

## **OP-11 (9.7)**

### **Procedure for handling appeals**

**Purpose:** To make a procedure for handling appeals from the client. **Scope:** all kinds of appeal that comes under the scope of FSMS/FSSC. **Responsibility:** DIRECTOR, Executive Quality Assurance

#### **Procedure:**

OneCert International private limited has an appeal-handling process to enable its clients to appeal against the decision which does not result into acceptable resolution or where the proposed procedure is unacceptable to the appellant or other parties involved.

This appeals-handling process shall provide for an independent and impartial appeal process. Any client can submit an appeal against the decisions taken by OneCert international private limited.

The appeal is only received through written or printed format.

OneCert international private limited provides an option for the appellant to access its appeal-handling process through website or printed media.

It is also make sure that the personnel involved in the appeals-handling process are different from those who carried out the audits and made the certification decisions thereby maintaining its policy of impartiality.

OneCert international private limited will not take any discriminatory actions against the appellant for submitting the appeal.

The procedure for appeal is as follows:

1. Client subject to the regulations who believe that they are adversely affected by a noncompliance or certification decision may appeal such decision to DIRECTOR OneCert international private limited or the Managing Director OneCert international private limited. In case if the DIRECTOR OneCert international private limited is involved in the certification decision of the organization which is appealing, then he will give the responsibility for handling appeal to the Quality Assurance Department. If still the person making the appeal didn't satisfied then he/she can also appeal to the Director QCI (NABCB).

2. All written communications between parties involved in appeal proceedings must be sent to the recipient's place of business by a delivery service which provides dated return receipts.
3. A client can appeal within 30 days of receiving the decision letter from OneCert international private limited, or within the time frame specified in that letter—whichever is later. Unless the appeal is timely, the decision to deny, revoke, or suspend the client's certification will become final.
4. OneCert international private limited informs the certified client in writing of the suspension or withdrawal and the reasons for the suspension or withdrawal. The certified client will have the right to appeal to the OneCert international private limited. No certification will be suspended or withdrawn unless OneCert international private limited has:
  - a) Served at least three weeks' written notice to the certified client, from the date of notification, stating the grounds for the suspension or withdrawal; and
  - b) Considered any written appeal from the certified client received during these two weeks.
  - c) If no respond in this time period then a next written notice of 2 weeks is issued to the certified client, from the date of notification.
  - d) A last notice of 1 week is issued if the client does not respond to the previous notices.
5. Client must include the following information in their appeal:
  - a. A copy of the decision they are appealing; and
  - b. A statement of their reasons for believing that the decision was not proper or did not follow the required standards
  - c. OneCert international private limited will keep a record of all appeals, take appropriate follow up actions, and document the action taken.
  - d. Appeals may be made to the OneCert international private limited DIRECTOR.
  - e. If the DIRECTOR was involved in the decisions being appealed, the Managing Director will handle the appeal.
6. When a written appeal has been received, the OneCert international private limited will convene an appeal meeting chaired by DIRECTOR, OneCert International private limited and comprising of members not involved in the evaluation of the certified Client to consider the explanations given, and if the certified client so wishes, will provide an opportunity for the certified client body to be heard as soon as possible. Appropriate technical experts may be co-opted to assist in hearing the appeal, where necessary.

7. The corrective actions taken by the client will also be verified for their effectiveness.
8. If no appeal has been received by the OneCert international private limited against the notice of suspension or withdrawal, or if in the opinion of the OneCert international private limited the explanations submitted are not satisfactory, OneCert international private limited will, on the expiry of the notice, suspend or withdraw the certification and inform the certification body in writing.
9. All appeals will be maintained in a way that will allow tracking and recording, it will also include actions undertaken to resolve them.
10. If during investigation it is found that there is some gap in OneCert international private limited's system while decision making regarding client's management system then an appropriate & timely correction & corrective action will be taken & it will be ensured for its appropriateness by Quality Assurance department or a person appointed by it.
11. Notes from OneCert International Private limited:
  - OneCert international private limited will acknowledge receipt of the appeals and will provide the appellant with progress reports and the outcome.
  - The decision to be communicated to the appellant will be made by or reviewed and approved by individual(s) not previously involved in the subject of the appeals.
  - OneCert international private limited will give formal notice to the appellant of the end of the appeals handling

A description of the appeals handling process is publicly accessible (On *website [www.onecertinternational.com](http://www.onecertinternational.com)*)

**Record:** OCAF/9.7\_F20

## **OP-12 (9.7)**

### **Procedure for handling complaints**

**Purpose:** To establish and maintain, an effective procedure, for handling the complaints related to client's certification.

**Scope:** complaints regarding OneCert international private limited operation and/or procedures; the auditors, reviewers, committee members, staff of the OneCert international private limited; certified client; misuse of accreditation or certification status either in scope or in use of the logo or mark

**Responsibility:** DIRECTOR, QA, Auditors, Reviewers

**Procedure:**

Complaints represent a source of information as to possible nonconformity.

