



# Guidelines for Dealing with Complainand Appeal VVR 04

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## VVR 04

### 1- Definitions

#### •Complaint

Expression of dissatisfaction by any person or organization against to the activities of GOEIC EVVU or a CLIENT verified/validated by GOEIC EVVU.

#### •Appeal

It is a request by a CLIENT to GOEIC EVVU for reconsideration of any adverse decision made by GOEIC EVVU related to its desired verification/validation status.

#### •GOEIC EVVU Performance

GOEIC EVVU is committed to provide a world class, value adding verification/validation service and aim to maintain the highest standards in all GOEIC EVVU dealings with GOEIC EVVU CLIENTS, third parties and stakeholders. However, GOEIC EVVU recognize that on occasion it may be necessary for GOEIC EVVU CLIENTS, or those using verified/validated services to raise a complaint/appeal with GOEIC EVVU.

If you are a third party who has concerns about the activities of a GOEIC EVVU verified/validated CLIENT, or you are a direct CLIENT of GOEIC EVVU who is unhappy with GOEIC EVVU service, then GOEIC EVVU want to hear about it.

### 2- OEIC EVVU Can Help If:

- You are an GOEIC EVVU verified/validated CLIENT wanting to make a complaint/appeal or raise a concern.
- You have raised a complaint/appeal with an GOEIC EVVU verified/validated CLIENT but believe they have not addressed your concerns in line with verification/validation requirements.
- You have justifiable concerns a complaint/appeal against verified/validated CLIENT by GOEIC EVVU.
- You have noted a misuse of the verification/validation symbol.

### 3- GOEIC EVVU Can't Help If:

- The body/organization you wish to complain/appeal about is not GOEIC EVVU verified/validated.
- Your complaint/appeal is anonymous, verbal or not supported by clear evidence which would warrant /justify an investigation by GOEIC EVVU.
- Your issue surrounds specific financial or legal issues contractual disagreement with an GOEIC EVVU verified/validated CLIENT.



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### 4.What to do if you have a complaint/appeal?

GOEIC EVVU is committed to providing a world class, value adding verification/validation service in accordance with the requirements of ISO/IEC 17029, ISO 14065, related standard, International Accreditation Forum (IAF) and European Accreditation (EA) for the purpose of recognition arrangements. GOEIC EVVU aims to deal with any complaints/appeal GOEIC EVVU receives in a fair confidential and impartial manner.

### 5.GOEIC EVVU role and remit when dealing with complaints/appeals

GOEIC EVVU will investigate complaints/appeals in accordance with the requirements placed upon us by the international standard ISO/IEC 17029 and ISO 14065. GOEIC EVVU is not a regulator and as a consequence GOEIC EVVU doesn't have any legal powers. In addition, GOEIC EVVU is not an arbitration service and therefore, cannot mediate between a verified/validated CLIENT and its customers concerning any specific contractual or financial disagreements or legal issues. Anonymous, verbal or unsubstantiated complaints will not normally be logged and investigated by GOEIC EVVU unless there is clear evidence available to justify an investigation.

### 6.Confidentiality

GOEIC EVVU is required by the international standard ISO/IEC 17029 and ISO 14065 to have arrangements in place with all GOEIC EVVU CLIENTS to safeguard the confidentiality of information obtained via the process of verification/validation. Therefore, GOEIC EVVU is not permitted to disclose confidential information about its CLIENTS outside of the organization without the written consent of the CLIENT. The only exception is where the law requires such information to be disclosed without such consent

### 7.How will GOEIC EVVU deal with your complaint/appeal?

Once GOEIC EVVU receive your complaint/appeal in writing GOEIC EVVU will review all the evidence you have provided. This process may require the submission of additional information or further clarification of the issues prior to the complaint/appeal being formally logged. If GOEIC EVVU determine during the review process that the matter being complained/appealed about is not within GOEIC EVVU remit, GOEIC EVVU will advise you as to why your complaint/appeal will not be pursued. On completion of GOEIC EVVU review, GOEIC EVVU will register your complaint/appeal, allocate a unique reference number and an investigating officer/Committee will be appointed. A formal acknowledgement confirming receipt of the complaint/appeal, detailing the GOEIC EVVU remit for the investigation, will be sent on completion of the logging process.

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This normally takes place within 7 working days of receipt, unless further information or clarification is required. GOEIC EVVU will provide details of the likely timescales for the investigation to be completed. It should be noted that timescales may vary dependent on the severity and extent of the issues within the complaint/appeal. On completion of GOEIC EVVU investigation, GOEIC EVVU will inform you of the outcome and whether your complaint/appeal has or has not been upheld. Please note for complaints/appeals received from third parties about GOEIC EVVU verified/validated CLIENTs, GOEIC EVVU is limited as to the level of information, GOEIC EVVU may provide in relation to GOEIC EVVU investigation and the complaint/appeal outcome for reasons of confidentiality.

