



## **APPEALS AND COMPLAINTS**

### **1 PURPOSE**

To define a procedure to ensure that appeal and complaints with clients or any interested party are promptly dealt with and resolved, without any discrimination or partiality.

### **2 APPLICABILITY**

Applicable to MCS services of ANBCC relating to decisions pertaining to certification including maintenance.

### **3 RESPONSIBILITY**

Implementation by Chairman-GC, Compliance by LA, SM, SE & AP.

### **4 REQUIREMENTS**

#### **4.1 General**

- 4.1.1 Appeals and complaints brought to the notice of ANBCC are promptly dealt with and remain confidential. Except is made to the extent when required by law and standard.
- 4.1.2 Information about the client from sources other than the client shall be kept confidential.
- 4.1.3 It is ensured that personnel including those acting in managerial capacity are not employed to investigate any appeal and complaint if they have been directly involved in the activities towards the Organization or any other party involved in the appeal and complaint in question within the last two years.
- 4.1.4 It is ensured that submission, investigation and decision on appeals and complaints shall not result in any discriminatory actions against the appellant / complainant.
- 4.1.5 A log of Appeals, complaints shall be maintained and their resolution recorded.
- 4.1.6 A summary of appeals / complaints received, actions taken/completed is forwarded to the Management Representative by AP for presentation in the Management Review Meeting of GC. Any need to change quality system as an outcome of resolving appeals and complaints are discussed in the meeting, and the decisions are implemented by MR.
- 4.1.7 A description of the appeals and complaints handling process of the ANBCC shall be publicly accessible.



#### **4.2. Appeals**

The manufacturers who feel that they have been unfairly treated in the assessment have the right of appeal to the Governing Board of the ANBCC.

“Appeal” means, any request for review that is conveyed in writing, against a decision made by ANBCC 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 H.O.

##### **4.2.1 Appeals can be due to -**

- a) refusal of an audit by ANBCC;
- b) non acceptance of scope of certification;
- c) decisions made on misuse, suspension, withdrawal, cancellation, extending and reducing the certification;
- d) failure to recommend certification by ANBCC;
- e) notification by any third party/interested party against the grant of certification by ANBCC.
- f) Any matter not directly relating to certification but involving activities of ANBCC in general.

##### **4.2.2 The appeal should contain all available documentary evidence.**

##### **4.2.3 Resolution of Appeal shall be handled in the following manner: -**

Any Appeal referred to the management are examined in fairness and reviewed by Appeal Panel and SM either separately or jointly with SM. An attempt is made by SM with the appellant to resolve the issue.

##### **4.2.4 Appeal Panel 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 -**

- a) restoring conformity to the certification system process
- b) assessing the effectiveness of remedial/corrective actions taken.

Corrective and preventive actions may be decided by the AP and MR and implemented.

#### **4.3 Complaints**

A complaint is a “dissatisfaction expressed by a person or by an Organization”. Complaints are made to/received by MR. Any complaint received by ANBCC, whether it pertains to ANBCC functions or the certified manufacturer, would be treated in all seriousness and fairness and investigated.

##### **4.3.1 The complaints are recorded in the log, and the complainant would be informed of the receipt of complaint and advised on the investigation required within a reasonable time.**

##### **4.3.2 Actions are initiated by Appeal Panel for resolving & restoring conformity to Management System and for closing the complaint within three (3) months from the date of receipt of**



complaint unless delayed for a specific reason. The results and actions taken/completed are informed accordingly to the concerned parties.

- 4.3.3 For complaints received against certified manufacturers' Appeal Panel may decide to -
- a) advise the SM/LA for a reference to the client, based on which a visit/audit may be planned for ascertaining the actions taken and ensuring effectiveness of the certified management system.
  - b) advise verification of actions taken during forth-coming surveillance audit.
- 4.3.4 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 to Appeal Panel.
- 4.3.5 Any complaints referred to the management are reviewed by Appeal Panel and SM either separately or jointly who shall analyse and -
- a) The complainant may be asked to withdraw the complaint if found not relevant.
  - b) Initiates a correction, corrective action / preventive action in co-ordination with MR.
- 4.3.6 Appeal Panel tracks and maintains a record of all complaints along with remedial actions pertaining to the certification system and keeps the complainant updated about the progress and outcome.
- 4.3.7 Appeal Panel in coordination with MR 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 -
- a) notification to appropriate authorities as required by regulation
  - b) restoring conformity to certification system process
  - c) preventing recurrence;
  - d) evaluating and mitigating any adverse incidents (including hazards, safety & security) and their associated risks and impacts
  - e) ensuring satisfactory interaction with other components of the Management System
  - f) assessing the effectiveness of remedial/corrective actions taken.

#### **4.5 Results of Appeal/Complaint**

- 4.5.1 As an outcome of the Complaint/Appeals, actions such as changing the members of the audit team may be decided which shall be done in accordance with the OP-7, clause 4.1.
- 4.5.2 The decision of the AP shall be final and binding on both parties. The same shall be communicated to the concerned parties and decision implemented.
- 4.5.3 In case of complaints relevant to public interest, the certified manufacturer and the complainant shall be consulted and if felt necessary information about the complaint and its resolution will be made available for public viewing.