydney South NSW 1235

Telephone: + 61 2 9267 9155  
Facsimile: + 61 2 9264 9240  
E-mail: [education@iaa.org.au](mailto:education@iaa.org.au)  
Website: [www.iaa.org.au](http://www.iaa.org.au)

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