



# TQ SERVICES

PROCEDURE NO. : **CBP- 13**

**TQ SERVICES PROCEDURE**

REV.NO. 02

DATE: 27.02.2016

**HANDLING APPEALS AND COMPLAINTS**

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## PROCEDURE FOR HANDLING APPEALS AND COMPLAINTS

REV. NO.	DATE	BRIEF RECORD OF REVISIONS
02	27.02.2016	Designation of Senior Manager-QA to AGM QA, TQ Services changed to TQS
01	27.03.2015	Designation of Head-QA changed to Senior Manager-QA
00	03.01.2011	First issue

PREPARED BY : AGM – QA

APPROVED BY : CHIEF OF CERTIFICATION

SIGNATURE :

SIGNATURE :

NAME : B. Venugopal

NAME : Sampat Suri

**1.0 OBJECTIVE**

To ensure that appropriate correction and as required corrective actions are taken in response to appeals and complaints received by **TQS**.

**2.0 SCOPE**

Applicable to appeals and complaints received by **TQS** from clients, customers of clients, or any other interested parties.

**3.0 RESPONSIBILITY**

AGM-QA or nominee is responsible for handling of appeals and complaints till resolution and for any communication to the appellant / complainant.

COC is responsible for ensuring that all appeals and complaints are investigated and resolved.

**4.0 Definitions**

- Appeal : Request received for reconsideration of any adverse decision of **TQS** attributable to HO activities or on-site- audit activities.
- Complaint : Dissatisfaction communicated to **TQS** which may be attributable to HO activities or on-site audit activities.

**5.0 PROCEDURE**

This procedure is accessible to public through web site ([www.tataprojects.com](http://www.tataprojects.com)).

**5.1 Appeals**

5.1.1 **TQS** takes responsibility for all its decisions at all levels in the handling of appeals. It is ensured that personnel engaged in the appeals- handling process are different from those who carried out audits and made the certification decisions.

**5.1.2 Appeals handling process**

- On receipt of an appeal, AGM-QA evaluates, gathers and verifies all necessary information to validate the appeal.
- The appeal is recorded, acknowledged and communicated to the appellant by AGM-QA.

5.1.3 AGM-QA carries out investigation of the appeal taking into account results of previous similar appeals. AGM-QA submits a report indicating the results of investigation and the actions to be taken as well as the reply to be sent to the client.

5.1.4 The final decision is made by COC on the basis of the review of report received from AGM-QA /Nominee. In case COC was previously involved in the certification decision related to appeal, the decision is taken by another nominated person who was not previously involved in the specific certification audit / decision process.

5.1.5 AGM-QA tracks and records the actions taken and the appellant is kept informed by AGM-QA on the progress till the appeal is resolved. At the end of appeal handling process, formal notice is given to the appellant by AGM-QA. (Format CBF-30)

5.1.6 AGM-QA would ensure that appropriate correction and corrective actions are identified and implemented where required.

5.1.7 AGM-QA and COC ensure that submission, investigation and decision on appeals shall not result in any discriminatory actions against the appellants.

**5.2 Complaints**

5.2.1 On receipt of complaint, AGM-QA evaluates gathers and verifies all necessary information to validate the complaint. In case it is confirmed that the complaint relates to certification activities, AGM-QA shall initiate investigation.

5.2.2 AGM-QA ensures that the persons engaged in complaints handling process are different from those who carried out audits and made the certification decisions.

5.2.3 If the complaint is about certified clients, it will be communicated to the concerned client at an appropriate time. The complaint is recorded, acknowledged and communicated to the complainant by AGM-QA (Format CBF-30)

5.2.4 Complaints are investigated by AGM-QA for deciding actions to be taken in response to the complaint.

In case the complaint is against the certified client, the investigation shall consider the effectiveness of certified management system and any actions required are decided by AGM-QA.

5.2.5 AGM-QA implements the actions decided and track the actions taken till its completion. AGM-QA also ensures that corrections and appropriate corrective actions are implemented and completed where required.

5.2.6 Whenever possible, AGM-QA or nominee, communicates the progress on the actions to the complainant and at the end of complaint closure, formal notice is given to the complainant.

5.3 The above activities of complaint handling process are subjected to requirement for confidentiality as it relates to the complainant and to the subject of the complaint.

5.4 AGM-QA shall determine, together with client and complainant, whether and, if so to what extent, the subject of the complaint and its resolution shall be made public.

5.5 Corrective actions as required are dealt with as per procedure CBP-17.

**6.0 REFERENCES**

Procedure for Audit Reporting	---	CBP-08
Procedure for extending, reducing, Suspending and withdrawing certification	---	CBP-09
Procedure for Documents Control	---	CBP-13
Procedure for Records Control	---	CBP-14
Procedure for corrective & preventive actions	---	CBP-17

**7.0 RECORDS**

AGM-QA maintains the records of complaints and appeals (format no. CBF-30).