

Complaints and Appeals Step by Step

Purpose

- a system of handling of incidents, complaints and appeals received
- it includes receiving, evaluating and make decisions on complaints/appeals

Responsible

- Management Representative
- Director of Operations
- Managing Director

What is a complaint?

Incidents of grievance or dissatisfaction with Safety Skills Training

How to Submit a complaint/appeal?

- Witten to info@sstworldwide.com
- Verbal/in Person to +971 4 456 0455

Step 1

Complaint/Appeal
Received

Step 2

Report
Complaint/Appeal

Step 3

Acknowledge Receipt of
Complaint/Appeal

Step 4

Validate & Evaluate
Complaint/Appeal

Step 5

Investigate & Root-cause
Analysis

Step 6

Decision

Step 7

Complaint/Appeal
Resolved & Closed

Complaints and Appeals Step by Step

Follow the below steps: The below examples/suggestions are a guideline and can be elaborated.

Complaints may be:

- internal in nature – raised by a SST Staff Member with regard to internal service, operations or Employee performance
- external in nature – raised by SST Applicant/ Candidate / Certified Persons, Suppliers or other affiliated organizations
- written to info@sstworldwide.com
- verbal (In Person)

Type of Complaints:

Suggestions

- Positive feedback identifying preventive action and system improvement. May be internal or external in nature, written or verbal.

Appeals

- Request by applicant, candidate or certified person for reconsideration of any decision made by SST to their desired certification status.

Observations

- Witnessed incidents of service / operational deficiency, malfunction and or failure. Made by individuals who are independent of the activity witnessed and therefore objective in nature. Observations also play important role in identification of preventive action and system improvement.

Opportunities for Improvement

- incidents where the system has not failed, yet greater operational efficiency may be obtained in analyzing current practice. Often collected internally, but input from external sources is also beneficial.

Any Applicant, Candidate or Certified Person, who fails to satisfy an examination or surveillance, may appeal against the decision.

Ensure this process is available on the company website at, www.sstworldwide.com.

1. Complaint/ Appeal Received

1. Applicant, Candidate or Certified Person, Other Parties submits complaint/appeal.
2. Representative/Director of Operations Receives Complaint/Appeals

2. Report Complaint/ Appeal

1. Complete Incident report – Personnel/ Management Representative records all information and details of the complaint/appeal and submits to Management Representative/Director of Operations for further action
2. Complete Incident log - Management Representative records all information and details of the complaint/appeal (Managing Representative is responsible for maintaining the Incident log)

3. Acknowledge Receipt of Complaint/ Appeal

1. Management Representative contacts (telephone, email, ect.) the complainant/ appellant to acknowledge the receipt of information within 5 working days. Complaint pack sent to Complainant/Appellant.

Complaint pack:

- An acknowledgement that the Complaint/Appeal has been received
- Our Complaints and Appeals handling process with contact details and escalation points
- Complaints and Appeals Procedure
- Gather Further Information (if needed)

***Note:** The Management Representative shall ensure that details with respect to the Complainant/Appellant and actions there upon is not shared and kept confidential as well as ensure that no discriminatory or retaliatory action is taken against the Appellant. To further ensure this, the total case related to appeal is handled by the Appeal Committee to ensure bias free evaluation of each appeal.

4. Validate & Evaluate Complaint/Appeal

1. Management Representative/Director of Operations validates the complaint/appeal

- Check necessary back-up records
- Personal interview of Examiners / Invigilators / Personnel (who were involved in the Examination/Decision Making)
- Discussion with concerned Applicant/ Candidate / Certified Person
- Review of examination report

2. Management Representative evaluates/analyses the issue to determine if there is System error, procedure, person, applicant, candidate, certified person error. The possible complaints are:

- Administration – problems with appointments, certification files, certificates issued or issued late,
- Examiners / Invigilators / Sub-Contractors problems with incomplete examination or surveillance documentation
- Agents – problems with general compliance with Safety Skills Training DMCC administration or Examination procedures

3. Managing Director appoints the members of the Appeals Committee (Appeals ONLY)

- Appeals Committee will hear the appeal (All personnel involved in the appeals process will be different from those who made the certification decision.)
- If Managing Director is part of the Examination / Certification Team - appoint the Investigating Officer for the appeals process & Involve the Impartiality Committee and / or Safety Skills Training DMCC board of directors to provide decision on the appeal.

