



COMPLAINTS & APPEALS POLICY

Purpose of this Policy

The purpose of the Complaints and Appeals Policy (the “Policy”) is to provide guidance on the process for initiating a complaint or appeal and the steps to be taken to fairly and effectively respond to complaints or appeals in a timely and professional manner.

The policy will guide the complaints and appeals process for all ADRC’s clients as it relates to the organisation’s activities and operations. It outlines the general procedures for:

- reporting a complaint or appeal
- recording and investigating a complaint or appeal
- decision making and resolving a complaint or appeal
- escalation process for persons dissatisfied with the initial resolution decision

For ease of reading, this policy document is separated into two parts:

Part ‘A’ addresses the process for **General Complaints**

Part ‘B’ addresses the process for **Appeals to Accreditation Assessment Process or Decision**

PART A – GENERAL COMPLAINTS

Reporting a General Complaint

A ‘complaint’ in this policy is defined as an expression of dissatisfaction with any aspect of the engagement with or services provided by ADRC.

First point of contact

We believe that most concerns can be effectively resolved through open and frank communication. Thus, training participants are encouraged to informally raise any complaints with the relevant faculty or staff member directly related to the matter prior to the submission of a formal complaint. In instances where the complainant is unwilling, for whatever reason, to use this mechanism, or has utilized it and believes that no satisfactory resolution has been achieved, he or she can then submit a formal complaint using the process outlined below.

How to Submit a Complaint

Individuals can submit an oral or written complaint, but may be required to complete and return the company’s official ‘Complaints Form’ in Appendix A. At a minimum, they are required to provide the following details to facilitate the effective investigation and resolution of the complaint raised: -

- Full name of the person(s) making complaint
- Contact information (contact number, email and address)
- Name(s) of person(s) complaint is being made against
- Date of incident - Description of incident / nature of complaint / key personnel involved

A formal complaint against a member of trainer, facilitator, coach, assessor and/or vendor involved in the training and/or learning process should be made to the Programme Coordinator using the following details:

Attn: Programme Coordinator of ADRC
1st Floor, No. 21, Jalan Maju 14000 Bukit Mertajam, Penang, Malaysia
Email: info@adrc.my
Mobile: +60124869406

A complaint against any staff employed by ADRC should be made in writing and addressed to the Chief Executive Officer using the following details:

Attn: Chief Executive Officer
1st Floor, No. 21, Jalan Maju, 14000 Bukit Mertajam, Penang, Malaysia
Email: info@adrc.my

Timeline(s) and Process

ADRC remains committed to addressing complaints in a timely manner. In this regard, the following timeline is utilized to ensure transparency and accountability:

- i. A written confirmation indicating receipt of the complaint will be issued within (two) 2 working days of a complaint being made.
- ii. The person assigned to investigate the complaint (an individual other than the person named in the complaint) shall contact the complainant, within ten (10) working days of a complaint being made, to inform them that they have been appointed to investigate the complaint and/or to request additional information as required.

- iii. The complainant will be provided with a response within thirty (30) working days of a complaint being made, to inform them of the status of the investigation. Such responses will either:
 - a. inform the complainant that additional time (which will be quantified) is required to conclude the investigation; or
 - b. represent the final report regarding the outcome of the investigation and shall include at a minimum, a description of the investigative process and scope, the validity of the complaint and any conclusions/decisions/recommendations to be taken.
- iv. Any party to the complaint who is dissatisfied with the final report regarding the outcome of the investigation and any conclusions/decisions/recommendations to be taken may appeal this decision by writing to the Chief Executive Officer.
- v. Appeals must be submitted in writing within two weeks of receiving the final report regarding the outcome of the investigation and any conclusions/decisions/recommendations.
- vi. The Chief Executive Officer will consider the grounds for the appeal and may review any documents submitted as part of the process and/or interview any or all parties to the complaint.
- vii. The Chief Executive Officer will render a written report within fifteen (15) working days of his findings which shall include, inter alia:
 - a. an evaluation of whether the complaint process was conducted in accordance with this policy
 - b. the appropriateness of any conclusions/decisions/recommendations outlined in the report
 - c. any applicable and /or recommended corrective course of action to be taken

Limitations

ADRC:

- i. reserves the right not to investigate complaints received more than one (1) year after the date of the incident identified in the complaint. This will be handled on a case-by-case basis and parties will be informed if a decision was taken to investigate the complaint, within ten (10) working days after receipt of the complaint.
- ii. will keep records of the complaint on file for a period of five (5) years.

Confidentiality

- i. By submitting a complaint, you give permission to ADRC and their delegated representative(s) to review all correspondence submitted or disclosure made, as part of the complaint received as part of the investigative process.
- ii. All conversations and documents relating to the complaint will be treated as confidential and will be disclosed only to the extent that is necessary. Please note that such disclosure will include the person about whom the complaint is made.

