

## Complaint & Appeal Procedure

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**1. PURPOSE:**

The purpose of this procedure is to describe handling of incidents, complaints and appeals received from the candidate and/or certified person, in-house and from other parties. Complaints and appeals are recorded, evaluated, and addressed appropriately. Corrective actions and preventive actions are implemented as necessary. The complainants are notified of the results.

**2. SCOPE AND IMPLEMENTATION:**

This procedure covers all complaints and appeals received through written form (i.e., letter, email, required form; **IMS-F0-27**). It also includes adverse findings during examination (**IMS-F0-44: Incident Report**)

**3. REFERENCES:**

ISO 14001:2015	:	Environmental Management Systems
ISO 45001:2018	:	Occupational Health and Safety Management Systems
ISO 17024:2012	:	Conformity assessment — General requirements for bodies operating certification of persons
ISO 17025:2017	:	General requirements for the competence of testing and calibration laboratories
ISO 17065:2012	:	Conformity assessment — Requirements for bodies certifying products, processes, and services
IMS-GL-01	:	Examination Guidelines
IMS-PR-05	:	Corrective Action Procedure

**4. ABBREVIATIONS AND DEFINITIONS:**

For the purposes of this document, the terms and definitions given in ISO/IEC 17000, 17024, 19001, and the following apply.

4.1 Certification Process: activities by which a Certification Board determines that a person fulfils certification requirements (3.3), including application, assessment, decision on certification, recertification, and use of certificates (3.5) and logos/marks

4.2 Certification Scheme: competence (3.6) and other requirements related to specific occupational or skilled categories of persons

NOTE For other requirements, see 8.3 and 8.4.

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4.3 Certification Requirements: set of specified requirements, including requirements of the scheme to be fulfilled to establish or maintain certification

4.4 Scheme Owner: organization responsible for developing and maintaining a certification scheme (3.2)

4.5 Certificate: document issued by a Certification Board under the provisions of this International Standard, indicating that the named person has fulfilled the certification requirements (3.3)

4.6 Competence: ability to apply knowledge and skills to achieve intended results qualification demonstrated education, training, and work experience, where applicable

4.7 Assessment: process that evaluates a person's fulfilment of the requirements of the certification scheme (3.2)

4.8 Examination: mechanism that is part of the assessment (3.8) which measures a candidate's (3.14) competence (3.6) by one or more means, such as written, oral, practical, and observational, as defined in the certification scheme (3.2)

4.9 Examiner: person competent to conduct and score an examination (3.9), where the examination requires professional judgement

4.10 Invigilator: person authorized by the Certification Board who administers or supervises an examination (3.9), but does not evaluate the competence (3.6) of the candidate (3.14)

NOTE Other terms for invigilator are proctor, test administrator, supervisor

4.11 Personnel: individuals, internal or external, of the Certification Board carrying out activities for the Certification Board

NOTE These include committee members and volunteers.

4.12 Applicant: person who has applied to be admitted into the certification process (3.1)

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4.13 Candidate: applicant (3.13) who has fulfilled specified prerequisites and has been admitted to the certification process (3.1)

4.14 Impartiality: presence of objectivity

*NOTE 1 Objectivity means that conflicts of interest do not exist, or are resolved, so as not to adversely influence subsequent activities of the Certification Board.*

*NOTE 2 Other terms that are useful in conveying the element of impartiality are: independence, freedom from conflict of interests, freedom from bias, lack of prejudice, neutrality, fairness, open-mindedness, even-handedness, detachment, balance*

4.15 Fairness: equal opportunity for success provided to each candidate (3.14) in the certification process (3.1)

4.16 Validity: evidence that the assessment (3.8) measures what it is intended to measure, as defined by the certification scheme (3.2)

*NOTE In this international Standard, validity is also used in its adjective form "valid".*

4.17 Reliability: indicator of the extent to which examination (3.9) scores are consistent across different examination times and locations, different examination forms and different examiners (3.10)

