



# COMPLAINT HANDLING AND APPEAL PROCEDURE

Process Description	Designation	Signature
Approved by	Managing Partner	
Issued & Controlled by	Chief Officer	
Prepared	Coordinator	

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## 1. Purpose

Rev Nunmber	Prepared Date / Prepared by	Checked by	Approved Date / Approved by
Rev No. : 1	25.05.2019 / R.Giridharan	V.Rajasekar	25.05.2019 / C.Sridhar 1   4



This documented procedure describes the consistent and systematic way of receiving, recording, handling and evaluating complaints and appeals concerning certification activities.

## 2. Scope

This documented procedure applies to all candidates, interested parties and all staff involved in certification activities.

## 3. Procedure / activities

Any person working in certification activities is obliged to receive, acknowledge and keep records of any client's expression of dissatisfaction given orally or written, per telephone, e-mail, fax, letter, etc.

Complaints should be documented and records should be kept as per the "Control of documented reference procedure". The administrative Assistant is responsible to keep track of any activity related to this procedure.

The documentation should include the following information as a minimum requirement: written justification of the dispute, complaint or appeal, the actions initiated and monitoring of the effectiveness of the process. The information is documented using the "Complaint Form and Appeal form" which can be downloaded from website.

Any dispute that is not solved by the audit team can be considered as a complaint or an appeal.

### 3.1 Procedure for Complaint Handling

**Complaint:** expression of dissatisfaction by any person or organization to the AIWTPL relating to its certification process.

After the complaint is received, acknowledged and the Director - Technical is to be informed. The Director – Technical should define a person or team independent from those who are subject of the complaint, to obtain and to evaluate all necessary information for assessing the validity of the complaint.

In order to assess the validity, following criteria should be taken into account:

- In case of a dispute, is the disagreement presented by a project participant
- Is the issue related to work for which the AIWTPL is responsible?
- In case of a complaint is the entity real and is a stakeholder related to the activity?

In case that the assessment shows a validity of the complaint the designated person or team is responsible to evaluate the nature and to investigate the motives of the disagreement and then shall propose actions to clarify the situation using the "Complaint Form".

The person or team informs the Director - Technical of the result and they decide if the actions are enough to avoid the re-occurrence of such kind of issues.



The Director - technical shall decide if the issue is considered to be a non-conformity. In such cases the “Corrective Action and preventive action procedure” is to be followed.

The correct implementation of the actions to be taken is reviewed by the designated team and reported to Director – Technical.

**Any substantiated complaint about the certified person shall be referred by AIWTPL to the certified person in question at appropriate time.**

The complainant is informed formally about the outcome of the investigation and the result.

During the complete process the complainant and the subject of the complaint are to be kept confidential.

### 3.2 Procedure for appeals

**Appeal:** request by clients for reconsideration of a decision made in AIWTPL certification service.

After an appeal is received and acknowledged by the Administrative Assistant and to be informed to

Director – Technical. Director - Technical is called upon to clarify the issue or settle it amicably in the interest of both parties. Should the complainant fail to agree to the solution, the Director – Technical will establish an appeal panel.

The panel shall be composed of:

- At least one person from the AIWTPL committee who was not involved in the activity, subject to the appeal;
- At least one person from the customer who was not involved in the project, subject of the appeal; and
- Any number of neutral third parties as agreed with the appellant (not mandatory).

The communication channel, activities plan and timeline of the appeal panel are to be defined for each appeal case. All necessary information for assessing the nature and validity of the appeal is to be presented from the AIWTPL and customer side.

The panel should investigate the motives of the appeal and decide on actions to be taken. If the result of the investigation is a non-compliance with the requirements, the “non-conformities procedure” shall be used.

The correct implementation of the actions to be taken is reviewed by the Director-Technical. The appellant is informed formally about the outcome of the investigation and the final decision of the appeal panel.

During the complete process the appellant and the subject of the appeal are to be kept confidential.

## 4. Documents and Records



SL. No	Document Description	Document No	Department	Retention Period
1	Appeal Letter	F/TM/05	Top Management	Five Years
2	Complaint Form	F/TM/06	Top Management	Five Years
3	Complaint and Appeal Register	F/TM/07	Top Management	Five years
4	Non Conformity Report	F/SYS/05	System	Five Years
5	Corrective & Preventive Action Report	F/SYS/08	System	Five Years

## 5. Revision History

Sl. No	Issue No	Rev No	Reason for Revision	Authorized by	Change Description
1	1	0	New Issue	Director	New Issue
1	2	1	Modification of Procedure as per preassessment	Director - Technical	Changed fully

## 6. Standard Reference

Sl. No	Standard	Year of Revision	Clause Reference	Description
1	ISO 17024	2012	9.8	Appeals Against Decisions on Certifications
2	ISO 17024	2012	9.9	Complaints