

1) **Purpose**

1-1 Help the Sales to handle the customer compliant from the Product conformity services

2) **Scope of Application**

– All the product and services within the scope of accreditation

3) **Reference**

- ISO 9001:2015
- ISO 17065:2012
- ISO 17067:2013
- ISO 10002:2018

4) **Responsibility for Application**

- Sales Personal
- QA manager

5) **Definitions**

5-1 Complainant: person, *organization* or their representative making a *complaint*

5-2 Complaint: <customer satisfaction> expression of dissatisfaction made to an *organization*.

Related to its product or service, or the complaints and appeals -handling process itself, where a response or resolution is explicitly or implicitly expected

5-3 Customer: person or *organization* that could or does receive a product or a service that is intended for or required by this person or organization

5-4 Customer satisfaction: *customer's* perception of the degree to which the customer's expectations have been fulfilled

5-5 Customer service: interaction of the *organization* with the *customer* throughout the life cycle of a product or a service

5-6 Feedback: <customer satisfaction> opinions, comments and expressions of interest in a product, a service or a complaints and appeals -handling process

5-7 Interested party stakeholder: person or *organization* that can affect, be affected by, or perceive itself to be affected by a decision or activity

5-8 Organization: person or group of people that has its own functions with responsibilities, authorities and relationships to achieve its objectives

5-9 Appeal: request by the provider of the object of conformity assessment to the conformity assessment body or accreditation body for reconsideration by that body of a decision it has made relating to that object

6) **Procedure**

6-1 General Principal

- 1- The BVE shall be actively committed to defining and implementing a complaints and appeals -handling process.
- 2- Sufficient resources shall be made available for and committed to complaints and appeals handling, and shall be managed effectively and efficiently.
- 3- The complaints and appeals -handling process shall be communicated to customers, personnel and other relevant interested parties. Individual complainants shall be provided with adequate information about the handling of their complaint.
- 4- A complaints and appeals -handling process shall be easily accessible to all complainants. Information shall be made available on the details of making and resolving complaints and

appeals . The complaints and appeals -handling process and supporting information shall be easy to understand and use. The information shall be in clear language. Information and assistance in making a complaint shall be made available F-23-01 in whatever languages or formats that the products and services were offered or provided in, including alternative formats, such as large print, Braille, or audio tape, so that no complainants are disadvantaged.

- 5- The organization shall address the needs and expectations of customers with respect to complaints and appeals handling.
- 6- Each complaint shall be addressed in an equitable, objective and unbiased manner through the complaints and appeals -handling process. The principles for objectivity in the complaints and appeals -handling process include the following:
 - a. *Openness*: well publicized, accessible and understood by those involved in a complaint. The process shall be clear and well publicized so that both personnel and complainants can follow them.
 - b. *Impartiality*: avoiding any bias in dealing with the complainant, the person complained against, or the organization. The process shall be designed to protect the person complained against from any biased treatment. Emphasis shall be placed on solving the problem and not on assigning blame. If a complaint is made about personnel, the investigation shall be carried out independently.
 - c. *Confidentiality*: the process shall be designed to protect the complainant's and customer's identity, as far as is reasonably possible. This aspect is very important to avoid deterring possible complaints and appeals from people who might be afraid that giving details could lead to inconvenience or discrimination.
 - d. *Accessibility*: the organization shall allow the complainant access to the complaints and appeals -handling process at any reasonable point or time. Information about the complaints and appeals process shall be readily available in clear language and in formats accessible to all complainants. When a complaint affects different supply chain participants, a plan to coordinate a joint response shall be made. The process shall allow any information arising from the complaints and appeals to be known by any suppliers of the organization that are concerned by the complaint so that they are able to make improvements.
 - e. *Completeness*: finding out the relevant facts, talking to people from both sides involved in the complaint to establish a common ground and verify explanations, whenever possible.
 - f. *Equitability*: giving equal treatment to all people.
 - g. *Sensitivity*: each case shall be considered on its merits, paying due care to individual differences, and needs and expectations.

6.1 Complaints and appeals -handling procedures shall ensure that those complained against are treated objectively. This implies:

6.2 giving them the opportunity to explain the circumstances and allowing them appropriate support;

6.3 keeping them informed of the progress in the investigation of the complaint and the result.

It is vital that those against whom a complaint has been made are given full details of the complaint before they are interviewed. However, confidentiality shall be observed.

Personnel shall be reassured that they are supported by the process. Personnel shall be encouraged to learn from the complaints and appeals -handling experience and to develop a better understanding of the complainant perspectives.

6.4 Complaints and appeals -handling procedures shall be separated from disciplinary procedures.

6.5 In addition to ensuring complainant confidentiality, the complaints and appeals -handling process shall ensure confidentiality in the case of complaints and appeals against personnel. The details of such complaints and appeals shall be known only by those directly concerned. However, it is important that confidentiality is not used as an excuse to avoid dealing with a complaint.

