



Quality Section	Specialty Conformity Certification Services Quality Procedure	No.	QP/04
		Rev. No.	01
		Date	14-09-2022

The purpose of this procedure is to describe process followed to receive, evaluate, validate and make decisions on complaint received from the client and others.

## 2.0 Scope

2.1 This procedure covers all complaint received at organization by any means, like written, verbal etc.

## 3.0 Responsibility

3.1 **Management Representative** is responsible for receiving the complaint from the clients / other interested parties. He in consultation with the office staff, auditor and evaluators are responsible for handling, validating and analysis and make decision on complaint to the satisfaction of the clients / other interested parties

3.2 The overall responsibility to execute this procedure is given below.

Activity	Responsibility
Completion and submittal of incident report records for entry into the Corrective Action System	All <b>SCC</b> staff members
Incident investigation and analysis	Management Representative
Handling of complaint and submission to committee	
Review, analysis and make decision for closing	Management Representative / Managing Director

## 4.0 Description of activity

### 4.1 Evaluation Incidents


4.1.1 For the purposes of this document "Evaluation incidents" are defined as complaints, suggestions, observations and opportunities for improvement. Evaluation incidents data is entered into the Corrective Action System for proper treatment (QP/12). This procedure describes the methodology by which **SCC** collects and processes incident reports; and communicates the impact to staff members.

4.1.2 **SCC** recognizes that incidents occur in daily operation that collectively have an impact on the evaluation process. In order to properly analyze and address system, issues a consistent and thorough process for collection of information is vital.

### 4.2 Complaints

Complaints are incidents of grievance or dissatisfaction with **SCC** complaints may be:

- internal in nature – raised by a **SCC** staff member with regard to internal service, operations or employee performance
- external in nature–raised by **SCC** clients, suppliers or other affiliated organizations
- written

Prepared By	Approved By	Signature	Page
Quality Manger	Managing Director		2 of 6

Quality Section	Specialty Conformity Certification Services Quality Procedure	No.	QP/04
		Rev. No.	01
		Date	14-09-2022

- verbal
- complaints raised by client's or stake holders,

#### 4.3 Terminology used in this procedure for incidents

The incidents and complaints are considered as any of the below 4 things and procedure describes the system for handling the same.

##### 4.3.1 Suggestions

**SCC** recognizes that positive feedback is as important as negative. Suggestions are vital in identifying preventive action and system improvement. As with complaints, suggestions may be internal or external in nature, written or verbal.

##### 4.3.2 Observations

Observations are witnessed incidents of service / operational deficiency, malfunction and or failure. Observations are often made by individuals independent of the activity witnessed and therefore objective in nature. Observations also play important role in identification of preventive action and system improvement.

##### 4.3.3 Opportunities for Improvement

Opportunities for Improvement are incidents where the system has not failed, yet greater operational efficiency may be obtained in analyzing current practice. Opportunities for Improvement are often collected internally, but input from external sources is also beneficial.

#### 4.4 Receipt of Incidents

4.4.1 The incident may be reported by any means – verbal or written. In case of an external source, the incident report may be received by any staff member. The staff member shall fill the Incident report recording all the information and details of the complaint. The filled report is submitted to Management Representative for further action. In case of internal source, the incident report is filled by the staff member and submits to Management Representative.

4.4.2 Management Representative contacts (telephone, email, letter) the external source to acknowledge the receipt of information within 7 working days of receipt. He shall understand the issue in details from the source (to avoid any error in writing the report). He may decide to personally meet the initiator, depending on the gravity and seriousness of issue.

4.4.3 In case of Complaints and Observations, it may be against **SCC** (a system / procedure or a person) or a **SCC** certified company (client). In case of suggestion / opportunity for improvement, it is for **SCC** to study the suggestion and decide.

Prepared By	Approved By	Signature	Page
Quality Manger	Managing Director		3 of 6

Quality Section	Specialty Conformity Certification Services Quality Procedure	No.	QP/04
		Rev. No.	01
		Date	14-09-2022

4.4.4 All such incidents received by any means or by any one is first of all recorded in the Incident report with the details of;

- Complaint sr. no.,
- Mode of receipt,
- Received by,
- Name of client / other interested parties,
- Description of complaint,
- Reference of services against, which complaint is raised along with the reference, date and other details,

4.4.5 Client / other interested parties' complaint incident report are issued to the Management Representative for analysing the root cause.

4.4.6 Management Representative validates the complaint after checking necessary back-up records or personal interview of evaluators / staff members (who were involved in to job).

