



**Global
Platform®**

The standard for
secure digital services
and devices

GlobalPlatform Technology

Complaint & Appeals Process Document

Version 1.2

Public Release

August 2024

Document Reference: GP_PRO_069

Copyright © 2020-2024 GlobalPlatform, Inc. All Rights Reserved.

Recipients of this document are invited to submit, with their comments, notification of any relevant patents or other intellectual property rights of which they may be aware which might be necessarily infringed by the implementation of the specification or other work product set forth in this document, and to provide supporting documentation. This document (and the information herein) is subject to updates, revisions, and extensions by GlobalPlatform, and may be disseminated without restriction. Use of the information herein (whether or not obtained directly from GlobalPlatform) is subject to the terms of the corresponding GlobalPlatform license agreement on the GlobalPlatform website (the "License"). Any use (including but not limited to sublicensing) inconsistent with the License is strictly prohibited.

THIS SPECIFICATION OR OTHER WORK PRODUCT IS BEING OFFERED WITHOUT ANY WARRANTY WHATSOEVER, AND IN PARTICULAR, ANY WARRANTY OF NON-INFRINGEMENT IS EXPRESSLY DISCLAIMED. ANY IMPLEMENTATION OF THIS SPECIFICATION OR OTHER WORK PRODUCT SHALL BE MADE ENTIRELY AT THE IMPLEMENTER'S OWN RISK, AND NEITHER THE COMPANY, NOR ANY OF ITS MEMBERS OR SUBMITTERS, SHALL HAVE ANY LIABILITY WHATSOEVER TO ANY IMPLEMENTER OR THIRD PARTY FOR ANY DAMAGES OF ANY NATURE WHATSOEVER DIRECTLY OR INDIRECTLY ARISING FROM THE IMPLEMENTATION OF THIS SPECIFICATION OR OTHER WORK PRODUCT.

Contents

1	Introduction	4
1.1	Audience	4
1.2	IPR Disclaimer	4
1.3	References.....	4
1.4	Terminology and Definitions	4
1.5	Abbreviations	4
1.6	Revision History	5
2	Processes for Complaints and Appeals.....	6
2.1	Responsibilities Regarding Complaints and Appeals	6
2.2	Complaint Procedure	7
2.2.1	Conditions	7
2.2.2	Process	7
2.3	Appeal Procedure	8
2.3.1	Filing.....	8
2.3.2	Acceptance	8
2.3.3	Process	8

Tables

Table 1-1:	References	4
Table 1-2:	Abbreviations.....	4
Table 1-3:	Revision History	5

1 INTRODUCTION

This document describes the management of complaints and appeals related to the development of GlobalPlatform technical work and Certification Body activities.

1.1 Audience

This document is intended primarily for all parties involved in the management of complaints and appeals related to the development of GlobalPlatform technical work and Certification Body activities, as well as any interested party seeking to submit such a complaint or appeal to GlobalPlatform.

1.2 IPR Disclaimer

Attention is drawn to the possibility that some of the elements of this GlobalPlatform specification or other work product may be the subject of intellectual property rights (IPR) held by GlobalPlatform members or others. For additional information regarding any such IPR that have been brought to the attention of GlobalPlatform, please visit <https://globalplatform.org/specifications/ip-disclaimers/>. GlobalPlatform shall not be held responsible for identifying any or all such IPR, and takes no position concerning the possible existence or the evidence, validity, or scope of any such IPR.

1.3 References

The table below lists references applicable to this specification. The latest version of each reference applies unless a publication date or version is explicitly stated.

Table 1-1: References

Standard / Specification	Description	Ref
GP_PRO_063	Certification Body Quality Manual	[GPCB]
	Process and Procedures Manual	[GPPM]

1.4 Terminology and Definitions

Selected terms used in this document are defined in [GPCB] and [GPPM].

