



AFRICA STANDARDS AND CERTIFICATIONS

Quality Procedure

No.	QP07
Revision No.	1
Date	27-01-2021

Procedure For Complaint and Appeal

1.0 Purpose

The purpose of this procedure is to describe handling of incidents, complaints and appeals received from the clients, in-house, and from other parties.

2.0 Scope

This procedure covers all complaints and appeals received from individuals by any means, like written, verbal, e-mail, etc. It also includes adverse findings during evaluation.

3.0 Responsibility

3.1 **Management Representative** is responsible for receiving the complaint and appeal from the client / other interested parties. Management Representative, in consultation with the office staff and evaluators is responsible for handling, validating and analysis of the complaint and appeal to the satisfaction of the clients / other interested parties.

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

Activity	Responsibility
Completion and submission of incident report/ records for entry into the Corrective Action System	All staff members of AFRICA STANDARDS AND CERTIFICATIONS
Incident investigation and analysis	Management Representative
Handling of complaints and appeals and submission to committee	Certification Manager
Review, analysis and decision for closing	Certification Manager

4.0 Description of activity

4.1 Evaluation Incidents

4.1.1 For the purposes of this document "Evaluation incidents" are defined as complaints, suggestions, observations and opportunities for improvement. Evaluation incident data is entered into the Corrective Action System for proper treatment (QP04). This procedure describes the methodology by which **AFRICA STANDARDS AND CERTIFICATIONS** collects and processes incident reports, and communicates the impact to the staff members.

4.1.2 **AFRICA STANDARDS AND CERTIFICATIONS** recognizes that incidents occur in daily operation that collectively have an impact on the evaluation process. In order to properly analyze and address system issues, a consistent and thorough process for collection of information is vital.

4.2 Complaints

Complaints are incidents of grievance or dissatisfaction with **AFRICA STANDARDS AND CERTIFICATIONS**

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Complaints may be:

- Internal in nature – raised by a staff member of **AFRICA STANDARDS AND CERTIFICATIONS**, with regard to internal services, operations or employees' performance.
- External in nature – raised by clients of **AFRICA STANDARDS AND CERTIFICATIONS**, suppliers or other affiliated organizations.
- Written
- Verbal
- Complaints raised by clients or stakeholders

4.3 Terminology used in this procedure for incidents

The incidents and complaints are considered as any of the following four things, and this procedure describes the system for handling the same.

4.3.1 Suggestions

AFRICA STANDARDS AND CERTIFICATIONS recognizes that positive feedback is as important as negative. Suggestions are vital in identifying preventive action and system improvement. As with complaints, suggestions may be internal or external in nature, written or verbal.

4.3.2 Appeals

AFRICA STANDARDS AND CERTIFICATIONS recognizes that the client may have some reservations or may not agree with the conduct of evaluators, evaluation findings, certification committee decision and / or overall interaction with **AFRICA STANDARDS AND CERTIFICATIONS** staff. Client is free to communicate the same to **AFRICA STANDARDS AND CERTIFICATIONS**

4.3.3 Observations


Observations are witnessed incidents of service / operational deficiency, malfunction and or failure. Observations are often made by individuals independent of the activity witnessed, and therefore, objective in nature. Observations also play important role in identification of preventive action and system improvement.

4.3.4 Opportunities for Improvement

Opportunities for improvement are incidents where the system has not failed, yet greater operational efficiency may be obtained by analyzing current practices. Opportunities for improvement are often collected internally, but input from external sources is also beneficial.

4.4 Receipt of Incidents

- 4.4.1 The incident may be reported by any means – verbal or written. In case of an external source, the incident report may be received by any staff member. The staff member shall fill the incident report format, recording all the information and details of the complaint. The filled report format shall be submitted to the Management Representative for further action.

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In case of internal source, the incident report format shall be filled by the staff member and submitted to the Management Representative.