6.6 Organizations shall monitor the responses to complaints and appeals to ensure complaints and appeals are handled objectively. Measures may include:

- a) a regular monitoring (e.g. monthly) of resolved complaint cases selected at random;
- b) surveys of complainants, asking them if they were treated in an objective manner.

- 7- Access to the complaints and appeals -handling process shall be free of charge to the complainant.
- 8- The organization shall ensure that the information about its complaints and appeals handling is accurate and not misleading, and that data collected are relevant, correct, complete, meaningful and useful.
- 9- Personally identifiable information concerning the complainant shall be available where needed, but only for the purposes of addressing the complaint within the organization and shall be actively protected from disclosure, unless the customer or complainant expressly consents to its disclosure or disclosure is required by law.
- 10- The organization shall adopt a customer-focused approach with respect to handling complaints and appeals and shall be open to feedback.
- 11- The organization shall establish and maintain accountability for, and reporting on, the decisions and actions with respect to complaints and appeals handling.
- 12- Increased effectiveness and efficiency of the complaints and appeals -handling process shall be a permanent objective of the organization.
- 13- Organization personnel shall have the personal attributes, skills, training, education and experience necessary to handle complaints and appeals.
- 14- Complaints and appeals shall be handled as expeditiously as feasible given the nature of the complaint and of the process used.

6-2 Complaints and appeals -handling framework

6-2-1 Context of the organization

In planning, designing, developing, operating, maintaining and improving the complaints and appeals -handling process, the organization shall consider its context by:

- a. identifying and addressing external and internal issues that are relevant to the organization's purpose and that affect its ability to achieve complaints and appeals -handling objectives;
- b. identifying the interested parties that are relevant to the complaints and appeals -handling process, and addressing the relevant needs and expectations of these interested parties;
- c. identifying the scope of the complaints and appeals -handling process, including its boundaries and applicability, and taking into account the external and internal issues and the needs of interested parties noted above.

6-2-2 Leadership and commitment

Top management shall demonstrate leadership in, and the organization shall be actively committed to, effective and efficient complaints and appeals handling. It is particularly

important that the commitment is shown by, and promoted from, the organization's top management.

A strong leadership in, and commitment to, responding to complaints and appeals shall allow both personnel and customers to contribute to the improvement of the organization's products, services and processes.

This leadership and commitment shall be reflected in the definition, adoption and dissemination of policy and procedures for the resolution of complaints and appeals. Management leadership and commitment shall be shown by the provision of adequate resources, including training.

6-2-3 Policy

Top management shall establish an explicit customer-focused complaints and appeals -handling policy. The policy shall be made available to, and known by, all personnel. The policy shall also be made available to customers and other relevant interested parties. The policy shall be supported by procedures and objectives for each function and personnel role included in the process.

When establishing the policy and objectives for the complaints and appeals -handling process, the following factors should be taken into account:

- identification of any applicable statutory and regulatory requirements;
- financial, operational, and organizational requirements;
- the input of customers, personnel, and other relevant interested parties.

The policies related to quality and complaints and appeals handling shall be aligned

6-2-4 Responsibility and authority

Top management shall be responsible for:

- a. ensuring that the complaints and appeals -handling process and objectives are established within the organization;
- b. ensuring that the complaints and appeals -handling process is planned, designed, developed, operated, maintained and continually improved in accordance with the complaints and appeals -handling policy of the organization;
- c. identifying and allocating the management resources needed for an effective and efficient complaints and appeals -handling process;
- d. ensuring the promotion of awareness of the complaints and appeals -handling process and the need for a customer focus throughout the organization;
- e. ensuring that information about the complaints and appeals -handling process is communicated to customers, complainants, and, where applicable, other parties directly concerned in an easily accessible manner;
- f. appointing a complaints and appeals -handling management representative and clearly defining their responsibilities and authority in addition to the responsibilities and authority set out.
- g. ensuring that there is a process for rapid and effective notification to top management of any significant complaints and appeals ;
- h. periodically reviewing the complaints and appeals -handling process to ensure that it is effectively and efficiently maintained and continually improved.

6-2-5 The complaints and appeals -handling management representative should be responsible for:

- a. establishing a process of performance monitoring, evaluation and reporting;
- b. reporting to top management on the complaints and appeals -handling process, with recommendations for improvement;

- c. maintaining the effective and efficient operation of the complaints and appeals -handling process, including the recruitment and training of appropriate personnel, technology requirements, documentation, setting and meeting target time limits and other requirements, and process reviews.

