



# Appeals and Complaints

## Appeals:

**PURPOSE:** To describe the procedure for appeals and to ensure that the appellant's complaint is dealt with in the most effective manner.

**SCOPE:** Appeals received by SIS Certifications Pvt. Ltd.

**RESPONSIBILITY:** Quality Manager

## PROCEDURE:

### 1. INTRODUCTION

a) An applicant, a certified company or any interested party may appeal against a decision of SIS. The matter is referred to the Appeals Panel whose decision is final.

### 2. ADMINISTRATION OF APPEALS

a) In the event of an applicant, Certified Company or any interested party, wishing to contest any decision of SIS, he shall, within 14 days after having been officially informed of such a decision, give notice in writing to SIS of his desire to appeal against the decision. The receipt of the appeal is acknowledged and the applicant is informed of the progress made and the outcome.

b) On receipt of such an appeal, the Quality Manager, under the instruction of CEO will advise the Board of Directors and the Impartiality Committee of the details of the appeal received. The Board of Directors will proceed to constitute an independent Appeals Panel in each case in consultation with the Impartiality Committee. The Appeals Panel will comprise of a Chairman who will be assisted by two members of the Impartiality Committee representing the area of technical expertise related to the nature of the appellant's activities under certification. The appellant will have the right to object to the inclusion of any person in the Appeals Panel. All members chosen to form the Appeals

Panel shall not have been previously involved in the decision appealed against. Or who carried out the audit and made the certification decision.

c) The meeting of the Appeal Panel shall be held within 30 days of the receipt of notification from the appellant and the appellant will be provided with at least 7 clear days of written notice of the time and place of the Appeals Panel Meeting. Prior to the meeting of the Appeals Panel the existing decision of SIS is to remain in force.

d) At the Appeals Panel Meeting both the appellant and the appropriate representative from SIS shall be entitled to be heard in confidence and majority decision of the Appeals Panel shall be final.

e) The CEO shall ensure that the appellant is advised in writing of the decision of the Appeals Panel within 7 days of the decision. The QM shall record details of the appeal in the Register of Appeals and implement the decision of the appeals panel, as required.

f) On conclusion of the appeal, the Quality Manager will also review the grounds of appeal and evaluate if any possible improvements to SIS Management systems are required. A description of the appeals handling process is available on SIS website to make it publicly accessible.

g) The Quality Manager shall ensure that the submission, investigation and decision on Appeals shall not result in any discriminatory actions against the appellant ensuring that any appropriate correction and corrective action are taken. The certification body shall give formal notice to the appellant of the end of the appeals-handling process.

### **Complaints:**

**PURPOSE:** To describe the procedure for appeals and to ensure that the appellant's complaint is dealt with in the most effective manner.

**SCOPE:** Complaints received by SIS Certifications Pvt. Ltd.

**RESPONSIBILITY:** Quality Manager

Any complaint received by SIS in respect of its functions as a certification body or a company certified by it, shall be fully investigated by the CEO. The Technical Coordinator will verify the promptness and effectiveness of the actions taken in respect of the complaint received by SIS. He shall ensure the prompt disposal of the complaint and the complainant being advised of the result of the investigation within six weeks of the receipt of the complaint. All complaints, after redressed & disposal, shall be closed through a closing note / closing call by the MD. Where applicable, certification will be

restored as quickly as possible. Suitable preventive action will be taken to avoid re-occurrence of such cases. Any recurrence will be prevented. Effectiveness of the measures adopted will be assessed during the Management Review Meeting and necessary information is gathered and verified to validate the complaints.

Unsatisfactory performance recorded on the “Client Satisfaction Form” by any SIS client in respect of the audit conducted by SIS auditors shall be treated as a complaint and dealt with accordingly.

Complaints are received by TC and acknowledged (whenever possible), initially evaluated by QM for further decisions. The entire process to be followed meeting the requirement of confidentiality as it relates to the complaint and to the subject of the complaint. The complaints are recorded in the complaint register. A description of the complaints-handling process is publicly available on SIS website and the progress is tracked by QM including actions undertaken in response to them.

Complaint against an officer of SIS including CEO/QM will be investigated by the Director technical or someone who is not involved in the process.

The decision to be communicated to the complainant shall be made by or reviewed and approved by individuals not previously involved in the subject of the complaint

Whenever possible SIS shall give formal notice of the end of the complaint handling process to the complainant

SIS shall determine together with the client and the complainant whether and if so to what extent the subject of the complaint and its resolution shall be made public

Any complaint about the certified client and also referred by SIS to the certified client is kept confidential.

If the complainant is dissatisfied with SIS response for the lodged complaint outcome or the process, the complainant may refer to accreditation board (IOAS/IAS)

**Note: - Kindly send your complaints on [Quality@siscertifications.com](mailto:Quality@siscertifications.com)**