

## 1 Purpose

The current guideline helps CBs to establish and publish its formal process to deal with complaints and appeals in a fair, impartial, confidential and constructive manner. The process shall ensure that all complaints and appeals are handled and processed within a 3-month period from the date of receipt of a written complaint or appeal. The process shall also comply with all the provisions of section 9.6 of the IPMA ICR 4.01.

## 2 Appeal

**Definition:** Appeal is a formal request for reconsiderations or review of a decision made by a CB.

**Who can appeal:**

- An Applicant, if his or her application was not accepted;
- A Candidate, if he or she hasn't successfully completed one of the assessment steps or if, after completion of all assessment steps, the CB decided not to award with an IPMA certificate. No further evidence of competence shall be accepted as part of the appeal.

**How to appeal:** The appeal shall be send to [spm\\_cb@spm.or.jp](mailto:spm_cb@spm.or.jp)

**When:** Appeals must be submitted within 30 calendar days of the decision being appealed.

**Fees:** CB may ask for appeal fees. In this case, those fees shall be explicit and communicated to applicants. Fees will be applicable after reception of a valid appeal and refunded to applicant or candidate if the appeal's decision is favourable to the appellant.

CB process steps and responsibilities are shown in the table below.

**Table 1. CB process steps dealing with appeals**

Responsibility	Process steps	Results
Applicant or Candidate	Submitted appeal of a CB decision within 30 calendar days of the decision being appealed.	Appeal received by CB administration
CB administration	Review the appeal validity: <ul style="list-style-type: none"> <li>• If the appellant is an applicant or candidate;</li> <li>• If the decision referred in the appeal has been made in the last 30 calendar days;</li> </ul> If one of be above clauses is not verified, the appeal is not accepted. CB administration shall: <ul style="list-style-type: none"> <li>• Record the appeal (even the ones not valid);</li> </ul>	To the appellant: <ul style="list-style-type: none"> <li>• confirmation of receipt</li> </ul> Or <ul style="list-style-type: none"> <li>• non-acceptance explanation</li> </ul> To CB 'Certification Manager' with acknowledge to the Head of CB

	<ul style="list-style-type: none"> <li>• Send a confirmation of receipt of a valid appeal or acknowledged explaining why the appeal is not valid;</li> <li>• Send valid appeal to CB 'Certification Manager';</li> <li>• Invoice fees, if applicable</li> </ul>	
CB 'Certification Manager'	<p>The CB 'Certification Manager' shall first try to resolve the appeal within its own operational management.</p> <p>In the first instance, it is proposed to the candidate a review of results between the applicant /candidate and the Lead Assessor of his/her certification process or step. If the applicant/candidate does not agree with the justifications, the appeal will be escalated to the Head of CB and CB Complaints and Appeals Committee for review and decision.</p> <p>CB 'Certification Manager' shall prepare a package to "CB Complaints and Appeals Committee". This package shall include all evidences supporting the CB decision, including the list of assessors who provide evaluation / scoring.</p>	<p>Applicant pack to CB Complaints and Appeals Committee</p> <p>Or</p> <p>CB administration with the resolution made in CB operational level</p>
CB Complaints and Appeals Committee	<p>The members of the Complaints and Appeals committee shall be appointed by the CB's strategic management and shall not have been involved in the appeal that is being made.</p> <p>CB Complaints and Appeals Committee shall review if documented policies and procedures of CB were followed and if the assessment of the appellant's competence has been done based on a fair and impartial assessment.</p> <p>Appeal results shall be send to appellant.</p> <p>If the appeal leads to discover a failure in CB assessment process, the CB shall inform IPMA of any Adverse Effect and take all reasonable steps to:</p> <ul style="list-style-type: none"> <li>• identify any other Candidate who has been affected by the failure;</li> <li>• correct or, where it cannot be corrected, mitigate as far as possible both Adverse and other effects of the failure; and</li> <li>• ensure that the failure does not recur in the future.</li> </ul>	<p>To the appellant:</p> <ul style="list-style-type: none"> <li>• Appeal result</li> </ul> <p>To CB administration</p> <ul style="list-style-type: none"> <li>• Appeal result copy</li> <li>• Decision to refund fees (if applicable)</li> </ul> <p>CB 'Certification Manager'</p> <ul style="list-style-type: none"> <li>• Any improvement or corrective action</li> </ul> <p>If required, inform IPMA (CVMB)</p>
CB administration	<p>All appeal results shall be recorded.</p> <p>If applicable, fees shall be refunded.</p> <p>Ensures that the all process is concluded within 30 calendar days.</p> <p>If appellant doesn't agree with the appeal result, CB shall provide IPMA contact for escalation process.</p>	

### 3 Complaint

**Definition:** Complaint is an expression of dissatisfaction by an individual or organization to a CB. The complaint may be related with any person or situation involved in the certification process.

**Who sends a complaint:** There are no restrictions. Any person can present a complaint against a CB.

**How to complain:** The complaints shall be send to [spm\\_cb@spm.or.jp](mailto:spm_cb@spm.or.jp)

**When:** There are no date restrictions.

**Fees:** No fees are applicable

CB process steps and responsibilities are shown in the table below.

**Table 2. CB process steps dealing with complaints**

Responsibility	Process steps	Results
	Submitted a complaint	Complaint received by CB administration
CB administration	CB administration shall: <ul style="list-style-type: none"> <li>• Record the complaint;</li> <li>• Send a confirmation of receipt;</li> <li>• Send complaint to CB 'Certification Manager'</li> </ul>	Send confirmation of receipt  To CB 'Certification Manager':
CB 'Certification Manager' and Head of CB	The CB 'Certification Manager' shall first try to resolve the complaint within the operational management level.  If it's not possible, then the Certification Manager shall send the complaint to the CB Complaints and Appeals Committee	Complaint to CB Complaints and Appeals Committee Or CB administration with the resolution
CB Complaints and Appeals Committee	The members of the Complaints and Appeals committee shall be appointed by the CB's strategic management and shall not have been involved in the complaint that is being made, not one of the persons focus on the complaint neither one assessor involved on the activity base of the complaint.  CB Complaints and Appeals Committee shall review the complaint and decide if a corrective action shall be implemented. the action to take.	To the complaint: <ul style="list-style-type: none"> <li>• Complaint result</li> </ul> To CB administration <ul style="list-style-type: none"> <li>• Complaint result copy</li> </ul> CB 'Certification Manager' <ul style="list-style-type: none"> <li>• Any improvement or corrective action</li> </ul>
CB administration	All complaint results shall be recorded.  Ensures that the all process is concluded within 30 calendar days.	