6-2-6 Other managers involved in the complaints and appeals -handling process shall, as applicable within their area of responsibility, be responsible for:

- a. ensuring that the complaints and appeals -handling process is implemented;
- b. liaising with the complaints and appeals -handling management representative;
- c. ensuring the promotion of awareness of the complaints and appeals -handling process and of the need for a customer focus;
- d. ensuring that information about the complaints and appeals -handling process is easily accessible;
- e. reporting on actions and decisions with respect to complaints and appeals handling;
- f. ensuring that monitoring of the complaints and appeals -handling process is undertaken and recorded;
- g. ensuring that action is taken to correct a problem, prevent it happening in the future, and that the event is recorded;
- h. ensuring that complaints and appeals -handling data are available for the top management review.

6-2-7 All personnel in contact with customers and complainants shall:

- be trained in complaints and appeals handling;
- comply with any complaints and appeals -handling reporting requirements determined by the organization;
- treat customers in a courteous manner and promptly respond to their complaints and appeals or direct them to the appropriate individual;
- show good interpersonal and good communication skills.

6-2-8 All personnel shall:

- be aware of their roles, responsibilities and authorities in respect of complaints and appeals ;
- be aware of what procedures to follow and what information to give to complainants;
- report complaints and appeals which have a significant impact on the organization.

6-3 Operation of complaints and appeals -handling process

6-3-1 Communication

Information concerning the complaints and appeals -handling process, such as brochures, pamphlets or electronic-based information shall be made readily available to customers, complainants and other relevant interested parties. Such information shall be provided in clear language and, so far as is reasonable, in formats accessible to all, so that no complainants are disadvantaged. The following are examples of such information:

- where complaints and appeals can be made;
- how complaints and appeals can be made;
- information to be provided by the complainant form F-23-01;
- the process for handling complaints and appeals ;
- time periods associated with various stages in the process;
- the complainant's options for remedy, including external means (see 29);
- how the complainant can obtain feedback on the status of the complaint.



6-3-2 Receipt of complaints and appeals

Upon reporting of the initial complaint, the complaint shall be recorded with supporting information and a unique identifier code. The record of the initial complaint shall identify the remedy sought by the complainant and any other information necessary for the effective handling of the complaint including:

- a description of the complaint and relevant supporting data;
- the requested remedy;
- the products and services or related organization practices complained about;
- the due date for a response;
- data on people, department, branch, organization and market segment;
- immediate action taken (if any).

6-3-3 Tracking of complaints and appeals

The complaint shall be tracked from initial receipt through the entire process until the complainant is satisfied or the final decision is made F-23-04. An up-to-date status shall be made available to the complainant upon request and at regular intervals, at least at the time of pre-set deadlines. The complainants shall be treated courteously and be kept informed of the progress of their complaint through the complaints and appeals - handling process.

6-3-4 Acknowledgement of complaints and appeals

Receipt of each complaint shall be acknowledged to the complainant immediately (e.g. through post, phone or email).

6-3-5 Initial assessment of complaints and appeals

After receipt, each complaint shall be initially assessed in terms of criteria, such as severity, safety implication, complexity, impact, and the need and possibility of immediate action. Complaints and appeals shall be addressed promptly in accordance with their urgency. For example, significant health and safety issues shall be processed immediately.

6-3-6 Investigation of complaints and appeals

Every reasonable effort shall be made to investigate all the relevant circumstances and information surrounding a complaint. The level of investigation shall be commensurate with the seriousness, frequency of occurrence and severity of the complaint.

6-3-7 Response to complaints and appeals

Following an appropriate investigation, the organization shall offer a response F-23-02. For example, correct the problem and prevent it happening in the future. If the complaint cannot be immediately resolved, then it shall be dealt with in a manner intended to lead to its effective resolution as soon as possible using the escalation form F-23-03.

6-3-8 Communicating the decision

The decision or any action taken regarding the complaint, which is relevant to the complainant or to the personnel involved, shall be communicated to them as soon as the decision or action is taken.

6-3-9 Closing complaints and appeals

If the complainant accepts the proposed decision or action, then the decision or action shall be carried out and recorded.

If the complainant rejects the proposed decision or action, then the complaint shall remain open. This shall be recorded and the complainant shall be informed of alternative forms of internal and external recourse available using escalation form F-23-03

The organization shall continue to monitor the progress of the complaint until all reasonable internal and external options of recourse are exhausted or the complainant is satisfied.

6-4 Maintenance and improvement

6-4-1 Collection of information

The BVE shall record the performance of its complaints and appeals -handling process. BVE shall establish and implement procedures for recording complaints and appeals and responses and for using records and managing them, while protecting any personal information and ensuring the confidentiality of complainants. Information collected shall be relevant, correct, complete, meaningful and useful.

