



Complaints and Appeals Process

U.S. Alliance For Election Excellence
Certifying Body

1. Policy Statement. The U.S. Alliance for Election Excellence Certifying Body (the “**Certifying Body**”) must be responsive to complaints and appeals. Certification Applicants and Election Jurisdictions with an interest in the Certifying Body’s certification decisions must have the opportunity to make complaints, as well as appeal certification decisions. Appropriate responsiveness, management, and resolution of complaints and appeals demonstrates integrity and credibility to all users of certification determinations.
2. Initial Determination.
 - a. Appeals are challenges to a denial of certification by the Certifying Body. Appeals shall be handled in accordance with Section 3 of this policy.
 - b. Complaints are criticisms or other grievances about the Certifying Body’s certification procedures, services, or other actions that are not appeals of a specific certification decision. Complaints shall be handled in accordance with Section 4 of this policy.
3. Handling Appeals.
 - a. All Certification Applicants whose application for certification was denied have a right to submit an appeal within 60 days of being denied certification.
 - b. Appeals shall be received, evaluated, and resolved in accordance with this Complaints and Appeals Policy.

- c. Appeals shall be submitted to the Certifying Body Manager, whose email is sophie@techandcivicliflife.org. On behalf of the Certifying Body, the Certifying Body Manager shall investigate each appeal, gathering all necessary information to determine whether the appeal can be substantiated, and submit a proposed resolution in writing to the Impartiality and Appeals Committee. Such committee may cause the Certifying Body to carry out the Certifying Body Manager's suggested resolution or require a different resolution.
 - d. The Certifying Body Manager must ensure that each appeal is investigated, substantiated, tracked, and recorded so that appropriate action can be taken. As part of that process, the Certifying Body Manager may, if directed by the Impartiality and Appeals Committee, assign new reviewers to repeat the certification review process and make a new recommendation regarding certification.
 - e. The Certifying Body Manager shall cause each appellant to receive confirmation of the receipt of their appeal **within three (3) business days** of receipt, progress reports during review (if available), and confirmation of the ultimate outcome.
 - f. Decisions or investigations with respect to any appeal shall not be made, reviewed, or approved by any individual primarily involved in the decision that was the subject of the appeal, namely the two reviewers involved in the review of the certification application or an outside expert called in to perform a supplemental review of the certification application (when applicable); provided, however, the Manager's role of issuing a final certification decision, when the reviews of reviewers match or when affirming the determination of an outside expert shall not constitute being primarily involved in the decision.
 - g. All appeals shall be processed and resolved as soon as reasonably possible.
4. Handling Complaints.
- a. Complaints shall be received, evaluated, and resolved in accordance with this Complaints and Appeals Policy.
 - b. Complaints shall be submitted to the Certifying Body Manager, whose email is sophie@techandcivicliflife.org. On behalf of the Certifying Body, the Certifying Body Manager shall investigate each complaint, gathering all necessary information to determine whether the complaint can be substantiated, and submit a proposed resolution in writing to the Impartiality and Appeals Committee. Such committee may cause the Certifying Body to carry out the Certifying Body Manager's suggested resolution or require a different resolution.

- c. The Certifying Body Manager must ensure that each complaint is investigated, substantiated, tracked, and recorded so that appropriate action can be taken. The Certifying Body Manager may delegate responsibility for complaint review and resolution to other Certifying Body staff.
- d. The Certifying Body Manager shall cause each complainant to receive confirmation of the receipt of their complaint **within three (3) business** days of receipt, progress reports during review (if available), and confirmation of the ultimate outcome.
- e. Decisions on any complaint shall not be made, reviewed, or approved by any individual involved in facts or circumstances that led to the complaint. When a complaint involves the Certifying Body Manager, the Certification Admin shall take over the role that the Certifying Body Manager would have otherwise held in addressing the complaint.
- f. All complaints shall be processed and resolved as soon as reasonably possible.