1.5 Abbreviations

Table 1-2: Abbreviations

Abbreviation	Meaning
CB	Certification Body

1.6 Revision History

GlobalPlatform technical documents numbered n.0 are major releases. Those numbered n.1, n.2, etc., are minor releases where changes typically introduce supplementary items that do not impact backward compatibility or interoperability of the specifications. Those numbered n.n.1, n.n.2, etc., are maintenance releases that incorporate errata and precisions; all non-trivial changes are indicated, often with revision marks.

Table 1-3: Revision History

Date	Version	Description
October 2020	1.0	Public Release
May 2023	1.1	Specifies that the Quality Manager is responsible for investigating and assessing certain complaints. Specifies responsibilities for investigating issues related to CB quality management.
August 2024	1.2	Specifies the alternate person responsible in case the original person responsible for investigating and assessing complaints is the subject matter of the complaint. Specifies the period allowed for any extension of investigation and filing of appeal. Specifies the scope of the subject matter allowed in the appeal.

2 PROCESSES FOR COMPLAINTS AND APPEALS

2.1 Responsibilities Regarding Complaints and Appeals

The Operations Secretariat is responsible for receiving and maintaining records of complaints and appeals related to the development of GlobalPlatform technical work and Certification Body activities, and providing formal notice of the outcome to the complainant or appellant.

The following complaint categories are distinguished:

- Complaints on Laboratory Accreditation
- Complaints on Test Tool Qualification
- Complaints on Product Functional certification or Product Security Certification
- Complaints on specification development
- Complaints on member publications
- Complaints about CB quality management

For complaints relating to Laboratory Accreditation, Test Tool Qualification, Product Functional certification, or Product Security certification:

- The Quality Manager is responsible for investigating and assessing complaints.
- The Certification Director is responsible for making a final decision on complaints and, if necessary, investigating and assessing appeals.

For complaints relating to specification development and member publications:

- The Operations Secretariat is responsible for investigating and assessing complaints.

The Chief Technology Officer is responsible for determining a final decision on complaints and, if necessary, investigating and assessing appeals.

For complaints relating to the CB quality management:

- The Process Owner is responsible for investigating and assessing complaints.
- The Certification Director is responsible for determining a final decision on complaints and, if necessary, investigating and assessing appeals.

The Executive Director is responsible for determining a final decision on all appeals and this decision is presented to the Executive Committee for final endorsement. If any Member of the Executive Committee or their company is named as part of the complaint, then the entire Board will need to ratify the decision and such individuals will need to recuse themselves from the decision. However, if an action of the Executive Director is the subject matter being appealed, the Chairman of the Board will be responsible for determining a final decision on the appeal.

In any case where the action of the person responsible for investigating and assessing complaints is the subject matter of the complaint, such person shall abstain from the investigation and assessment and the EC will nominate a replacement for this item.

2.2 Complaint Procedure

This section details procedures for complaints that concern the actions and decisions of GlobalPlatform and its groups and that are related to the complaint categories noted in section 2.1.

2.2.1 Conditions

1. Complaints may only be submitted by persons or organizations that are directly, materially, or adversely affected by the activities related to the complaint.
2. Complaints filed with GlobalPlatform must:
 - a. be introduced within 30 days after GlobalPlatform has officially communicated the result of a Laboratory Accreditation, a Test Tool Qualification, or a Product Certification, or has published a specification or member document;
 - b. be accompanied by documentation providing all relevant details of the complaint;
 - c. include any supporting evidence or documentation, such as statements and explanations related to the issue; and
 - d. not be repeated unless a minimum of 6 weeks has passed.
3. The person or organization making the complaint shall not derive any rights or presume the validity of the claim based on the fact that GlobalPlatform is investigating the complaint.