PART B – APPEALS TO ACCREDITATION ASSESSMENT PROCESS OR DECISION

An ‘**Accreditation Appeal**’ in this policy is defined as an expression of dissatisfaction about any aspect of the ADRC Accredited Mediator Assessment Process or Decision.

First point of contact

Training participants who are dissatisfied with the outcome of the Assessment decision may contact the Programme Coordinator of the Training Programme using the following contact details:

Attn: Programme Coordinator of ADRC
1st Floor, No. 21, Jalan Maju 14000 Bukit Mertajam, Penang, Malaysia
Email: info@adrc.my
Mobile: +60124869406

How to make an Assessment Appeal

- i. All appeals to Accreditation Assessment decisions shall be made within three months of the release of the Accreditation decision and must be made in writing.
- ii. At a minimum, persons making an appeal are required to provide the following details to facilitate the effective review and resolution of the appeal raised:
 - Full name of person(s) making appeal - Contact information (contact number, email and address)
 - Date(s) of assessment - Grounds of Appeal

Timeline(s) and Process

ADRC remains committed to addressing appeals to the Accreditation Assessment in a timely manner. In this regard, the following timeline is utilized to ensure transparency and accountability:

- i. A written response by the Programme Coordinator shall be issued within (two) 2 working days of an appeal being made. The response shall contain the following information:
 - Confirmation indicating receipt of the Accreditation Assessment Appeal.
 - Information about the appeals process –The name and/or designation of the person (the Reviewer) assigned to review the appeal (this shall be a senior faculty member who was not directly involved in the assessment of the candidate).
 - An overview of the gap evaluation of the accreditation assessment scores as recorded and the required changes needed for the candidate to receive a Pass score leading to Accreditation
 - Any requests for additional information as required.
- ii. The Programme Coordinator shall then forward all relevant documentation to the Reviewer inclusive of a copy of the Accreditation Appeal Submission, any recordings of the Assessment day(s), and the candidate’s Competency Assessment Scoresheet and notes.
- iii. The Reviewer shall review all the information before him/her and make a decision based on their evaluation.

- iv. The appeal candidate will be provided with a response within thirty (30) working days of the appeal being made, to inform him or her of the status of the appeal. Such responses will either: - inform the candidate that additional time (which will be quantified) is required to conclude the appeal; or - represent the final report regarding the outcome of the review process and shall include at a minimum, a description of the process and scope used and any conclusions/decisions to be taken regarding the award of Award of Accreditation or movement into another grade band.
- v. The Reviewer shall file a copy of the final evaluation report with the Programme Coordinator.
- vi. The decision of the Reviewer is final and cannot be further appealed.

Limitations

ADRC:

- i. Reserves the right not to accept Accreditation Assessment Appeals received more than three months after the date(s) of the Assessment.
- ii. Training participant records (video recordings, assessment score sheets etc.) are only kept for a period of 3 months after the date(s) of the Assessment.

Confidentiality

- i. By submitting an Accreditation Assessment Appeal, you give permission to ADRC and/or their delegated representative(s) to review all correspondence submitted or disclosure made, as part of the Appeal process or received as part of the review process.
- ii. All conversations and documents relating to the Appeal will be treated as confidential and will be disclosed only to the extent that is necessary.

Appendix A - Complaints Form
ADRC Complaints Form

A. COMPLAINANT PARTICULARS	
a. Date complaint is made	
b. First name of person making complaint	
c. Surname of person making complaint	
d. Contact number of person making complaint	
e. Email of person making complaint	
f. Address of person making complaint	
B. NATURE OF COMPLAINT	
a. First Name of person who committed the alleged offense (<i>if known</i>)	
b. Surname of person who committed the alleged offense (<i>if known</i>)	
c. Contact number of the person who committed the alleged offense (<i>if known</i>)	
d. Email of person who committed the alleged offense? (<i>if known</i>)	
e. Address of person who committed the alleged offense (<i>if known</i>)	
f. What date did the alleged incident take place?	
g. What time did the alleged incident take place?	
h. Where did the alleged incident take place?	

<p>i. Please describe the alleged incident.</p>	
<p>j. Do you have any documentation to support these allegations?</p>	
<p>k. What would a resolution of this complaint look like to you?</p>	
<p>l. Are you willing and available to provide additional information, if required, to ensure the speedy resolution of this complaint?</p>	<p>Yes / No</p>

I/We declare that the above particulars are true and correct to the best of my/our knowledge and belief.

Date: _____ Signature: _____

For Official Use Only	
Date of report received	
Name of person receiving the report	
Type of follow-action required	