



PROCEDURE FOR COMPLAINTS AND APPEALS



Issue	Date	Prepared by	Approved by
3	17 Jul 2018	-Quality Manager	CEO



1. PURPOSE

The Purpose of this procedure is to lay down the methodology for

- a) Receiving, recording, acknowledging, investigating, redressing complaints and taking corrective / preventive actions where relevant
- b) Receiving, recording, acknowledging investigating and disposing appeals

2. SCOPE

- a) All complaints pertaining to assessment / evaluation / inspection services, inspection results of AIS, part services provided by sub-contractors, and conduct of officials including external inspection officials
- b) All appeals in relation to assessment / evaluation / inspection results and against decision on complaints

Note : The internal grievance of employees are not covered under the scope of this procedure

3. REFERENCES

Procedure for Handling Non conformities, Corrective Action and Preventive Action (QP-005)

Responsibility : Quality Manager/Technical Manager

4. DEFINITIONS

4.1 Complaint

A complaint is an expression of dissatisfaction made to an organization, related to its products, or the complaints handling process itself, where a response or resolution is explicitly or implicitly expected. (Source ISO 10002:2004)



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4.2 Appeal

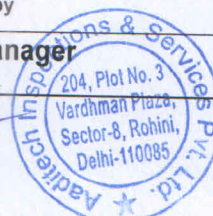
A request by the provider of the item of inspection to AIS for reconsideration of a decision AIS has made relating to that item

5. METHODOLOGY AND CONTROLS

5.1 Complaints

- 5.1.1 All written complaints received through post and email shall be treated as formal complaints. Oral complaints may be treated as formal complaints at the discretion of the CEO. Where the matter orally reported is of a serious nature, the details of the complaint shall be noted, contact details of the complainant taken and the complaint shall be got recorded.
- 5.1.2 All formal complaints shall be accorded a complaint number in the order of receipt and recorded in the Record of Complaints & Appeals (QF-007/01) with the following details:
- Name and contact details of complainant
 - Date of receiving the complaint
 - Complaint details
 - Medium through which received (post, email or oral)
 - Broad description of complaint
 - Remedy expected
- 5.1.3 An acknowledgment shall be sent to the complainant, giving complaint number and the name and contact of the Quality Manager giving an estimated time by which the complaint shall be resolved
- 5.1.4 Complaints of Technical nature shall be forwarded to the Technical Manager
- 5.1.5 The Quality Manager / Technical Manager shall review the complaint to determine whether the complaint is only informative / suggestive in nature and does not expect a tangible remedy. In such case the Technical Manager shall send a response letter thanking the complainant for providing the feedback / suggestion assuring that the complaint shall be taken as positive input for taking improvement actions. The Complaint shall be closed and the suggestion / feedback dealt as per procedure for Feedback and Corrective Actions.

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- 5.1.6 In case the complaint is seeking remedy, it shall be investigated to verify the facts as given in the complaint and if established, the immediate action for redressal will be determined. Investigation can be carried out directly by the Quality Manager / Technical Manager or through delegation to another Inspector not involved in the inspection under question. Where the remedy does not involve any financial implications or technical interpretations, the remedy will be proposed by the Quality Manager / Technical Manager and communicated to the complainant through a written letter to be sent by Quality Manager. In case of financial implications, prior approval of CEO shall be taken. In case technical interpretations are required, due consultation will be done before offering the remedy. The brief details of the remedy offered and the date of communication shall be entered in the Complaints & Appeals Record (QF-007/01).
- 5.1.7 The investigation shall be completed within 15 days. Complainant shall be kept informed in case of delays.
- 5.1.8 Where the complainant accepts the remedy or does not respond within 15 days, the complaint shall be closed and entered in the Complaints & Appeals Record (QF-007/01). Where the complainant is not satisfied, his disagreement shall be examined by the CEO and dealt with an approach to satisfy him to the maximum extent possible. Where all reasonable efforts exhaust, the final decision of AIS will be informed to the complainant giving a clear option for him to file a formal appeal to the appellate authority.
- 5.1.9 For all established complaints, the non-conforming aspect will be dealt with as per Procedure for Handling Non-conformities, Corrective Action and Preventive Action (QP-005)

5.2 Appeals

- 5.2.1 Where any person or client wishes to file an appeal against any decision of AIS including inspection results and final remedy offered against a complaint, he can file a written representation to AIS
- 5.2.2 The details of all appeals filed and stage wise progress shall be entered in the Feedback, Complaints & Appeals Record (QF-007/01).
- 5.2.3 For each Appeal received, AIS shall set up an Appeals Committee comprising of 3 persons as under:

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(Signature of Quality Manager)

(Signature of CEO)

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- i) CEO
- ii) A neutral internal who had no role whatsoever in the inspection/complaint investigation in question.
- iii) An external member not related to AIS

5.2.4 The decision shall be taken by the Appeals Committee, after giving due opportunity for the appellant to present his case in writing or in person, as desired by him and looking at all facts in an objective manner.

5.2.5 The decision of the Appeals Committee shall be communicated in writing to the appellant. AIS shall take all actions required on its part by the decision expeditiously.

5.2.6 AIS shall be responsible for all decisions at all levels of the handling process for complaints and appeals

5.3 General

5.3.1 Quality Manager shall conduct periodical reviews of the pending complaints and appeals to ensure that these are being dealt within reasonable time keeping in mind the quality objectives for resolving complaints.

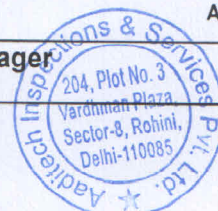
5.3.2 Quality Manager shall analyse all complaints and appeals received for any trends, including timeframes and pendency statements, and submit his findings to the management review.

5.3.3 Where a matter has been referred to a court or any other judicial or quasi judicial authority by the complainant / appellant, the internal case (whether complaint or appeal) shall be closed forthwith and the party informed

6. DOCUMENTATION AND RECORDS

Complaints & Appeals record (QF-007/01)

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Document No.
QP-007

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Annex 2

COMPLAINTS & APPEALS RECORD

Complainant / Appellant details (Name and contact details)	Date of Receipt	Broad description of complaint/Appeal	How received (post, email or oral)	Date of receipt of complaint / Appeal	Current Status	Date of final response to complain ant / Apparent	Corrective & Preventive action (where applicable)

QF/007/01



Handwritten signature

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