

<b>JC AUDITORS</b> TRIED AND TRUSTED™	Document No.	QP 07
	Revision No.	4
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<b>PROCEDURE FOR COMPLAINTS AND APPEALS</b>		Page 1 of 6

## 1.0 Purpose

The purpose of this procedure is to describe handling of complaints and appeals received.

## 2.0 Scope

This procedure covers all complaint and appeals received by any means including written, verbal, e-mail etc.

## 3.0 Responsibility

3.1 Certification Manager is responsible co-ordinating the management of complaints and appeal from clients / other parties. The investigation incorporates all relevant JCA staff including the certification manager, technical manager, support services, administration officer and managing director.

3.2 The overall responsibility to execute this procedure is given below.

Activity	Responsibility
Generation of a Corrective Action Request on the CAPA register	Certification Manager
Incident investigation and analysis	Technical Manager
Handling of Appeals	Managing Director
Appeal review, analysis and decision	Managing Director

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#### 4.0 Description of activity

#### 4.1 Complaints

Complaints are incidents of grievance or dissatisfaction with Judah Compliance Auditors service. Complaints may be:

- internal in nature - raised by a Judah Compliance Auditors staff member with regard to internal service, operations or employee performance
- external in nature- raised by Judah Compliance Auditors clients, suppliers or other affiliated organizations
- written
- verbal
- complaints raised by client's customers or stake holders


#### 4.3 Terminology used in this procedure

##### 4.3.1 Complaints

Judah Compliance Auditors recognizes that the client may have some reservations or may not agree with the conduct of auditor, audit findings, certification committee decision and / or overall interaction with Judah Compliance Auditors staff. Client is free to communicate the same to Judah Compliance Auditors and this is treated as a complaint from the client.

#### 4.4 Receipt of Complaints

4.4.1 Judah Compliance Auditors shall contact by telephone or email the complainant to acknowledge the receipt of information within 5 working days of receipt. The certification manager shall ensure that the complaint is fully understood and obtain details from the source (to avoid any error in investigation). He may decide to personally meet the initiator, depending on the gravity and seriousness of the issue.

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- 4.4.2 The complain may be against Judah Compliance Auditors (a system / procedure or a person) or a Judah Compliance Auditors certified company (client).
- 4.4.3 All such incidents received by any means or by any one is first of all recorded in the corrective and preventative action register.
- 4.4.4 Client / other parties' complaint and appeal incident report are issued to the Technical Manager for analysing the root cause.
- 4.4.5 Technical Manager validates the complaint after checking necessary back-up records or personal interview of auditors / staff members (who were involved ).
- 4.5 Handling of Client Complaint and Observations
- 4.5.1 The Technical Manager analyses the issue to determine the root cause and determine correction, corrective and preventive action. The possible complaints are –
- Administration - problems with appointments, certification files, certificates issued or issued late,
  - Auditor/subcontractor problems with incomplete audit or surveillance documentation
  - Operations - problems with general compliance with Judah Compliance Auditors administration or audit procedures
- 4.5.2 After compliant investigation, the complainant is notified of the outcome. This may include training / counselling of the person involved. The CAPA is discussed with management during next Management Review. Appropriate action is taken based on discussions (change in procedure / formats, training to all personnel etc). An email is sent out to all staff detailing the issue and remedial action (for information).
- 4.5.3 In case of a complaint / observation against a certified client, the Certification Manager studies the complaint and discusses with the auditor (last audit). If the complaint is found genuine and valid i.e. indicates a system failure, the complaint is sent to the client for a

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response. No confidential reports or information will be sent to complainants without written permission from the client. Adequate time is given to the client for response. If required, Certification Manager follows up with the client for the response. Depending on the response, Certification Manager may decide to –

- Write to the complainant about the response and asks for his response.
- Ask further clarification from the client
- Depute an auditor to personally visit the client and investigate for system failure.
- Request a joint meeting with client, complainant and Judah Compliance Auditors
- JC Auditors will finally at the joint meeting discuss the full extent of the complaint with the certified client and the complainant. Subsequent resolutions arising from these discussions will consider the need for public disclosure of the complaint. The means of any such public disclosure (e.g. website) to also be decided on and recorded in the minutes of such a meeting.


4.5.4 Certification Manager shall communicate with the complainant at the end of the process detailing the findings and to formally close the complaint. The details of all complaints and action taken (Correction, CAPA) are discussed in Management Review and IC meeting.

#### 4.6 Handling of Appeals

Any company or organisation who fails to satisfy an audit or surveillance may appeal against the decision. Where an appeal is received the following procedure will be followed.

4.6.1 The Managing Director, Certification Manager and Technical Manager with other adopted auditors or technical experts will hear the appeal, and fully investigate to determine substance, validity and course of actions required.

All appeals shall be received shall be recorded in the CAPA Register maintained by the Certification Manager.

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- Technical Manager shall investigate the appeal made and inform the client about its plan of action for investigation and action there upon.
- An investigation for each individual appeal shall be conducted by the Technical Manager.
- A letter confirming the appeals outcome shall be sent to the client.
- In case the matter is unresolved, members of the impartiality committee will be asked to further review the matter in conjunction with an independent lead auditor and/or technical reviewer or technical expert.
- If after all the above interventions, the matter remains unresolved, then the accreditation body will be notified.
- All complaints and appeals made are collated and analysed on a yearly basis at management review
- Necessary corrective and preventive actions shall be taken based on the complaints/appeal trend.
- Compliant/Appeal trends and corrective and preventive action taken shall also be reviewed as part of the Management Review meeting.
- The client is made aware of the appeals process and is available to him on request.

4.6.2 In case of an appeal made by a client against a decision made by auditor, Lead auditor or certification committee, the appeal shall be recorded by Certification Manager and forwarded to the Managing Director, who shall review the appeal, investigate (which may include discussion with concerned client, respective auditor / lead auditor and review of audit report). The managing director may also direct any other lead auditor to visit the site and determine the validity of the appeal. The decision taken by Managing Director shall be communicated to the client and to Certification Manager for necessary action. The

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case is also discussed during the next MRM and Impartiality Committee meeting. In special cases, the case may be discussed with Impartiality Committee members on one-to-one basis.

4.7 Closing of complaint and appeal

4.8.1 Every client complaint and appeal is recorded on the CAPA register. The records are maintained by the Certification Manager / Technical Manager.

4.8.2 A formal response on each complaint and appeal is recorded and will include communication of the outcome to the complainant/ appellant.

5.0 References

5.1 QP01 - Procedure for control of documents

5.2 QP04 - Procedure for corrective and Preventive action

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