

Process Step No.	Process Description	Resp.	Forms
1.	This procedure is applicable to appeals, claims and complaints from any interested parties including clients, accreditation body and others.	<u>Executive Director</u>	-
2	Complaints are received by any means (verbal, written) are logged in "Complaints Log".	Any person	Complaints Log
3	Complaint is communicated to the concerned process owner. All complaints are channelized to the Executive Director & MD initially. They collectively decide on the investigating team (if necessary), composition etc. However if the complaints is related internally, then the person involved is removed from the independent investigating team. The members of the team ensure that the confidential issues are protected and as a part of meeting this requirement, the form itself is designed to meet all requirements. If the complaints originating from QACA personnel i.e. within the organization itself then the same could be directed to Quality Austria, Austria itself directly to the VP International Business.	<u>Executive Director</u>	Complaints Log
4	A member of organization, independent from the concerned person (s), who carried out audit activities or took certification decisions, is deputed for validating & investigating the complaints, appeals or claims. If the complaint is related to the certified client and is valid, then the investigating team also evaluates the effectiveness of the client's QMS and the overall management of the same. If the complaint is on QACA itself, then the same is escalated to the Impartiality Committee for the redressal. This shall be done in a time bound manner with clear cut communication channels established to all concerned including the complainant. Acknowledgement of receipt of the complaint is done by a written communication mode and shall provide the complainant with progress reports and the outcome. Submission, investigation and decision on complaints shall not result in discriminatory actions against the complainant.	<u>Executive Director</u>	Complaints Log
5	A CAR is raised by Executive Director for determining the root cause and necessary correction, systematic corrective actions.	<u>Executive Director</u>	Corrective Action Request (CAR)
6	Necessary correction action is taken in consultation with Executive Director.	Process Owner	Corrective Action Request (CAR)
7	Root cause is determined by involving relevant personnel and corrective action is planned with responsibility and target dates.	Process owner	Corrective Action Request (CAR)
8	Progress of corrective action is tracked.	<u>Executive Director</u>	Corrective Action Request (CAR)
9	Corrective action taken is recorded in "CAR".	Process Owner	Corrective

			Action Request (CAR)
10	Corrective action taken is reviewed for its effectiveness and result of review is recorded in "CAR"	<u>Executive Director</u>	Corrective Action Request (CAR)
11	Concerned interested party is communicated about the correction and corrective action taken. The complainant is also made aware about the progress of the complaints on a periodical basis.	<u>Executive Director</u>	Corrective Action Request (CAR)
12	Records of claims and complaints are maintained.	<u>Executive Director</u>	Corrective Action Request (CAR)
13	All complaints are given a unique identification number for traceability.	<u>Executive Director</u>	-
14	If actions taken are found effective, complaint is closed and recorded in Complaint Log.	<u>Executive Director</u>	Complaint Log
15	If actions taken are not found effective, complaint is remained open and further investigations are carried out and steps are taken as mentioned in point 4 onwards.	<u>Executive Director</u>	Complaint Log
16	All relevant documents are updated, if required. The client in question is also communicated at an appropriate time of the details of the complaint. After mutual agreement between the client and the complainant what portion of the complaint is to be made public, is decided. QACA is responsible for all decisions at all levels of complaint handling process.	Process Owner	Relevant documents
Appeals			
17	An appeal can be received by QACA personnel and brought to the notice of the top management. Appeal can be in the form of issue raised by a certified client or an issue by an interested party. This is logged in the Appeals Log. It is then evaluated by an independent team of minimum 4 internal QACA personnel so that a decision can be reached including gathering and verification of information to validate the appeal. Records of all the actions are linked to the above Log and a report if required is also prepared. If the appeals is originating from QACA personnel ie within the organization itself then the same could be directed to Quality Austria, Austria itself directly to the VP International Business.	<u>Executive Director</u>	Appeals Logs and actions
18	A description of the appeals-handling process is made available on the QACA website.	<u>Executive Director</u>	Appeals Logs and actions
19	QACA is responsible for all decisions at all levels of the appeals-handling process. Its is ensured that the persons engaged in the appeals-handling process are different from those who carried out the audits and made the certification decisions.	<u>Executive Director</u>	Appeals Logs and actions
20	Submission, investigation and decision on appeals does not result in any discriminatory actions against the appellant.	<u>Executive Director</u>	Appeals Logs and actions
21	The appeals-handling process includes at least the following	<u>Executive</u>	Appeals

	<p>elements and methods:</p> <p>a) an outline of the process for receiving, validating and investigating the appeal, and for deciding what actions are to be taken in response to it, taking into account the results of previous similar appeals;</p> <p>b) tracking and recording appeals, including actions undertaken to resolve them;</p> <p>c) ensuring that any appropriate correction and corrective action are taken.</p>	<u>Director</u>	Logs and actions
22	Acknowledgement of receipt of the appeal is done by a written communication mode and shall provide the appellant with progress reports and the outcome.	<u>Executive Director</u>	Appeals Logs and actions
23	The decision to be communicated to the appellant shall be made by, or reviewed and approved by, individual(s) not previously involved in the subject of the appeal.	<u>Executive Director</u>	Appeals Logs and actions
24	QACA gives a formal notice to the appellant and complainant of the end of the appeals-handling process and complaint handling process respectively.	<u>Executive Director</u>	Appeals Logs and actions
25	Personnel who provided consultancy for a client, or been employed by a client, shall not be used to review or approve the resolution of a complaint or appeal within two years following the end of consultancy or employment.	<u>Executive Director</u>	Appeals Logs and actions
	List of Records	Format No.	Retention Period
1	Complaint Log	QACAPL/ASIA INIDA/Complain ts Log	Three years
2	Corrective Action Request (CAR)	QACAPL/ASIA INIDA/CAR	Three years
3	Appeals Log	QACAPL/ASIA INIDA/Appeals Log	Three years
4	Complaint Resolution Form	QACAPL/ASIA INIDA/CRF	

Amendment History

S.No.	Date	Nature and details	Changes	Approvals
01	01/09/2016	Changes due to ISO 17021-1:2015 added.	Para 4, 16 & 17 amended.	Director
02	25/11/2019	Requirements related to notice to complainant and appellant made clear.	Para 24 ammended	Director
03	25/10/2020	Requirements of clause 7.13.6 of ISO 17065 added	Para 25 added	Director
04	10/08/2023	Director replaced with Executive Director as a result of change in responsibility	Throughout the document	Executive Director