

<b>BSA INTERNATIONAL CERTIFICATION CO. PRIVATE LIMITED</b>	<p style="text-align: center;"><b><u>BUSINESS PROCEDURE</u></b></p> <p style="text-align: center;"><b>APPEAL AND COMPLAINT</b></p>	Doc No : BSA/BP/AAC/01 Issue No : 04 Issue Date : 25.09.19 Revision No : 00 <b>CLAUSE :</b> <b>ISO/IEC 17021-1:2015</b>
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## **Revision and Issue History**

Revision	Issue	Date	Description	Remarks
00	01	01.11.10	Original Release as per Standard ISO/IEC 17021:2011	
00	02	12.12.12	Revision and Issue History Added	
00	03	25.02.16	Revised as per Standard ISO/IEC 17021-1:2015	
00	04	25.09.19	Action taken regarding diverging opinions regarding the audit findings clarified more specific.	

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**OBJECTIVE:**

To define a procedure to ensure that appeal, complaints and disputes with clients or any interested party are promptly dealt with.

**WHAT THIS PROCEDURE APPLIES TO:**

Applicable to all services of BSA.

**PROCEDURE:**

Appeals, complaints and disputes brought to the notice of BSA are promptly dealt with and remain confidential, Information about the client from source other than the client are kept confidential. This procedure is applicable to decisions pertaining to certification including maintenance.

It is ensured that personnel including those acting in managerial capacity are not employed to investigate any appeal, Complaint or dispute if they have been directly involved in the activities(as specified in Clause 9.7.3 of ISO 17021:2011)towards the organization or any other party involved in the appeal, complaint or dispute in question within the two years.

It is ensured that submission, investigation and decision on appeals and complaints shall not result in any discriminatory actions against the appellant/complainant.

In situation where appeals or complaints cannot be resolved by nominated representative or the Head of operation, the same shall be referred to CAC.

The head of operation / Certification Manager are normally receiving the appeal and also responsible for gathering and verifying all necessary information to validate the appeal.

A Summary of appeals/complaints received, action taken/complained is forwarded to the Head of operation for presentation in the Management Review meeting. Actions as decided in the Management Review meeting are implemented.

Any diverging opinions regarding the audit findings or conclusions between the audit team and the client that are not resolved is recorded by Team leader in Appeal form (BSA/FMT/APF/01) or Complaint log (BSA/FMT/COL/01) and refer to the BSA in same day of the audit, it will be handle as per appeal or complaint procedure.

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**Appeals:**

“Appeal” means "any request for review that is conveyed in writing, against a decision made by BSA taking into consideration the explanation provided by the client". This may be either during the course of audit at the client's premises or any work pertaining to BSA.

Appeals can be due to:

- Refusal of an audit by BSA;
- Non acceptance of scope of certification;
- Decisions made on misuse, suspension, withdrawal, cancellation, extending and reducing  
The certification;
- Failure to recommend certification by BSA;
- Notification by any third party/interested party against the grant of certification by BSA.

Any appeal from client or interested parties seeking redress when received is Recorded (Appeal form-BSA/FMT/APF/01) and acknowledged the head of operation / Certification Manager are normally receiving the appeal and also responsible for gathering and verifying all necessary information to validate the appeal.

The appeal should contain all available documentary evidence. Any such appeals referred to management are examined in fairness and reviewed by Nominated representative and any other personnel as required either separately or jointly. The appellant may be asked to withdraw the appeal if found not relevant. Actions shall be initiated by Nominated representative for resolving the appeals within a stipulated period of 3 months.

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Resolution of Appeal shall be handled in the following manner;

- a. An outlines of the process for receiving, validating and investigating the appeal;
- b. And for deciding what action needs to be taken in response to it, taking in to account the result of previous similar appeals.
- c. Tracking and recording appeals, including actions undertaken to resolve them;
- d. Ensuring that any appropriate correction and corrective action are taken.

E Attempt is made by the team leader to resolve the issue at the audit site

F If the appeal is not resolved; the matter is taken up to nominated representative and Head of operation.

G )In case the Head of operation is unable to resolve the appeal, the same shall be referred, with all information (including documentary evidence)to the CAC.

The CAC will hold a special session and the aspects will be specifically reviewed. At-least three members of the CAC will have to be present when the Appeal is taken up.

Where ever necessary the CAC may directly inquire the appellant. The appeals referred to CAC are examined in fairness and reviewed by them or by any other personnel as may be required, either separately or jointly.

Nominated representative tracks and maintains a record of all appeals along with remedial actions pertaining to the certification system and keeps the appellant updated about the progress and outcome.

Nominated representative identifies problems requiring any actions to prevent recurrence of the above for corrective action (and preventive action if required) commensurate with the nature and risk involved. These include measures such as;

Restoring conformity to the certification system process assessing the effectiveness of remedial/Corrective actions taken.

A formal notice of conclusion of the appeal handling process shall be provided to the appellant.

