

Document Title:		
Procedure for Handling of Appeals and Complaints		
Revision No: 04		Date: 01-10-2018
Document No: MSCD001/P-08 (CI 9.7, 9.8)	Prepared By: MR	Approved By: Director Operations

1.0 Amendment Record

Rev No.	Date	Section	Description of Change	Approved By
01	7-12-2016	6.1 and 6.2	Restructured the contents in sections 6.1 and 6.2	Director Operations
02	6-2-2017	5	Technical Manager added	Director Operations
03	20-12-2017	6.2	Mention of verbal complaints added	Director Operations
04	01-10-2018	1.0	The Amendment Record table is restructured	Director Operations
		6.0	Added 'Identified interested parties'	

2.0 Purpose

To establish and maintain a process by which an appeal or complaint made by an applicant, certified client or interested parties against decisions made by ZQAPL-MSCD001 are dealt and resolved in a fair and reasonable manner.

3.0 Scope

All appeals and complaints made by applicants, certified clients or interested parties.

4.0 References

ISO/IEC 17021-1:2015 - Clause 9.7, 9.8
Section 9.7 and 9.8 of Quality Management System Manual

5.0 Responsibility

Director Operations, Technical Manager, CFSI Chairperson

6.0 Procedure

ZQAPL-MSCD001 has identified interested parties such as Accreditation board, Foreign partners, Tax authorities, Employees, Empaneled Auditors, Technical experts.

6.1 Appeals

A statement shall be in writing with identification of the sender for consideration as appeal. An appeal is generally made by a client to reconsider a ZQAPL-MSCD001 decision related to certification i.e. granting, maintaining, renewing, extending, reducing, suspending and withdrawing of certification.

Applicant, certified clients are advised of the appeal process in the "Informative Guide" provided to them at an appropriate stage of contact with ZQAPL-MSCD001. Informative guide is publicly accessible.

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The Informative Guide provides the contact e-mail for the clients to appeal. The e-mail goes to Director Operations who in turn deals with the appeal.

The receipt of the appeal is acknowledged to the concerned party in writing, and appellant is informed about the progress and outcome.

It is ensured that the person/s engaged in the appeals-handling process are different from those who carried out the audits and made the certification decisions or been involved in the subject of appeal. If Director Operations was involved as an auditor or certification decision maker in the case against which the appeal has been made, then the appeal is forwarded to CFSI chairperson and appellant is informed about this.

Submission, investigation and decision on appeals do not result in any discriminatory actions against the appellant.

Effectiveness of these actions is reviewed by Director Operations or the CFSI Chairperson, as responsible to deal with specific appeal. The decisions taken by Director Operations or CFSI Chairperson is binding on ZQAPL-MSCD001 to take suitable actions.

ZQAPL-MSCD001 gives a formal notice to the appellant at the end of the appeals-handling process and the relevant records are maintained. The feedback is sought from the appellant / concerned client.

Once the appeal has been resolved by ZQAPL-MSCD001 Director Operations and/or ZQAPL-MSCD001 Committee for Safeguarding Impartiality (CFSI) Chairperson, then no counter claim by either party in dispute can be made to amend or change the decision.

In instances where the appeal has been successful and the Certificate reinstated, then no claim can be made against ZQAPL-MSCD001 for reimbursement of costs or any losses incurred as a result of the initial withdrawal notification.

6.2 Complaints

A statement shall be in writing with identification of the sender for consideration as complaint. In case of verbal complaint, the complainant shall be requested to put it in writing or the same shall be recorded at ZQAPL-MSCD001 by the recipient and shall be confirmed with the complainant.

The complaints can be made by the client expressing dissatisfaction over ZQAPL-MSCD001 decision related to certification i.e. granting, maintaining, renewing, extending, reducing, suspending and withdrawing of certification or any other unacceptable situation arising out of ZQAPL-MSCD001 activities with the client and a response is expected.

Applicant, certified clients or interested parties are advised of the complaint process in the "Informative Guide" provided to them at an appropriate stage of contact with ZQAPL-MSCD001. Informative guide is publicly accessible.

The Informative Guide provides the contact e-mail for the clients to complaint. The e-mail goes to Director Operations who in turn deals with the complaint.

This process is subjected to requirements for confidentiality, as it relates to the complainant and to the subject of the complaint.

ZQAPL-MSCD001 gathers and verifies all necessary information to validate the complaint and acknowledge receipt of the complaint, and provides the complainant with progress reports and the outcome.

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It is ensured that the person/s engaged in the complaint handling process are different from those who carried out the audits or been involved in the subject of complaint. If Director Operations was involved as an auditor or certification decision in the case against which the complaint has been made, then the complaint is forwarded to CFSI chairperson and complainant is informed about this.

Submission, investigation and decision on complaints do not result in any discriminatory actions against the appellant.

Effectiveness of these actions is reviewed by Director Operations or the CFSI Chairperson, as responsible to deal with specific complaint. The decisions taken by Director Operations or CFSI Chairperson is binding on ZQAPL-MSCD001 to take suitable actions.

ZQAPL-MSCD001 gives a formal notice to the complainant at the end of the complaint handling process and the relevant records are maintained. And the feedback is taken from the complainant / concerned client.

In another case, a complaint can be made by an Interested Party against ZQAPL-MSCD001 certified client/s. An interested party is generally the one who has business interest with ZQAPL-MSCD001 certified client/s.

A statement shall be in writing with identification of the sender for consideration as complaint. In case of verbal complaint, the complainant shall be requested to put it in writing or the same shall be recorded at ZQAPL-MSCD001 by the recipient and shall be confirmed with the complainant.

This process is subjected to requirements for confidentiality, as it relates to the complainant and to the subject of the complaint.

Upon receipt of a complaint from such an interested party, ZQAPL-MSCD001 confirms whether the complaint relates to certification activities that it is responsible for, and if so, takes necessary correction and corrective actions. If the complaint relates to a certified client, then examination of the complaint is done by a short notice audit at client's end and base on the audit outcome, necessary correction and corrective actions are taken.

Submission, investigation and decision on complaints do not result in any discriminatory actions against the complainant.

The complaint from an interested party is dealt by Director Operations. And in case, the interested party (complainant) does not accept the outcome reported by Director Operations then the interested party (complainant) has the right to raise the matter with Committee for safeguarding Impartiality (CFSI) chairperson.

The Informative Guide provides the contact e-mail id of ZQAPL-MSCD001 Director Operations and CFSI chairperson.

ZQAPL-MSCD001 gives a formal notice to the complainant at the end of the complaint handling process and the relevant records are maintained. The feedback is sought from the complainant / concerned client.

ZQAPL-MSCD001 determines together with the client and the complainant that to what an extent, the subject of the complaint and its resolution is to be made public.

7.0 Records

- Appeal Complaint Log
- Records of Appeal and Complaints

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- Corrective Action Request (Appeals / Complaints)