4.4.2 Management Representative shall contact (by telephone, e-mail, letter) the external source to acknowledge the receipt of information within 5 working days of receipt. The Management Representative shall understand the issue in detail from the source (to avoid any error in writing the report). The Management Representative may decide to personally meet the initiator, depending on the gravity and seriousness of issue.

4.4.3 In case of Complaints and Observations, it may be against **AFRICA STANDARDS AND CERTIFICATIONS** (a system / procedure or a person) or **AFRICA STANDARDS AND CERTIFICATIONS** certified companies (client). In case of suggestion / opportunity for improvement, it is for **AFRICA STANDARDS AND CERTIFICATIONS** to study the suggestion and decide.

4.4.4 All such incidents received by any means or by anyone is firstly recorded in the Incident report with the details of:

- Complaint and appeal sr. no.,
- Mode of receipt,
- Received by,
- Name of client / other interested party,
- Description of complaint and appeal,
- Reference of services against which complaint and appeal is raised along with the reference, date and other details.

4.4.5 Clients / other parties' complaints and appeal incident reports are submitted to the Management Representative for analyzing the root cause.

4.4.6 Management Representative validates the complaint after checking necessary backup records or personal interview of evaluators / staff members (who were involved in the job).

4.5 Handling of Complaints and Observations

4.5.1 In case of a complaint / observation against **AFRICA STANDARDS AND CERTIFICATIONS**, Management Representative analyzes the issue to determine if there is a system error or any person's error. Management Representative determines the root cause as well as correction, corrective and preventive action. The possible complaints are –

- Administration related – it includes problems with appointments, certification files, certificates issued, or late issue of certificate;
- Evaluators / subcontractors related – it includes problems with incomplete evaluation or surveillance documentation;
- Agents related – it includes problems with general compliance with **AFRICA STANDARDS AND CERTIFICATIONS** administration or Evaluation procedures

4.5.2 The correction is effected immediately to satisfy the complainant. This may include training / counseling of the person involved. The CAPA is discussed with management during next Management Review. Appropriate action is taken based on discussions (change in

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procedure / formats, training to all personnel, etc). An e-mail is sent out to all staff detailing the issue and remedial action (for information). A copy of the complaint and investigation details is maintained in the respective individual's personal file for reference during the performance appraisal.

4.5.3 In case of a complaint / observation against a client, the Management Representative studies the complaint and discusses with the evaluators (last evaluation). If the complaint is found genuine and valid, i.e., it indicates a system failure, the complaint is sent to the client for a 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, Management Representative follows-up with the client for the response. Depending on the response, Management Representative may decide to –

- Write to the complainant about the response and ask for his response.
- Ask further clarification from the client
- Assign evaluators to personally visit the client and investigate for system failure. Such visit shall be considered as special visit and charged to client.
- Request a joint meeting with client, complainant and **AFRICA STANDARDS AND CERTIFICATIONS**


4.5.4 Management Representative shall communicate with the complainant, at the end of the process, detailing the findings and to formally close the complaint. A copy of the correspondence is kept in the client file for records, and the same is passed to evaluators during next evaluation. The details of all complaints and action taken (Correction, CAPA) are discussed in Management Review and IC meeting.

4.6 Handling of Appeals

Any client who fails to satisfy an evaluation or surveillance may appeal against the decision. Where an appeal is received, the following procedure will be followed.

4.6.1 Managing Director will appoint the members of the appeals committee. Under the leadership of Managing Director, the committee will hear the appeal and determine the outcome. In case, Managing Director is part of the evaluation / certification team, he shall decide the investigating officer for the appeals process. In such a scenario, Managing Director shall approach Impartiality Committee and / or **AFRICA STANDARDS AND CERTIFICATIONS** team to provide decision on the appeal. The decision on the appeal shall be taken based on the decision by **AFRICA STANDARDS AND CERTIFICATIONS** committee and the Impartiality committee. Results of the appeal will be reported to the Board of Directors.