2.2.2 Process

1. The complaint shall be submitted by e-mail sent to the Operations Secretariat at: secretariat@globalplatform.org.
2. The complaint, along with the personal and/or company information of the complainant (full name, address, and other contact details), shall include the complainant's personal opinion about the assessment and/or conclusion, the supporting documentation noted in section 2.2.1 subsection 2.b and c, and reasons for disapproval with the decision reached, as well as the settlement being sought.
3. The Operations Secretariat will acknowledge receipt of the complaint, assign a complaint reference number (CPYYYYMMnn), and notify the person responsible noted in section 2.1 for investigating and assessing the complaint.
4. The person responsible will investigate and assess the complaint, taking into account advice from the technical experts, where necessary, to determine the facts of the case and an appropriate response or resolution. This investigation will be completed within 30 days from receipt of the complaint. If more time is needed, the complainant will be notified of progress and estimated timeline. Extension of investigation shall be no more than 14 days.
5. Records of complaints, investigations, and proposed resolutions will be provided to and maintained by the Operations Secretariat.
6. Proposed resolutions will be reviewed and ratified by the person responsible for making a final decision prior to onward communication.
7. The Operations Secretariat will communicate outcomes or proposed resolutions to the complainant.
8. If the complainant agrees with the outcome or proposed resolution at this stage, then the complaint does not proceed to further stages and the complaint is closed.
9. If the complainant is not satisfied with the outcome or proposed resolution, the complaint will remain open and the complainant may submit an Appeal within 14 days. (see section 2.3).

Note that the Operations Secretariat will compile a summary of all submitted complaints, along with outcomes or resolutions, for review by the GlobalPlatform Board of Directors, a minimum of once per year.

2.3 Appeal Procedure

This procedure stipulates the way in which an appellant may appeal a decision of GlobalPlatform with respect to a complaint.

2.3.1 Filing

1. Appeals may only be submitted by persons or organizations that are directly, materially, or adversely affected by the activities related to the initial complaint / appeal.
2. The appeal must be submitted within 14 days after the decision on the disputed complaint is communicated to the complainant. Note that any response communicated by the complainant in relation to the outcome or proposed resolution in GlobalPlatform's initial reply is considered as an appeal and will be processed by the person responsible as such. If the complainant has not communicated an appeal or response within 14 days, the complaint shall be considered closed, and the outcome or proposed resolution shall be considered final.
3. The appeal shall be submitted by e-mail sent to the Operations Secretariat at: secretariat@globalplatform.org.
4. The appeal shall only be limited to the outcome or proposed resolution to the original complaint. Issues beyond said scope or any new information included in the claimant's response to GlobalPlatform's initial reply shall be considered as a separate complaint and will be assigned a new complaint reference number (see section 2.2.2).

2.3.2 Acceptance

1. The appellant can only submit an appeal after the Operations Secretariat has communicated a final decision on the complaint.
2. If the appeal is submitted within the required timeline and by the appropriate person or organization (as set forth in section 2.3.1), and no prior appeal has been submitted, the appeal will be accepted by GlobalPlatform, with no undue burden imposed on the appellant.
3. When an appeal has been accepted by GlobalPlatform, the appeal is considered formal and will be dealt with according to this procedure.

2.3.3 Process

1. Upon acceptance of an appeal, the Operations Secretariat will promptly acknowledge receipt and assign an appeal reference number (APYYYYMMnn).
2. The person responsible noted in section 2.1 for investigating and assessing appeals will be notified of the filed appeal.
3. The person responsible will investigate and assess the appeal, taking into account advice from the technical experts where necessary, to determine the facts of the case and an appropriate response or resolution. This investigation will be completed within 30 days of receipt of the appeal. If more time is needed, the appellant will be notified of progress and estimated timeline. Extension of investigation shall be no more than 14 days.

4. All appeals will be handled by the relevant parties promptly and in a fair, unbiased, and impartial manner.
5. Records of appeals, investigations, and proposed resolutions will be provided to and maintained by the Operations Secretariat.
6. Proposed resolutions will be reviewed and decided expeditiously by the person responsible prior to onward communication.
7. The Operations Secretariat will communicate outcomes of the final decision to the appellant and the appeal is final and closed. Note that appeals may not be repeated or re-submitted.