4. Opportunity for Improvement/Suggestion (ONLY) - Management Representative determine any conflict with ISO/IEC 17024 or SST policies.

- in conflict - the same is communicated to the Initiator and the suggestion is discussed in management review.
- not in conflict - study for benefits and impact on other processes
- accepted if found beneficial and does not adversely impact any other process, implement through CAPA (QPO4)
- Management Representative determines the changes in existing documentation and implements through document change process (QPO1)

5. Inform Complainant/appellant about the plan of action for investigation, progress reports and action there upon.

***Note:** Complaint / observation against an Applicant / Candidate / Certified Person - Management Representative studies the complaint and discusses with the Examiners / Invigilators from the person's last examination.

- Complaint is sent to the Candidate / Certified Person for a response (No confidential reports or information will be sent to Complainants without written permission from the Applicant/ Candidate / Certified Person)
- Adequate time is given to the Applicant/ Candidate / Certified Person for response.
- Management Representative follows up for a response (if needed).

***Note:** In case of complaints and observations, it may be against Safety Skills Training DMCC (system / procedure / person) or a Safety Skills Training DMCC Applicant/ Candidate/ Certified Person. In case of suggestion / opportunity for improvement, it is for Safety Skills Training DMCC to study the suggestion and decide.

5. Investigate & Root-cause Analysis

1. Management Representative (Appeals to be handled by Managing Director) analyses the issue to determine of the root cause

- Criteria (System, procedure, person, applicant, candidate, certified person error, ect.)

2. Appeal Sub-Committee reviews the appeal (Appeal ONLY)

- Investigate (which may include discussion with concerned Applicant Candidate / Certified Person, respective Examiners / Invigilators / Lead Examiners / Invigilators and review of examination report).
- May also direct any other Lead Examiners / Invigilators to visit the site and determine the validity of the appeal.
- Decision taken by Appeal Sub-Committee shall be communicated to the Applicant / Candidate / Certified Person and to the Management Representative for necessary action.

3. Corrective Action and Preventive Action (CAPA)

- Management Representative identifies the need for/determines corrective and preventive action (Follow QPO4 – CAPA Procedure)
- The correction is effected immediately to satisfy the Complainant - may include training / counseling the person involved.
- Appropriate action is taken based on discussions (change in procedure / formats, training to all personnel etc).

6. Decision

1. Decision on the appeal (Appeals ONLY)

- Appeals Committee will determine the outcome
- Appeals Committee have overall responsibility for the decisions made
- Taken based on the decision by the Appeals committee and/ Impartiality Committee
- Take into account the results of previous similar appeals.
- Results of the appeal will be reported to the Board of Directors.

2. Final Decision sent to complainant/appellant

- Management Representative communicates at the end of the process detailing the findings and outcome
- a copy of the investigation report is sent to the Complainant/Appellant

***Note:** If complaint/appeal is not resolved the case will be forwarded to the Appeals Committee/Impartiality Committee/Board of Directors, repeating step 4, 5 and 6. In case the issue still remains open; the same shall be intimated to the Accreditation Board for its valuable comments.

7. Complaint/Appeal resolved & Closed

1. Update Incident report as CLOSED

2. Records are maintained by the Management Representative

- These records are organized into a file and are identified with the Incident report number
- Update Applicant/ Candidate / Certified Person file and decision form (If necessary for appeal)
- Save copies of written communication, reports, corresponding corrective or preventive actions and other documents related to a complaint/appeal
- A copy of the records kept in the complaints and appeals folder

***Note:** All the complaints/appeals received by SST will be closed within 10 working days after receipt of the complaint/appeal.

***Note: All appeals made are collated and analyzed on a yearly basis. Necessary corrective and preventive actions shall be taken based on the appeal trend. Appeal trends and corrective and preventive action taken shall also be reviewed as part of the Management Committee meeting and the Impartiality Committee meeting.**