



Bureau of Assessment Services

Appeals and Complaints Handling Procedure

Document No: BAS J - MSC P11 Issue 01 Rev 02 Dated: 03 January 2017

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1 OBJECTIVE

To describe measures that BAS certification have implemented as an organisation the way appeals are evaluated and decision are made and the process of receiving, investigating complaints and initiating appropriate corrective and preventive actions.

2 SCOPE

This procedure shall be applicable to all appeals and complaints received by BAS in relation to the certification and related services offered by BAS in all its operating regions within its accredited and non-accredited scopes of certification.

3 REFERENCES

ISO 17021-1:2015; Clause 9.7 & 9.8 requirements

4 DEFINITIONS

Appeal: An appeal is a plea / request preferred by a client of BAS to the highest decision making committee seeking a resolution on decisions made while handling of a compliant or dispute or a plea on a certification decision made by BAS.

Complaint: A complaint means where a client or other interested / affected parties, either in written and or verbal, identifying an unsatisfactory service and conduct of BAS auditor(s).

A complaint also means where an affected party, client or other interested party has either in writing or verbally identified an unsatisfactory service of BAS or conduct of BAS auditor(s).

5 RESPONSIBILITY

1. Recording Appeals & compliant – Admin Manger
2. Analysis of appeals and complaints – Appeals & Complaints Handling Committee
3. Decision Making – CB Manager
4. Monitoring of CAR – Management Representative
5. Management Review – Operations Manger

6 PROCEDURE

6.1 APPEALS

- a) BAS 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.
- b) However, appeals received from interested parties against decisions taken by BAS during its certification services delivery and associated processes shall be handled in non-discriminatory manner by an independent committee. BAS shall be responsible for decisions at all levels of appeal handling process.
- c) Appeals and complaints handling committee of BAS shall comprise CEO/ Certification Manager, Operations Manager, Management Representative, Admin Manager and a member of Committee of Impartiality. BAS may associate with a Technical Expert and or a legal advisor who can be the member of the committee, if required. Certification Manager shall be the coordinator for the appeals committee.
- d) No member of the appeals committee shall be a member of the audit team or worked as a technical team for a specific client for which appeal has been registered such that the appeals handling process of BAS is independent of its certification process of the specific client.
- e) The appellant must have provided complete information giving substantial grounds for appeal within the specified time scales. Provided these criteria is met, the appeals are recorded.
- f) Both the appellant and the relevant BAS personnel shall be entitled to be heard in confidence.



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- g) Appeals shall be registered by Admin Manager with all details and acknowledgement will be 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.
- h) 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.
- i) 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.
- j) After providing opportunities to all concerned parties, a decision shall be given by the committee, which is binding on all concerned.
- k) The BAS Admin Manager shall write to the appellant informing them of the appeal panel decision, within 7 days of decision. During the appeal handling process, progress report is made available upon request of the appellant. If the appellant does not accept the decision they may revoke the conditions of contract i.e., arbitration
- l) The decision of the appeals committee shall be reviewed by BAS Certification Manager and necessary corrective action taken to prevent recurrence of similar appeals and prevent occurrence of potential appeals in future.

6.2 COMPLAINTS

BAS Admin Manager shall register all the written or verbal complaints within scope of services provided in Corrective action request form. Once the complaint is registered, an acknowledgement / the receipt is sent to the complainant within 2 working days. BAS may also inform the progress of the resolution of the complaint, if required, in case of any delay in resolution. BAS shall be responsible for decisions at all levels of complaint handling process.

- a) BAS Admin Manager shall review the complaint whether it relates to certification activities that BAS 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 BAS to relevant client under consideration.
- b) BAS shall be responsible to gather all the information about the complaint and verify its validity.
- c) 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.
- a) If the complainant is not satisfied with the solution or if the time frame is exceeded the complainant may complain to the accreditation body.
- d) The decision of the complaint shall be reviewed and approved by BAS Operations Manager or by Management Representative who not involved in the subject of complaint.
- e) BAS Admin Manager Inform the client of the action taken and the resolution within 7 days of the completion of the action.
- f) BAS Management Representative shall monitor effectiveness of corrective action and shall revise Quality System documents as required.
- g) BAS shall determine along with the client and complainant, the extent of subject complaint and resolution which can be made public.
- h) Log of appeals and customer complaints shall be maintained by BAS.

7 QUALITY RECORDS

Quality Record Number	Quality Record Title:	Retention Time
BAS J-MSC P11/ F01 Issue 01 Rev01	Complaints Appeal register	Indefinite
BAS J-MSC P11/ F02 Issue 01 Rev01	Corrective Action Request for Complaints/Appeals registered (CAR)	Indefinite