- All appeals shall be received by the Certification Manager and details of appeals shall be recorded in the Appeals Register maintained by the Certification Manager.
- Certification Manager shall investigate the appeal made and inform the client about its plan of action for investigation and action thereon.
- An investigation report (Incident Report) for each individual appeal shall be maintained by the Certification Manager. In case, any further corrective action is required, post actions shall be identified and taken based on Incident report – Corrective action

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procedure QP04 is implemented.

- A copy of the investigation report shall be sent to the client.
- In case of any further ambiguity, the same shall be reviewed by the Board of Directors and appropriate decision shall be arrived at.
- All appeals made are collated and analyzed on a yearly basis.
- Necessary corrective and preventive actions shall be taken based on the appeal trend.
- Appeals trend and corrective and preventive action taken shall also be reviewed as part of the Management committee meeting and Impartiality committee meeting.
- Certification Manager shall ensure that details with respect to the appellant and actions thereon are not shared with the evaluation team members.
- Certification Manager shall ensure that no discriminatory action is taken against the appellant.
- The client is made aware of the appeal process and its details are made available to him on request.

4.6.2 In case of an appeal made by a client against a decision made by evaluators, lead evaluators or certification committee, the appeal shall be recorded by Management Representative and forwarded to the Appeal Subcommittee. The Appeal Subcommittee shall review the appeal and investigate (which may include discussion with concerned client, respective evaluators / lead evaluators and review of evaluation report). The Appeal Subcommittee may also direct any other lead evaluators to visit the site and determine the validity of the appeal. The decision taken by the Appeal Subcommittee shall be communicated to the client and to Management Representative for necessary action. The 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 Handling of Suggestions / Opportunity for improvement

- In case of suggestion / opportunity for improvement, the source is predominantly internal and the concerned staff member fills the incident report format and submits it to the Management Representative. The other source may be internal / external evaluation.
- Management Representative studies the suggestion to determine any conflict with ISO/IEC 17065 Standard and **AFRICA STANDARDS AND CERTIFICATIONS** Policy. In case the suggestion is in conflict, the same is communicated to the initiator. However, the suggestion is also discussed in Management review. In case the suggestion is found not in conflict, the suggestion is studied for benefits and the impact on other processes.
- The suggestion is accepted if found beneficial and does not adversely impact any other process. Management Representative determines the changes in existing documentation and implements them through Document Change process (QP01).
- If any client or interested party asks for the appeal / complaint handling process then the request is forwarded to the Management Representative. The Management Representative will inform a client / any other interested party the appeal and complaint

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handling process of **AFRICA STANDARDS AND CERTIFICATIONS**, if any complaints / appeals are received by client/ interested party.

4.8 Closing of complaint and appeal

4.8.1 Depending on the nature of the nonconformity, the Management Representative / Certification Manager may follow-up with requests for corrective and preventive actions. When the investigation of client's complaint and appeal determines that remote operation or other external organizations contributed to the complaint and appeal, the Certification Manager or his delegate contacts these organizations and provides them with all relevant information.

4.8.2 Every client's complaint and appeal is recorded. The records are maintained by the Management Representative / Certification Manager. When there are copies of written communication, reports and other documents related to a complaint and appeal, these records are organized into a file and are identified with the complaint and appeal number and also having records of the corresponding corrective or preventive actions. The records of investigations concerning product quality or other test characteristics are maintained by Certification Manager. Based on analysis of client / other party's complaint and appeal, necessary actions are taken and client is replied for closing the complaint and appeal. Management Representative identifies need for taking corrective and preventive action to prevent such complaint and appeal in future, and accordingly concerned person is informed.

4.8.3 All the complaints and appeals received by **AFRICA STANDARDS AND CERTIFICATIONS** shall be closed within 15 working days after receipt of the complaint. The Managing Director shall decide on the closure period based on the complexity of the appeal. Certification Manager is authorized for closing of complaint. The Managing Director is authorized to closing appeals.


5.0 References

- 5.1 QP01 Procedure for control of documents
- 5.2 QP04 Procedure for corrective and preventive action

6.0 Enclosures Nil

7.0 Formats / Exhibits

- 7.1 F20 Incident Report
- 7.2 F21 Incident Log

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