

	Integrated Quality Certification Private Limited	
	Business Process Operation	Appeals And Complaints ISO17021-1:2015
	IQC-BPO-09-IMS Rev 03 Dated 07.10.2020	

1.0 Purpose




a. Receipt, evaluation of appeals and decision making
b. Investigation of complaints and initiating appropriate corrective and preventive actions across at all levels.

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.

07.10.2020			
Date	Prepared By TM	Reviewed By GM-PBC	Approved By MD

3.0 Reference

ISO/IEC 17021-1:2015 9.7 and 9.8
IQC-IMM-01 and referred documents

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4.0 ABBREVIATIONS

AB	Accreditation Body	ABMS	Anti-bribery management systems (ISO 37001)
AM MS	Asset management — Management Systems (ISO 55001)	ANZSIC	Australia New Zealand standard Industrial classification
AS4801	Australian Standard for Occupational Health and Safety Management Systems	BPO	Business Process Operation
BCMS	Business Continuity Management System (ISO 22301)	CPD	Continuous Professional Development
Ed MS	Educational organizations —Management systems (ISO 21001)	EMS	Environmental Management Systems (ISO14001)
En MS	Energy Management systems (ISO 50001)	FSMS	Food safety Management Systems (ISO 22000)
ICA-QP	Initial Competence Analysis and Quality Plan	ISMS	Information Security Management System (ISO 27001)
ItSMS	Information Technology and Security Management system (ISO 20001)	IAF	International Accreditation Forum
IAF-MLA	International Accreditation Forum – Multilateral Recognition Arrangement	IAS	International Accreditation services
IQC	Integrated Quality Certification Pvt. Ltd	IMM	Integrated Management Manual
IMS	Integrated Management Systems	ISO	International Organization for
JAS-ANZ	Joint Accreditation System for Australia And New Zealand	MD-QMS	Medical Devices- Quality Management Systems(ISO13485)
NABCB	National Accreditation Board for Certification Bodies, India	OHSMS	Occupational Health and Safety Management Systems (ISO 45001)
QMS	Quality Management Systems(ISO9001)	SIC	Standard Industrial Classification
STAR	Security sTar Agencies Rating Scheme		
Integrated Quality Certification Pvt. Ltd - Organization			
BOD	Board of Directors	MD	Managing Director
DIR	Director	IRM	Impartiality Review Member
TM	Technical Manager	DC	Document Controller
TPM	Technical Panel Member	CAM	Competent Assessment Members
TC	Technical committee	CDC	Certification Decision Committee
GM-PBC	General Manager - Product Development /Business Development/System Compliance	RMPD	Regional Manager – Product Development
TPC	Training & Product Development Co-Ordinator	RM	Regional Manager
GMO	General Manager Operations	MC	Manager Certification
MC	Manager Certification	ECC	Executive Certificate Co-ordinator
AM-AAS	Assistant Manager-Accounts, Administration & Safety	OSC	Office Cum Safety Co-Ordinator

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5. Definitions

Complaint	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).
Appeal	An appeal is a plea / request made by a client of IQC to the highest decision making committee seeking a resolution on decisions made while handling of a complaint or dispute or a plea on recommendation for certification decision made by IQC.

6.0 Procedure

6.1	<p>Appeals</p> <ol style="list-style-type: none"> 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. 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. 3. IQC shall be responsible for decisions at all levels of appeal handling process and such decisions shall not result in any discriminatory action against the appellant. 4. Appeals committee shall comprise Director, Technical expert and IRM. A legal advisor may be a member of the committee, if required. Director shall be the coordinator for the appeals committee. 5. No member of the appeals committee shall be a member of the audit team, certification decisions or operations for a specific client for which appeal has been registered. 6. 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. 7. 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. 8. 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. 9. After providing opportunities to all concerned parties, a decision shall be given by the committee, which is binding on all concerned. 10. 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 to the appellant. 11. 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.
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6.2	<p>Complaints</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 and such decisions shall not result in any discriminatory action against the complainant.</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 register, evaluate, make decisions, be responsible to gather all the information about the complaint and verify its validity and ensure confidentiality as it relates to the complainant and to the subject of the complaint.</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. During the complaint handling process, progress report/result of complaint is made available to the complainant.</p> <p>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>
6.3	<p>Business Process Operations for Appeals and complaints shall be uploaded in IQC web site for easy accessibility to the interested parties</p>

7.0. Quality Documents / Records

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

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8.0. Responsibility matrix

Activity	Responsibility	Accountability	Consulting	Information
Recording compliant	TM	Director	MD / GM-PBC	AM-AAS, GMO, RM, MC/ECC
Analysis of appeals and complaints	Director	MD	GM-PBC/TM	
Resolution and Decision	Director	MD	GM-PBC/TM	
Updating CAR	TM	GM-PBC	MD	
Management review records	TM	GM-PBC	MD	