- All persons involved shall take necessary measures to preserve the confidentiality of information obtained during the investigation of the complaint.
- A complainant may request to remain anonymous to other parties involved in providing information for the investigation and the designated investigator shall take adequate steps to preserve confidentiality.
- Any individuals named as investigators that have a real or perceived conflict of interest or confidentiality issue with the information included within the complaint shall excuse themselves immediately from any discussions or potential receipt of information regarding the specific complaint.

### 8. Timing of Complaints Process

- If the complainant is unable to submit all necessary information within 30 days of the submission of the original information to enable GOEIC EVVU to authenticate the complaint, GOEIC EVVU shall close the complaint and inform the complainant of the closure.

### 9. Conditions for Acceptance of a Complaint/Appeal

GOEIC EVVU's policy is to accept complaints/appeals which are relevant to GOEIC EVVU, or to the related verified/validated activities of an GOEIC EVVU verified/validated CLIENT; if authenticated, received by e-mail, website, filed in person, or by phone. Authentication would normally involve the receipt of a complain request record and/or other documentary evidence. This formal procedure shall be followed when a complaint/appeal is received.

### 10. Types of Complaints/Appeals

Complaints/appeals received by GOEIC EVVU are categorized into two types:

- TYPE A

Concerning the activities of GOEIC EVVU, e.g. Complaints/appeals about conduct of assessments, conduct of GOEIC EVVU staff.

- TYPE B

Is directed to GOEIC EVVU concerning the verification/validation activities of GOEIC EVVU-verified/validated bodies.



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### 11. Handling The Complaint

After a complaint is received in GOEIC EVVU, GOEIC EVVU quality manager will register it and then GOEIC EVVU designate the relevant manager/committee concerned with the complaint. GOEIC EVVU quality manager will send a copy of the complaint to the relevant manager/committee for investigation.

- For complaints of type A

The relevant manager will investigate the complaint and then prepare a written report on complain to describe whether GOEIC EVVU procedures and policies have been met or not. Where grounds have been found for GOEIC EVVU to reconsider its treatment of the complainant, the report will append specific recommendations on the actions to be taken.

- For complaints of type B

GOEIC EVVU shall formally designate a committee to deal with the complaint, the committee formally request the verified/validated CLIENT to respond to GOEIC EVVU, giving initial comment on complain and indicating the actions it propose to be taken to investigate.

On receipt of the report, GOEIC EVVU may if necessary modify the appended recommendations (but not the factual report). GOEIC EVVU will formally notify the complainant as soon as possible with the outcome of GOEIC EVVU investigations and proposed GOEIC EVVU actions.

GOEIC EVVU shall keep all papers of the complaint (the original complaint, the report of complaint investigation, the formal report and other correspondences) in a file named "COMPLAINTS".

### 12. Handling with Appeals

- Conditions for acceptance of an appeal

Appeals will be considered only against an verification/validation decision made by GOEIC EVVU relating to the granting, maintaining, extending, reducing, suspending or terminating of verification/validation.

This process should not be followed for appeals received without documented authentication.

All appeals concerning the verification/validation decisions of GOEIC EVVU shall be directed to GOEIC EVVU and not to any committees, groups or committees associated with GOEIC EVVU. Appeals shall not be handled by any group or committee except as indicated in this procedure.

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### 13. Timescales

GOEIC EVVU quality manager shall inform all appellants in writing, within 7 working days of receipt of an authenticated appeal of the action that GOEIC EVVU plans to be taken.

Where the appellant does not accept the results of the internal review by GOEIC EVVU and when GOEIC EVVU has no justifiable reason to reject the appeal then, the appeal shall be considered by an appeals committee within 30 days of receipt of the authenticated appeal, the appellant shall be given at least 7 working days' notice of the time and place of the meeting of the appeals committee.

If an appellant fail to provide the information required by GOEIC EVVU and any other attachments to authenticate the appeal within a period of 21 days from receipt of the appeal request from GOEIC EVVU the appeal shall be automatically rendered invalid.

The independent appeal committee has all rights to investigate or asking for any documents related to the appeal, also it investigates the situations with the appellant and with the relevant managers.

After all, needed clarification for appeal has been done; appeal committee takes its independent decision for the appeal.

Appeal committee decision is a final decision and no resuming can be done on it.

GOEIC EVVU has to notify the appellant with the appeal committee decision outcomes after its declaration and resuming the process after that according to the appeal committee decision.



