



# INTEGRATED QUALITY CERTIFICATION PVT. LTD.

BUSINESS PROCESS OPERATION

APPEALS AND COMPLAINTS

IQC-BPO-09-IMS REV 00 dated: 01.08.2017

## 1.0 Purpose

- a. Evaluation of appeals and decision making
- b. Investigation of complaints and initiating appropriate corrective and preventive actions.

## 2.0 Scope

This procedure shall be applicable to all certification services offered by IQC in all regions within their accredited and non-accredited scope including any limitations.

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*External agencies shall be responsible to maintain confidentiality of this document and protect from further distribution.*

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01.08.2017

Date changed to 01.08.2017 for restarting from Rev 00 to develop a bench mark for control of all documents

Rev 00 dt.15.04.2016 and Rev 01 dt.3.10.2016 are obsolete copies

Rev

DATE

PREPARED BY TM


REVIEWED BY GM

APPROVED BY MD

## 3.0 Reference


ISO/IEC 17021 9.7 and 9.8

IQC-IMM-01 and referred documents

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#### 4.0 ABBREVIATIONS

AB	Accreditation Body	IQC	Integrated Quality Certification Pvt. Ltd
AE	Accounts Executive	ISO	International Organization for Standardization
AGMO	Assistant General Manager Operations	JAS-ANZ	Joint Accreditation System for Australia and New Zealand
AMBD	Assistant manager Business Development	LA	Lead Auditor
AMES	Assistant Manager Engineering Services	MAA	Manager Accounts & Administration
ANZSIC	Australia New Zealand standard industrial classification	MD	Managing Director
AS4801	Australian Standard for Occupational Health and Safety Management Systems	CM	Compliance Manager
AUD	Auditor	NABCB	National Accreditation Board for Certification Bodies, India
BPO	Business Process Operation	OA	Office Assistant
CAC	Certification Advisory Committee	OHSAS	Occupational Health and Safety Management Systems (BS 18001 / AS 4801)
CAM	Competence Analysis Member	PAC	Pacific Accreditation Co-operation
CDC	Certification Decision Committee	IQP	Initial Competence and Quality Plan
CPD	Continuous Professional Development	QHSE	Quality, Health, Safety and Environment Integrated Management System
ECC	Executive Certification Coordination	QMS	Quality Management Systems (ISO 9001)
ETS	Executive, Technical Support	QMS-MD	QMS-Medical Devices
EMS	Environmental Management Systems (ISO 14001)	QR	Quality Record
GM	General Manager	RO	Resident Officer
IAF	International Accreditation Forum	RR	Resident Representative
IMM	Integrated Management Manual	SIC	Standard Industrial Classification
IMS	Integrated Management Systems	TM	Technical Manager
ISMS	Information security management system	TPM	Technical Panel Member
It SMS	Information technology and security management system		


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## 5. Definitions

<b>Complaint</b>	<p>A complaint means where a client or other interested / affected parties, either in written and / or verbal, identifying an unsatisfactory service and conduct of IQC auditor(s).</p> <p>A complaint means where an affected party, client or other interested party has either in writing or verbally identified an unsatisfactory service of IQC or conduct of IQC auditor(s).</p>
<b>Appeal</b>	<p>An appeal is a plea / request preferred by a client of IQC to the highest decision making committee seeking a resolution on decisions made while handling of a compliant or dispute or a plea on a certification decision made by IQC.</p>

## 6.0 Procedure

<b>6.1</b>	<p><b>APPEALS</b></p> <ol style="list-style-type: none"> <li>1. IQC shall provide certification services as per documented procedures, meeting the requirements of accreditation criteria with focus on impartiality, competence, responsibility, openness and confidentiality during all stages of service delivery.</li> <li>2. However appeals received from interested parties against decisions of IQC taken during certification service delivery and associated processes shall be handled in non-discriminatory manner by appointing an independent committee. IQC shall be responsible for decisions at all levels of appeal handling process.</li> <li>3. Appeals committee shall comprise Director, Technical expert and a member of Certification Advisory Committee. A legal advisor may be a member of the committee, if required. Director shall be the coordinator for the appeals committee.</li> <li>4. No member of the appeals committee shall be a member of the audit team or operations for a specific client for which appeal has been registered.</li> <li>5. Appeals shall be registered by GM with all details and acknowledgement sent to the appellant within 7 working days. Register shall be updated with the action undertaken to resolve appeal upon completion of all the activities.</li> <li>6. Appeals committee shall review the appeal and discuss the circumstances necessitating the client to appeal and conclude the findings based on the merit of each appeal and previous similar appeal.</li> <li>7. A predetermined date shall be decided for the hearing and the appellant's representative informed of the hearing date to enable them to nominate a representative. Appellant's representative shall be provided an opportunity to present their details. Prepare an investigation report.</li> <li>8. After providing opportunities to all concerned parties, a decision shall be given by the committee, which is binding on all concerned.</li> <li>9. Once the decision of the appeals committee is completed, appellant shall be informed in writing, of the decision within 7 days of decision. During the appeal handling process, progress report is made available upon request of the appellant.</li> <li>10. The decision of the appeals committee shall be reviewed by MD and necessary corrective action taken to prevent recurrence of similar appeals and prevent occurrence of potential appeals in future.</li> </ol>
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<b>6.2</b>	<p><b>COMPLAINTS</b></p> <p>a) Register all the written or verbal complaints within scope of services provided. Acknowledge the receipt to the complaining authority. IQC may also inform the progress of the resolution of the complaint, if required, in case of any delay in resolution. IQC shall be responsible for decisions at all levels of complaint handling process.</p> <p>b) Review the complaint whether it relates to certification activities that IQC is responsible or whether a complaint relates to a certified client, which may require consideration of effectiveness of certified management system. Any complaint about a certified client shall also be referred by IQC to relevant client under consideration. Record the complaint in Corrective action request form.</p> <p>c) IQC shall be responsible to gather all the information about the complaint and verify its validity.</p> <p>d) Analyse the root cause and identify the corrective actions needed within 15 days. Additional time may be considered for a specific complaint with justification, if required. 30 days is the maximum time frame after the first hearing or as decided in the first hearing as the target date for closure of the complaint. If the complainant is not satisfied with the solution or if the time frame is exceeded the complainant may complain to the accreditation body, JAS-ANZ/NABCB.</p> <p>e) The decision of the complaint shall be reviewed and approved by IQC member not involved in the subject of complaint.</p> <p>f) Inform the client of the action taken and the resolution within 7 days of the completion of the action.</p> <p>g) Monitor effectiveness of corrective action. Revise Quality System documents as required</p> <p>h) IQC shall determine along with the client and complainant, the extent of subject complaint and resolution which can be made public.</p> <p>i) Log of appeals and customer complaints shall be maintained</p>
<b>6.3</b>	Business Process Operations for Appeals and complaints shall be uploaded in IQC web site for easy accessibility to the interested parties

### **7.0. Quality Documents / Records**

- a. Corrective Action Request (QF01 IQC-BPO-11)
- b. Log of customer complaints.
- c. Correspondences with Client
- d. Appeals committee investigation report
- e. Management Review records

### **8.0. Responsibility matrix**

<b>Activity</b>	<b>Responsibility</b>	<b>Accountability</b>	<b>Consulting</b>	<b>Information</b>
Recording complaint	TM	Director	MD / GM	MAA, AGMO
Analysis of appeals and complaints	Director	MD	GM	MAA, AGMO
Resolution and Decision	Director	MD	GM	MAA, AGMO
Updating CAR	TM	GM	MD	AGMO
Management review records	TM	GM	MD	AGMO