

# COMPLAINTS AND APPEALS

## FOR QUALITY MANAGEMENT SYSTEM

(ISO / IEC 17021:20115)

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<b>PREPARED BY:</b>	PARIVESH GURU	<b>REV:</b>	01
<b>APPROVED BY:</b>	SAKET VYAS	<b>EFF DATE:</b>	10/07/2024

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## ISO/ IEC 17020 PROCEDURE – COMPLAINTS AND APPEALS

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### 1. PURPOSE

The purpose of this procedure is to describe the handling of complaints and appeals, validating the complaints and appeals received from the client and from other parties.

### 2. SCOPE

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

### 3. RESPONSIBILITY

- 3.1 Operational Manager or Co Ordinator is responsible for receiving the complaint and appeal from the clients / other parties. QA Engineer is responsible for handling, validating and analysis of the complaint and appeal to the satisfaction of the clients / other parties.
- 3.2 QA Engineer is responsible for all decisions at all levels of the handling process for complaints and appeals.
- 3.3 QA Engineer /Operational manager is responsible for closing of complaint and appeal to the satisfaction of client / other parties.
- 3.4 QA Engineer is responsible for handling and analyzing the complaint and appeal by back-up records. The audit manager assists him in analyzing the complaint and appeal.

### 4. DESCRIPTION OF ACTIVITY

#### 4.1 RECEIPT AND VALIDATING COMPLAINT AND APPEAL

4.1.1 When VERGER receives a complaint, it must first check if the complaint is about its certification activities. If it is, related to Client then must address the complaint.

If the complaint is about a client that has been certified, then Verger must assess how effectively the client's management system is working. Any legitimate complaint about a certified client must be communicated to that client by Verger.

Complaint and appeal received from client / other parties by any means or by any one is first recorded in the Complaint and appeal register VG-AF-07. After that a complaint and appeal report are prepared with the details of.

- Complaint and appeal Sr. No.
- Mode of receipt.
- Received by.
- Name of client / other parties.
- Description of complaint and appeal.
- Reference of audit services against, which complaint and appeal is raised along with the reference of audit date.

4.1.2 Client / other parties' complaint and appeal report VG-AF-06 are issued to the QA Manager for analyzing the root cause.

4.1.3 QA Engineer validates the complaint after checking necessary back-up records or personal interview of the auditor Engineers (who were involved in job).

4.1.4 Client complaints, appeals and client feedback are classified according to their cause. The purpose is to allow for better tracking of trends and evaluating improvements in specific domains. Possible causes are:

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- Suspected results
- Late result reporting
- Problems with communication and response
- Complaint and appeal regarding business practices, publicity, etc.
- Problems with audit services provided

4.1.5 The QA Engineer and the department responsible for the complaint and appeal, decide how to respond to the client and, when applicable, what needs to be done to correct the problem for the client (re-audit, hold a meeting, etc.). The client has been informed of this decision.

4.1.6 QA Engineer review every client complaint and appeal, root cause is analyzed, and corrective action is taken. The same is recorded in the client complaint and appeal report.

### **4.2 ANALYSIS OF COMPLAINT AND APPEAL**

4.2.1 Audit Manager reviews the complaint and appeal for;

- Delay in submission of Audit report/certificate,
- Wrong reporting / variation in reporting,
- Audit not carried out as per the contract,
- Audit is not carried out in time,
- Inadequate error in reports
- Any other problem identified by the client/other parties.

4.2.2 Client/other parties' complaint and appeal is analyzed for the root cause. After identification of root cause, the necessary actions are taken to resolve the complaint and appeal.

4.2.3 Client/other parties are replied accordingly. Also, necessary actions are taken at client/other parties' end, if required to resolve the complaint and appeal. Considering the seriousness of complaint and appeal, Audit Manager or their nominee may visit the client/other parties, wherever required. Based on his feedback the complaints and appeals are closed by the Audit Manager.

4.2.4 Reviewer shall not be involved in the original audit activities.

### **4.3 CLOSING COMPLAINT AND APPEAL**

4.3.1 Depending on the nature of the non-conformity, the QA Engineer may follow up with requests for corrective and preventive actions. When the investigation of client complaint and appeal determines that remote operation or other external organizations contributed to the complaint and appeal, the QA Engineer, or his delegate contacts these organizations and provides them with all relevant information.

4.3.2 Every client complaint and appeal are recorded. The records are maintained by the QA Engineer. 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 that concern product quality or other test characteristics are maintained by QA Engineer. Based on analysis of Client/Other Parties complaint and appeal, necessary actions are taken, and client is replied for closing the complaint and appeal. QA Engineer identifies the need for taking corrective and preventive action to prevent such complaints and appeals in future and accordingly concerned person is informed.

4.3.3 All the complaints and appeals received by the Organization will be closed within 14 working days after receipt of the complaint and appeal. Audit Manager is authorized for closing of complaint and appeal.

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- 4.3.4 Operational Manager gives formal notice of the end of the complaint and appeals handling process to client.
- 4.3.5 Handling process descriptions for complaints and appeals shall be sent to any interested party upon request by QA Engineer.
- 4.3.6 Decision on appeals shall not result in any biased actions.

### 4.4 CLIENT FEEDBACK

- 4.4.1 Client feedback is taken **At least once in a Year**. All instances of client feedback, both positive and negative, are reviewed by QA Engineer. Complaints and appeals are investigated to determine the cause, determine corrective actions and identify any preventive measures that may be required. Un-satisfactory feedback is also considered as a complaint and is analyzed as per the above procedure.
- 4.4.2 QA Engineer monitors effectiveness of corrective and preventive action by reviewing results for suitable time on case-to-case basis.
- 4.4.3 If any major changes in any of the relevant documents are necessary by way of corrective and preventive action or complaint and appeal, then this is done as per procedure for document control and records are maintained.

## 5. REFERENCES

- ISO/IEC 17021:2015 Clauses 9.7 & 9.8

## 6. RECORDS

- Complaint and appeal Report VG-AF-06
- Complaint and appeal Register VG-AF-07
- Client Feedback Form VG-AF-08

## CHANGE HISTORY

ISSUE	CHAPTER	PAGE	CHANGE INTRODUCTION	REV NO.	EFFECTIVE DATE
01	/	/	First version	00	16/04/2024
01	4.1	3	Regarding Handling of Complaints	01	10/07/2024