

## Complaints and Appeals Policy and Procedure

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<b>Implementation &amp; Review:</b>	<b>Vernon Stout, COO</b>
<b>Superseded Document:</b>	
<b>Related Documents:</b>	

Any questions or concerns with this Policy and Procedure document should be referred to the first-line supervisor. If questions are not resolved, follow the organizational chart.

### 1.0 Purpose

The purpose of this policy and procedure document is to ensure all end-users have ready access to a fair and inexpensive complaints and appeals process.

### 2.0 Scope

The policy and procedure applies to all cases of complaints or appeals, as defined, and is available to all end-users utilizing products and services under AboveTraining Inc. and its divisions.

The complaints and appeals process has three separate stages, depending on the nature of the complaint or appeal. These are:

- 1) An informal process between the persons involved.
- 2) An informal process between the end-user and first-line supervisor.
- 3) An internal formal process for matters that have not been able to be resolved informally.

### 3.0 Definitions

For purposes of this policy the following definitions are provided:

- *Appeal, n*—request for reconsideration of adverse decision.
  - *Examples:* failed the test twice, test wasn't clear, course information wasn't clear, course didn't adequately prepare for the test.
- *Complaint, n*—request for corrective action relating to the activities of the complainant as it directly relates to AboveTraining Inc.
  - *Examples:* Certificate information error, computer died, charged twice, course isn't playing properly.
- *Complainant, n*—the person lodging the complaint or appeal.
- *Proctor, n*—an individual approved by StateFoodSafety.com to oversee examination proceedings of the Certified Food Protection Manager (CFPM) Exam.

## **4.0 Policy**

1. AboveTraining Inc. will encourage all complaints to be resolved informally in the first instance. If the persons involved would like assistance to resolve a matter informally, they are encouraged to speak with a customer service staff member.
  - 4.1.1 Complaints regarding the CFPM Exam that arise during an exam session must be submitted to the proctor in the first instance.
    - 4.1.1.1 Complaints must be submitted to the proctor either before the exam commencement or after the exam has ended for all examinees, and not in any way that may distract or disrupt the exam session for other examinees.
2. If the complaint cannot be resolved informally in the first instance, persons involved are encouraged to speak with a customer service supervisor.
3. Formal Complaints must be emailed to [complaintsandappeals@statefoodsafety.com](mailto:complaintsandappeals@statefoodsafety.com), Customer service personnel then advise the person with authority, which is a member of Senior Management of the recommended solution. Formal complaints must be submitted in writing and contain the reason for complaint or appeal, steps of escalation, projected outcome, and means of restitution.
4. The process for resolving the formal written complaint will commence within ten (10) working days.
5. Resolving the matter will be considered a priority by AboveTraining Inc., and every reasonable resource will be committed to resolve the formal complaint or formal appeal as soon as possible. AboveTraining will report the resolution of formal complaints and appeals to the end-user within thirty (30) working days of the complaint or appeal's submission.
6. All complaints and appeals will be approached with a fair and transparent manner with the complainant being provided information about their formal complaint or formal appeal with corresponding resolution as deemed necessary.
7. The internal formal process will be at no cost to the complainant.
8. AboveTraining Inc. will ensure the matter is handled in confidentiality.
9. A written statement of outcome will be given to the complainant including reasons for decision.
10. The complainant's current state will be upheld during the formal process of complaint or appeal.

## **5.0 Procedure**

### **5.1 Informal Process**

1. Complainants are encouraged to resolve complaints informally in the first instance.
2. Any staff member can assist in resolving informal complaints.

- 5.2.1 Proctors can assist in resolving most informal complaints regarding the CFPM Exam that may arise during an exam session.
3. If informal complaints are not solved by a staff member or proctor, the claim is escalated to the Customer Service Supervisor.
  4. If the matter is resolved informally, there is no need for official records to be kept, other than an entry in the electronic customer support log.
  5. If the issue is not resolved, the complainant should proceed with a written formal complaint or appeal.

## 5.2 Formal Internal Review

1. Formal Complaints must be emailed to [complaintsandappeals@statefoodsafety.com](mailto:complaintsandappeals@statefoodsafety.com) which is forwarded to the person holding authority for the program. Formal complaints must be submitted in writing and contain the reason for complaint or appeal, steps of escalation, projected outcome, and means of restitution.

Consideration of complaints or appeals includes the following:

- Review relevant documentation
- Consider any informal decision made to date
- Discuss the matter with staff members and complainant
- Form a recommendation
- Notify the complainant in writing of any outcome

The process will commence no later than ten (10) days from receipt of formal complaint or appeal.

## 5.3 Review of formal Complaints and Appeals

1. Formal Complaints and Appeals are reviewed annually by senior management.
  - a. Reports contain frequency of complaints and appeals, decisions concerning them, and solutions to prevent repetitive complaints or appeals.

## 5.4 Review of informal complaints

1. Informal complaints are reviewed frequently as a matter of operation by customer support leads and the supervisor of the customer support team.
2. Senior management will review informal complaints monthly for the purpose of improving learner experience.
  - a. This review may be conducted by viewing the customer service dashboard.

## **6.0 Audit Frequency**

This policy and procedure document will be audited yearly.

## **7.0 Revision History**

4/14/2016 – Updated for CPFM Exam.

8/23/2017 – Updated to include review of informal complaints.

5/17/2018 – Update email address, minor grammatical changes