Complaints and Appeals Form

In case of any concerns or disagreements regarding certification, certification decisions or other activities, all clients and stakeholders shall use this Complaint and Appeals Form. Below this form, we explain our Complaints and Appeals process step by step.

**Is this a Complaint or an Appeal?** Complaint Appeal

First Name: First Name. Last Name: Last Name.

Company Name: Company Name.

Phone: Phone.

E-Mail: E-Mail address.

Subject of Complaint or Appeal: Subject of the Complaint or Appeal.

Date of Decision or Event: Please state the date of the decision or event.

Description of Complaint or Appeal:

Detailed description of Complaint or Appeal.

Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: 2025-10-07

Please **print the form as a PDF file**, **sign the PDF with a digital signature**, and **send the PDF file**, **including the supporting evidence as PDF file(s)**, **by email** to:

[**info@cert-authority.com**](mailto:info@cert-authority.com)

We hereby inform you that we only process Complaints and Appeals which are submitted (1) using this form, (2) are fully filled out and digitally signed, (3) sent by email using an unchangeable PDF file, and (4) include supporting evidence. Supporting evidence shall be, for reasons of IT security and data protection, only be submitted as PDF files. To comply with IT security and data protection laws and regulations we will dismiss Complaints and Appeals that contain other file formats without further notice.

## Handling of Complaints – Process

|  |  |
| --- | --- |
|  | 1. **Submission of the Complaint**   Complaints shall be submitted within **10 days after the decision or event** that triggered the respective issue.  Your Complaint **shall include a clear and detailed description of the issue, including the specific activities or decisions in question** and **supporting documentation or evidence related to the complaint.**  As a Complainant you fill out this form and send it by email to us. |
|  | 1. **Acknowledgment of Receipt of the Complaint**   The Complainant is, if possible, informed within **10 days after receipt of the Complaint** that their Complaint has been received and is under review. |
|  | 1. **Logging of the Complaint in the Complaints Register**   Upon receipt of a Complaint, we log the Complaint onto the Complaints Register. |
|  | 1. **Examination and Investigation of the Complaint by the Appeals Committee**   First, we confirm whether the Complaint relates to certification activities that we are responsible for and, if so, we will deal with it. If the Complaint relates to a certified client, then examination of the Complaint will consider the effectiveness of the certified management system of the certified client. Where the complaint is not related to Certification of a certified client, the complaint is dismissed without further notice. In all other cases, the Complaint is reviewed by individuals who were not involved in the subject of the Complaint and have no conflicts of interest. |
|  | 1. **Decision on the Complaint**   After the investigation is completed, we issue a decision on the complaint. The decision includes a clear statement of whether the complaint has been upheld or rejected, along with the reasons for the decision. If the complaint is upheld, any corrective actions required to resolve the issue and prevent recurrence are clearly outlined. |
|  | 1. **Notification of the Complainant**   Whenever possible, we provide the Complainant with a **progress report every 30 days** and the **result of the Complaint within 10 days after the Decision on the Complaint** was made. |

## Handling of Appeals – Process

|  |  |
| --- | --- |
|  | 1. **Submission of the Appeal**   Appeals shall be submitted within **10 days following the appealed decision**.  Your Appeal **shall include a clear description of the decision being appealed, along with any supporting documentation.** You must **provide specific reasons for the appeal, outlining why you believe the decision should be reconsidered.**  As an Appellant you fill out this form and send it by email to us. |
|  | 1. **Acknowledgment of Receipt of the Appeal**   The Appellant is informed within **10 days after receipt of the Appeal** that their Appeal has been received and is under review. |
|  | 1. **Logging of the Appeal in the Complaints Register**   Upon receipt of an Appeal, we log the Appeal onto the Complaints Register, along with the original Complaint. |
|  | 1. **Independent Review and Evaluation of Evidence**   The appeal is reviewed by individuals who were not involved in the original certification decision or audits. These individuals are free from conflicts of interest with the client. The appeals committee reviews the evidence submitted, along with any relevant records related to the certification decision. Where a member of the appeals committee was involved in auditing the client, or made the appealed decision, the member will be excluded from the appeals committee for the specific decision on appeals. |
|  | 1. **Decision on the Appeal**   Following a thorough review of the appeal, we issue a formal decision. The decision includes a clear statement of whether the appeal has been upheld or rejected, along with the reasons for the decision. If the appeal is upheld, it will state any actions to be taken by us to rectify the situation (e.g., modifying the certification decision). They are clearly outlined. |
|  | 1. **Notification of the Appellant**   We provide the Appellant with a **progress report every 30 days after the Appeal** was filed and the **result of the Appeal within 10 days after the decision on the Appeal** was made. |