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Procedure for Appeals and Complaints

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Procedure for Appeals & Complaints

1. Purpose

The purpose of this document is to define the process to receive, evaluate and make decisions on appeals and complaints

2. Scope

This document shall apply to all appeals and complaints against the Certification Body in relation to its certification activities and certified clients.

3. Responsibility

Certification Manager

4. Process

4.1) Appeals

4.1.1 The auditee has the right to appeal to the INTERCERT against any decisions made under the certification conditions agreed by the INTERCERT and the auditee. Upon receipt of an appeal, it shall be reviewed by the INTERCERT certification Manager if required; it would be circulated to all concerned.

4.1.2 Appeals shall be recorded and the records shall be retained.

4.1.3 The appeals-handling process shall be independent of certification process.

4.1.4 INTERCERT provides complaints and Appeals Request to those who wish to appeal. Any appeals either written or verbal shall be recorded using Complaints & Appeals Register. Any correspondence records in relation to appeals shall be included in Complaints & Appeals Register and this shall be forwarded to the INTERCERT Certification Manager.

4.1.5 The appellant shall provide objective evidences to support the justification of his/her appeal. Appeals with sufficient evidences shall be forwarded to the INTERCERT Certification Manager for review.

4.1.6 CEO is responsible for all decisions at all levels of the appeals-handling process. Certification Manager ensures that the persons engaged in the appeals-handling process are different from those who carried out the audits and made the certification decisions.

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4.1.7 Both the appellant and the lead auditor concerned shall be communicated individually with confidentiality for the relevant matters. The decision made by CEO /Certification Manager will be the final one and recorded on Complaints & Appeals Request. The decision is communicated to the appellant in writing by the Certification Manager.

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

4.1.9 Certification Manager gives formal information to the appellant on submission, progress, decision and close-out of the appeal.

4.2) Complaints

4.2.1 INTERCERT Upon receipt of a complaint confirms whether the complaint relates to certification activities that it is responsible for and, if so, shall deal with it. In case of complaint related to a certified client then examination of complaint considers the effectiveness of the certified management system all such valid complaints are referred to certified client for response.

4.2.2 Upon receipt of either written or verbal complaints, it shall be recorded on Complaints & Appeals Register. Any correspondence connected with the complaints shall be attached to this record, entire process and documents are retained as confidential.

4.2.3 The complaint-handling panel which consists of the Certification Manager and CEO shall jointly review the complaints, decide appropriate remedial actions and appoint individuals responsible for those actions. All the information shall be recorded on Complaints & Appeals Register.

4.2.4 The decisions which are to be noticed to the complainants shall be made, reviewed and approved by the persons who do not have any previous relationships with the complainants.

4.2.5 When the remedial actions have been satisfactorily completed, Certification Manager signs the close-out section of Complaints and Appeals Request.

4.2.6 The progress, outcome and close-out of the complaints shall be noticed to the complainants within twelve weeks from the date of the receipt. In general, all complaints shall be closed out within the twelve weeks from the date of the receipt.

4.3) Follow-Up

4.3.1 The Certification Manager shall communicate the final decisions with the interested parties and then shall prepare satisfaction records based on their feedback.

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4.3.2 The records arising out of the relevant procedures shall be retained and controlled.

4.3.3 Certification Manager handle all complaints with much care in accordance with this document.

4.3.4 The register of complaints shall be reviewed during the internal audits. The analysis and summary of the review shall be submitted so as to be the input for management reviews.

4.3.5 Certification Manager communicate the corrective actions arising out of the satisfaction records with the departments concerned so as for them to take the corrective actions.

5. Record

Action Request for Appeals and Complaints - IC/F/24

Appeals & Complaints Register - IC/F/25

Link on website