4.18 Appeal: request by applicant (3.13), candidate (3.14) or certified person for reconsideration of any decision made by the Certification Board related to her/his desired certification status

4.19 Complaint: expression of dissatisfaction, other than appeal (3.19), by any individual or organization to a Certification Board, relating to the activities of that body or a certified person, where a response is expected

*NOTE Adapted from ISO/IEC 17000:2004, definition 6.5.*

4.20 Interested Party: individual, group or organization affected by the performance of a certified person or the Certification Board

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*EXAMPLES Certified person; user of the services of the certified person; employer of the certified person; consumer; governmental authority.*

- 4.21 Surveillance: periodic monitoring, during the periods of certification, of a certified person's performance to ensure continued compliance with the certification scheme

### 5. RESPONSIBILITIES

5.1 The QHSE Manager is responsible for recording, processing, and responding to all complaints and appeals. All received complaints and appeals are recorded in the Complaint & Appeal Status Log (**IMS-FO-43**).

5.2 The QHSE Manager evaluates and investigates every complaint and when relevant, requests implementation of corrective actions from the responsible function. The QHSE Manager, in conjunction with the Technical Manager determines the appropriate customer or candidate and/or certified person response. If investigation indicates that no problem was found, then the customer or candidate/certified person response is notified verbally. If Certification Board results are affected, then the notification is in writing.

5.3 The QHSE Manager evaluates and investigates every appeal and when relevant, requests implementation of corrective actions from the responsible Scheme Committee. The Scheme Committee determines the appropriate candidate and/or certified person response. The candidate and/or certified person response is notified in writing. Response to appeal is made within two weeks after the appeal is received.

### 6. PROCEDURE

#### 6.1 Complaints General

- 6.1.1 Every member of GCCLAB Certification Board staff is authorized to accept complaints and inform the QHSE Manager of the issue.
- 6.1.2 Complaints regarding the certified person shall be submitted to GCCLAB Certification Board. The complaints shall be submitted in writing. A current complaint form with instructions is available on the GCCLAB Certification Board website: <http://gcclab.com.sa/>.

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### 6.2 Appeals General

- 6.2.1 Appeals from the candidate and/or certified person shall be submitted to GCCLAB Certification Board. The appeals shall be submitted in writing. A current Complaint & Appeal Form (**IMS-FO-27**) with instructions is available on the GCCLAB Certification Board website: <http://gcclab.com.sa/>.
- 6.2.2 Appeals from a candidate and/or certified person shall be accepted if they are about the actual decision of certification (i.e., assessment of results) or the certification process.
- 6.2.3 The deadline for submitting appeals is three weeks form the date the results are officially reported to the candidate/certified person.

### 6.3 Closing of complaint and appeal

- 6.3.1 Depending on the nature of the non-conformity, the Management Representative and/or Certification Manager may follow-up with requests for corrective and preventive actions. When the investigation of candidate and/or certified person complaint and appeal determines that remote operation or other external organizations contributed to the complaint and appeal, the Certification Manager, or his delegate contacts the organization and provides them with all relevant information.
- 6.3.2 Every candidate's and/or certified person's complaint and appeal is recorded. The records are maintained by the Management Representative and/or Certification Manager. When there are copies of written communication, reports and other documents related to a complaint and appeal, these records are organized into a file and are identified with the complaint and appeal number and having records of the corresponding corrective or preventive actions. The records of investigations that concern product quality or other test characteristics are maintained by Certification Manager. Based on analysis of Candidate and/or Certified person and/or Other Parties complaint and appeal, necessary actions are taken, and candidate and/or certified person is replied for closing the complaint and appeal. Management Representative identifies need for taking corrective and preventive action to prevent such complaint and appeal in future and accordingly concerned person is informed.
- 6.3.3 All the complaint and appeal received by GCCLAB shall be closed within 7 working days after receipt of the complaint and appeal. Certification Manager is authorized for closing of complaint and appeal (via Incident Report; **IMS-FO-44** and Incident Log; **IMS-FO-45**).