This shall include:

- A. specifying steps for identifying, gathering, classifying, maintaining, storing and disposing of records;
- B. recording its handling of a complaint and maintaining these records, taking utmost care to preserve such items as electronic files and recording media, since records in these media can be lost as a result of mishandling or obsolescence;
- C. keeping records of the type of training and instruction that individuals involved in the complaints and appeals - handling process have received;
- D. specifying the organization's criteria for responding to requests for record presentation and record submissions made by a complainant or their agent; this can include time limits, what kind of information will be provided, to whom, or in what format;
- E. specifying how and when statistical non-personally identifiable complaints and appeals data are disclosed to the public.

6-4-2 Analysis and evaluation of complaints and appeals

All complaints and appeals shall be classified and then analysed to identify systematic, recurring and single incident problems and trends, to help eliminate the underlying causes of complaints and appeals, and to identify opportunities for improvement or changes in processes, products and services offered.

6-4-3 Evaluation of the satisfaction with the complaints and appeals -handling process

There shall be regular action taken to determine the levels of satisfaction of complainants with the complaints and appeals -handling process. This can take the form of random surveys of complainants and other techniques.

6-4-4 Monitoring of the complaints and appeals -handling process

Continual monitoring of the complaints and appeals -handling process, the resources required (including personnel), and the data to be collected shall be undertaken.

The performance of the complaints and appeals -handling process shall be measured against predetermined criteria.

It is vital to ensure that those responsible for monitoring and reporting on the performance of the complaints and appeals -handling process and for taking corrective actions are competent for this role.

The following are the types of responsibilities that can be considered:

Top management shall:

- define the monitoring objectives;
- define the monitoring responsibilities;

- conduct reviews of the monitoring process;
- ensure that improvements are implemented.

The complaints and appeals -handling management representative shall:

- establish a process of performance monitoring, evaluation, and reporting;
- report to top management on the performance revealed during the complaints and appeals -handling process reviews, so that all necessary improvements can be made.

Other managers involved in the complaints and appeals in the organization shall ensure that:

- adequate monitoring of the complaints and appeals -handling process is undertaken and recorded within their area of responsibility;
- corrective action is taken and recorded within their area of responsibility;
- adequate complaints and appeals -handling data are available for the top management review of the monitoring process within their area of responsibility.

(a) Performance-monitoring criteria

The criteria that can be considered and included when monitoring the performance of the complaints and appeals -handling process include:

- ❖ personnel perception of the top management commitment to complaints and appeals handling;
- ❖ whether responsibilities for complaints and appeals handling have been appropriately assigned;
- ❖ whether personnel in contact with customers are authorized to resolve complaints and appeals on the spot;
- ❖ whether discretionary limits concerning responses have been set for personnel in contact with customers;
- ❖ whether personnel specialized in complaints and appeals handling have been appointed;
- ❖ the proportion of personnel in contact with customers who are trained in complaints and appeals handling;
- ❖ attitude of personnel to complaints and appeals handling;
- ❖ frequency of complaints and appeals -handling audits or management reviews;
- ❖ time taken to implement recommendations from complaints and appeals -handling audits or management reviews;
- ❖ time taken to respond to complainants;
- ❖ degree of complainant satisfaction;
- ❖ effectiveness and efficiency of the processes required for corrective actions and actions taken in relation to risks and opportunities, when appropriate.

(b) Monitoring data

The monitoring of data is important since it provides a direct indicator of complaints and appeals -handling performance.

Monitoring data can include the number or proportions of:

- ❖ complaints and appeals received;
- ❖ complaints and appeals resolved at the point at which they are made,
- ❖ complaints and appeals incorrectly prioritized;
- ❖ complaints and appeals acknowledged after agreed time;
- ❖ complaints and appeals resolved after agreed time;

- ❖ complaints and appeals referred to external methods of resolution ;
- ❖ repeat complaints and appeals or recurrent problems that have not been complained about;
- ❖ improvements in procedures due to complaints and appeals .

Careful attention shall be exercised in data interpretation because:

- ❖ *objective data, such as response times, can show how well the process is working but might not provide information about complainant satisfaction;*
- ❖ *an increase in the number of complaints and appeals after the introduction of a new complaints and appeals -handling process can reflect an effective process rather than poor products and services.*

6-4-5 Auditing of the complaints and appeals -handling process

The organization shall regularly perform or provide for audits in order to evaluate the performance of the complaints and appeals -handling process. The audit shall provide information on:

- ❖ process conformity to complaints and appeals -handling procedures;
- ❖ process suitability and effectiveness to achieve complaints and appeals -handling objectives.
- ❖ The complaints and appeals -handling audit can be conducted as part of the quality management system audit.

7) Forms:

#	Name	Code
1.	Compliant and appeal form	F-23-01
2.	Response form	F-23-02
3.	Escalation form	F-23-03
4.	Compliant and appeal follow up form	F-23-04