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### 3. Complaints:

Normally complaints (dissatisfaction expressed by a person or by the organizations) are made to BSA Head of Operation. However, when any out port receives any complaint, The BSA head of operation receiving the complaint, he takes responsible for gathering and Verifying all necessary information to validate the complaint.

it is passed on to Nominated representative, Any complaint received by BSA, whether it pertains to BSA functions or the certified organization , would be treated in all seriousness and investigated. The BSA Head of Operation is responsible for all decisions at all levels of the complaints handling process. Submission, investigation and decision on complaints shall not result in any discriminatory actions against the complainant. These complaints are recorded and the complainant would be informed of the receipt of complaint and advised on the investigation required within a reasonable time. Actions are initiated by nominated representative (normally at most times Head of operation act as a nominee) for resolving and restoring conformity to management system and for closing the complaint within three month from the date of receipt of complaint unless delayed for a specific reason. The results and action taken/Completed are informed accordingly to the concerned parties.

Any valid complaint about a certified client is also be referred by the BSA to the certified client in question at an appropriate time.

The decision to be communicated to the complainant shall be made by, or reviewed and approved by, individual(s) not previously involved in the subject of the complaint. This will be reviewed by Head of Operation.

#### **For complaint received against certified organization nominated representative may decide to**

A. Advice the controlling office of BSA for a reference to the client. Based on which a visit/audit may be planned for ascertaining the action taken and ensuring effectiveness of the certified management system.

B. Advice verification of action taken during forthcoming surveillance audit.

Any such complaint referred to management or examined in fairness and reviewed by nominated representative and any other personnel as required either separately or jointly. the complainant may be asked to withdraw the complaint if found not relevant .A complaint after the date on which it has been received ,is to be dealt with, within three months.

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**Resolution of complaint shall be handled in the following manner.**

- A. An attempt is made by the team leader to resolve the issue at the audit site which is recorded subsequently in the complaint log.
- B. if the complaint is not resolved ,the matter is taken up to nominated representative , who analyses and initiates correction, corrective action/preventive action in co-ordination with head of operation
- C. In case BSA Operation head is unable to resolve the complaint, the same shall be referred, with all the information(Including documentary evidence )to the CAC

The CAC will hold a special session and the aspects will be specifically reviewed. At-Least three members of the CAC will have to be present when the Complaint, is Taken up.

Where ever necessary the CAC may directly inquire the Complainant. The Complaint Referred to CAC are examined in fairness and reviewed by them or by any other Personnel as may be required, either separately or jointly.

Nominated representative tracks and maintains a record of all complaints along with remedial actions pertaining to the certification system and keeps the complainants updated about the progress and outcome.

Nominated representative identifies problems requiring any actions to prevent recurrence of the above for corrective action (And preventive action if required) Commensurate with nature and risk involved .these include measure such as

- Notification to appropriate authorities as required by regulation
- Restoring conformity to Certification system process
- Preventing recurrence
- Evaluating and mitigating any adverse incidence (Including hazards, safety and security)and there associated risks and impacts.
- Ensuring satisfactory interaction with other components of the management systems
- Assessing the effectiveness of remedial/corrective action taken.

In case of complaints relevant to public interest, the certification organization and the complainant shall be consulted and if felt necessary information about the complaint and its resolution will be made available for public viewing.

A formal notice of conclusion of the complaints handling process shall be provided to the complainant.

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The Complainer can refer to Accreditation body (NABCB) in case he / she are not satisfied with the resolution and if the complaint is not resolved within three months of the agreed time frame.

**Disputes:**

Disputes hear convey disagreement and are applicable to certification process decisions made during the course of audit including document adequacy.

The team leader is authorized to resolve the dispute and conclude the audit effectively.

The dispute if not resolved adequately by the team leader can be brought to the notice of head of operation BSA as an appeal .The BSA head of operation shall resolve the matter through the appeal handling process.

Any such deputes of significant nature as decided by the team leader are communicated in writing to BSA head of operation.

**Reference to Certification advisory committee;**

The Certification advisory committee meetings are convened annually.

A summary of appeals, complaints and disputes is reviewed, as part of routine agenda, in all CAC meetings (BSA/REC/CRM/01) for adequacy of action taken and for any suggestion improvement

During the course resolution of any appeals, complaints and disputes if a decision is made to refer specially to CAC, This expect will be specifically reviewed .If required a special session is contented .At least three members of the Certification Advisory committee (Appeals, impartiality committee) will have to present when the appeal, complaint or dispute is taken up and none of them would have any interest in the party making the appeal, complaint or dispute. In case an appellant submits to BSA motivated objections in writing against a certain member ,this member during the duration appeal ,shall withdraw in favor of a substitute ,if the objections are judged to be well founded. That decision of the CAC shall be final and binding on both parties’. The same shall be communicated to the concerned parties and decision implemented.

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**References:**

1. Complaint log –BSA/FMT/COL/01
2. Appeals form-BSA/FMT/APF/01
3. Acknowledgement letter
4. Corrective and preventive action report-BSA/FMT/CAPA/01.
5. Certification Advisory Committee review meeting records-  
BSA/REC/CRM/01

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