A Complaint can be made by any person or body against the following:

- A. OneCert international private limited, its operation and/or procedures
- B. the auditors, reviewers, committee members, staff of the OneCert international private limited
- C. certified client
- D. misuse of accreditation or certification status either in scope or in use of the logo or mark

#### **1. Receiving, validating & recording of complaints:**

- a. The complaints can be received on our website, through e-mail, by post, by hand or by any other possible means of communication and it can be done by any person; including our client, any stake holders, a person other than clients, client's customers or any other person; related the scope of FSMS/FSSC.
- b. Upon receipt of a complaint, the OneCert international private limited confirms whether the complaint relates to certification activities that it is responsible for and, if so, shall deal with it. If the complaint relates to a certified client, then examination of the complaints shall consider the effectiveness of the certified management system.
- c. Any valid complaint about a certified client will also be referred by the certification body to the certified client in question at an appropriate time, which can be a week to three weeks, depending on the severity of the complaint.
- d. Complaints or appeals received from any party on all other matters will be handled by the OneCert international private limited DIRECTOR. Cases involving certification requirements of the may be referred to one or more reviewers for additional evaluation. Those reviewers will

not have been involved in earlier review or audit of the contested case. Cases involving certification decisions of other certification agencies will be referred to those agencies. All other matters will be investigated and decided by the DIRECTOR who will determine appropriate subsequent action.

After receiving the complaints OneCert International private limited will be responsible for gathering and verifying all necessary information to validate the complaint.

## **2. Procedure for complaints regarding:**

- A. OneCert international private limited, its operation and/or procedures
  - B. the auditors, reviewers, committee members, staff of the OneCert International Private limited
- a. When a complaint has been received, the OneCert International private limited will convene a meeting chaired by DIRECTOR, OneCert international private limited and comprising of members not involved in the evaluation of the certified Client to consider the explanations given. Appropriate technical experts may be co-opted to assist, where necessary.
  - b. The decision to be communicated to be the complainant will be made by, or reviewed and approved by individual(s) not previously involved in the subject of the complaint.
  - c. All complaints will be maintained in a way that will allow tracking and recording, it will also include actions undertaken to resolve them.
  - d. The corrective actions taken will also be verified for there effectiveness.
  - e. Whenever possible, OneCert international private limited will acknowledge receipt of the complaint, and will provide the complainant with progress reports and the outcome.
  - f. Client should inform about the closure of the complaint to OneCert International private limited.
  - g. OneCert International private limited will give formal notice of the end of the complaints handling process to the complainant.
  - h. OneCert International private limited will 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.

## **3. Procedure for complaint against certified client**

- a. When a complaint has been received, the OneCert International private limited will convene a meeting chaired by DIRECTOR, OneCert International private limited and comprising of members not involved in the evaluation of the certified Client to consider the explanations given. Appropriate technical experts may be co-opted to assist, where necessary.

Note: OneCert International private limited will entertain only written complaints; in case any verbal complaint is received then the complainer will be asked to file the complaint in writes that could be in soft copy or hard copy.

- b. In this meeting (or after the meeting by a responsible person) after review of status of the certified client & on the basis of severity of complaint, it will be decided that whether the complaint nature needs an audit. If so, then short notice audit will be planned & performed before referring the complaint to client. If audit is not needed then the client will be notified by a written notice with a time limit to response. For this, OneCert international private limited informs the certified client in writing. The certified client will have the right to appeal to the OneCert international private limited Committee. No certification will be suspended or withdrawn unless OneCert international private limited has:

- Served at least three weeks' written notice to the certified client, from the date of notification, stating the grounds for the suspension or withdrawal; and
- Considered any written appeal from the certified client received during these two weeks.
- If no respond in this time period then a next written notice of 2 weeks is issued to the certified client, from the date of notification.
- A last notice of 1 week is issued if the client does not respond to the previous notices.

- c. The client must reply within the defined time period. He should mention the proposed corrective action & the time limit to accomplish it.

- d. The corrective actions taken by the client will also be verified for there effectiveness.

- e. Whenever possible, OneCert International private limited will acknowledge receipt of the complaint, and will provide the complainant with progress reports and the outcome.

- f. Client should inform about the closure of the complaint to OneCert International private limited.

- g. OneCert International private limited will give formal notice of the

end of the complaints handling process to the complainant.

- h. OneCert International private limited will 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.

OneCert International private limited will evaluate the complaints relating to customer by reviewing records of previous audits or if necessary, re-auditing the certified client, by conducting the special audit. For a detailed procedure for auditing against a complaint please refer OCA/FSMS-088 point 3 'Short Notice Audit'.

#### **4 'Misuse of accreditation or certification status either in scope or in use of the logo or mark':**

For the complaints regarding use of logo or misinformation about the certification or accreditation body the rules for 'Reference to certification and use of mark' of section 8.4 in Quality Manual (OCAF/QM\_070) and agreement for 'use of logo'.

Procedure for this type will be same as procedure for appeal.

Note: All kinds of complaints will be handled or reviewed by one or more persons and will be kept confidential.

**Record:** OCAF/9.7\_F21