



BREAKTHROUGHADR

Breakthrough ADR Complaints and Appeals Policy

I. Purpose

This policy establishes a transparent, fair, and accessible process for participants of Breakthrough ADR's training programs to submit complaints or appeal assessment and certification decisions. It ensures that all concerns are handled promptly, objectively, and in accordance with the principles of natural justice, procedural fairness, and the standards required by the accrediting body.

II. Scope

This policy applies to:

- A. All participants enrolled in any BreakthroughADR training or certification program.
- B. All complaints or appeals relating to:
 - i. Assessment or certification outcomes;
 - ii. Trainer, assessor, or staff conduct;
 - iii. Administrative, procedural, or academic matters that may affect a participant's experience or result.

This policy does not apply to general inquiries, feedback, or matters that fall under other Breakthrough ADR policies (e.g., data protection, code of conduct, or diversity and inclusion policies).

III. Guiding Principles

BreakthroughADR is committed to ensuring that:

- A. **Fairness and Impartiality:** All complaints and appeals are reviewed by individuals not involved in the original decision, with conflicts of interest actively avoided.
- B. **Confidentiality:** All information is handled sensitively and confidentially, in accordance with applicable privacy laws.
- C. **Accessibility:** Participants are informed of their right to lodge a complaint or appeal at the time of enrollment and throughout the course.
- D. **Non-Retaliation:** No participant will face disadvantage or reprisal for raising a genuine concern.
- E. **Timeliness:** All matters are acknowledged and resolved within reasonable and clearly defined timeframes.

IV. Complaints Procedure

A. Stage 1: Informal Resolution

Participants are encouraged to first raise their concern informally with the relevant trainer, assessor, or program coordinator within 10 business days of the event or issue. Most matters can be resolved quickly through direct communication and clarification.

B. Stage 2: Formal Complaint.

If the issue remains unresolved, the participant may submit a formal written complaint to the Program Director, Training and Accreditation at training@breakthroughadr.com. The complaint should include:

- i. The participant's name and course title;
- ii. A clear description of the issue, including relevant dates and evidence;
- iii. The outcome sought.

The Program Director will acknowledge receipt within five (5) business days and conduct an impartial investigation. A written decision, including reasons and any corrective actions, will be provided within twenty (20) business days of acknowledgment.

V. Appeals Procedure

Participants who wish to appeal an assessment or certification decision may do so using the process outlined below.

A. Grounds for Appeal

An appeal may be lodged on one or more of the following grounds:

- i. A procedural error or irregularity occurred in the assessment process;
- ii. The decision was not supported by sufficient evidence;
- iii. Bias, conflict of interest, or improper conduct influenced the decision;
- iv. New and material evidence has become available that was not previously considered.

B. Lodging an Appeal

Appeals must be submitted in writing to training@breakthroughadr.com within fifteen (15) business days of receiving the assessment or certification outcome. The appeal must specify the grounds, provide supporting documentation, and state the remedy sought.

C. Appeal Review Panel

Upon receipt, the Program Director will convene an Appeal Review Panel comprising:

- i. One senior assessor or trainer not involved in the original decision;
- ii. One member of Breakthrough ADR's leadership team, who will serve as chair.

The panel will review all relevant documentation and may, at its discretion, invite submissions from both the participant and the original assessor.

D. Outcome and Notification

The participant will be notified in writing of the panel's decision within thirty (30) business days of the appeal being lodged. The written notification will include the outcome, reasons for the decision, and any corrective actions. The decision of the Appeal Review Panel is final and binding.

VI. Recordkeeping and Confidentiality

All complaints and appeals, in. Records are retained for a minimum of five (5) years and may be reviewed for quality assurance or by the accrediting body upon request. Personal information is handled in accordance with applicable data protection legislation and Breakthrough ADR's Privacy Policy.

VII. Continuous Quality Improvement

Breakthrough ADR reviews complaints and appeals data periodically to identify patterns, training needs, and areas for improvement. Findings are discussed by the Training Team and incorporated into policy updates, trainer development, and curriculum review as part of our ongoing quality assurance framework.

VIII. Contact Information

All complaints and appeals should be directed to:

Program Director, Training and Accreditation

Breakthrough ADR LLC

Email: training@breakthroughadr.com