#### 4.5 Handling of Complaint and Observations

4.5.1 In case of a complaint / observation against **SCC**, Management Representative analyses the issue to determine if there is system error or person error. He shall determine the root cause and determine correction, corrective and preventive action. The possible complaints are –


- Administration – problems with appointments, certification files, certificates issued or issued late,
- Evaluators / subcontractor problems with incomplete evaluation or surveillance documentation
- Agents – problems with general compliance with **SCC** administration or evaluation procedures

4.5.2 The correction is effected immediately to satisfy the complainant. This may include training / counseling the person involved. The CAPA is discussed with management during next Management Review. Appropriate action is taken based on discussions (change in procedure / formats, training to all personnel etc.). An email is sent out to all staff detailing the issue and remedial action (for information). A copy of the complaint and investigation details is maintained in the respective individual's personnel file for reference at the performance appraisals.

4.5.3 In case it is found that the information provided in the complaint is inadequate for any follow-up and the complainant is not able to provide minimum required information; the complainant will be informed accordingly and no further action would be taken.

4.5.4 If the complaint appears to be valid, and the initial information provided is sufficient for initial investigation; the same shall be taken up for further action.

4.5.5 In case of a complaint / observation against a client, the Management Representative studies the complaint and discusses with the evaluators (last evaluation). If the complaint is

Prepared By	Approved By	Signature	Page
Quality Manger	Managing Director		4 of 6

Quality Section	Specialty Conformity Certification Services Quality Procedure	No.	QP/04
		Rev. No.	01
		Date	14-09-2022

found genuine and valid i.e. indicates a system failure, the complaint is sent to the client for a response. No confidential reports or information will be sent to complainants without written permission from the client. Adequate time is given to the client for response. If required, Management Representative follows-up with the client for the response. Depending on the response, Management Representative may decide to –

- Write to the complainant about the response and asks for his response.
- Ask further clarification from the client
- Depute evaluators to personally visit the client and investigate for system failure. Such visit is considered as special visit and charged to client.
- Request a joint meeting with client, complainant and **SCC**

4.5.6 The complain will be given unique number upon receipt and the log of complaint will be maintained by Management Representative.


4.5.7 Management Representative shall communicate with the complainant at the end of the process detailing the findings and to formally close the complaint. A copy of the correspondence is kept in the client file for records and the same is passed to evaluators during next evaluation. The details of all complaints and action taken (Correction, CAPA) are discussed in Management Review meeting.

#### 4.6 Handling of Suggestions / Opportunity for improvement

- In case of suggestion / opportunity for improvement, the source is predominantly internal and the concerned staff member fills the incident report and submits to Management Representative. The other source may be internal / external Evaluation.
- Management Representative studies the suggestion to determine any conflict with ISO/IEC 17065, **SCC** Policy. In case the suggestion is in conflict, the same is communicated to the initiator. However, the suggestion is also discussed in Management review. In case the suggestion is found not in conflict, the suggestion is studied for benefits and the impact on other processes.
- The suggestion is accepted if found beneficial and does not adversely impact any other process. Management Representative determines the changes in existing documentation and implements through Document Change process (QP/08).
- If any client or interested party asks for the complaint handling process, then it is forwarded to Management Representative. He will inform a client / any other interested party the complaint handling process of **SCC** if any complaints are received by clients / interested party

#### 4.7 Closing of complaint

4.7.1 Depending on the nature, the Management Representative may follow up with requests for corrective and preventive actions. When the investigation of client complaint determines that remote operation or other external organizations contributed to the complaint, the Certification Manager or his delegate contacts these organizations and provides them with all relevant information.

Prepared By	Approved By	Signature	Page
Quality Manger	Managing Director		5 of 6

Quality Section	Specialty Conformity Certification Services Quality Procedure	No.	QP/04
		Rev. No.	01
		Date	14-09-2022

- 4.7.2 Every client complaint is recorded. The records are maintained by the Management Representative. When there are copies of written communication, reports and other documents related to a complaint, these records are organized into a file and are identified with the complaint number and also having records of the corresponding corrective or preventive actions. The records of investigations that concern product quality or other test characteristics are maintained by Certification Manager. Based on analysis of Client / Other interested parties complaint, necessary actions are taken and client is replied for closing the complaint. Management Representative identifies need for taking corrective and preventive action to prevent such complaint in future and accordingly concerned person is informed.
- 4.7.3 Based on the data gathered through any of the above stated means, the Management Representative or Managing Director makes the final recommendations within 30 days after logging of complaint. Management Representative or Managing Director is the final authority for making a decision.
- 4.7.4 Approval of decision on complaint by Management Representative or Managing Director is considered as final and the complainant is informed accordingly. Management Representative or Managing Director also informs the Certification Manager and Certification Committee regarding the outcome of complaint.
- 4.7.5 Once the decision on complaint is made by Management Representative or Managing Director, no further complaint in this regard will be entertained.
- 4.7.6 No discriminatory action would be taken against the complainant irrespective of the decision.


## 5.0 References

- 5.1 QP/05 Procedure for appeal handling process  
 5.2 QP/08 Procedure for document and data control  
 5.3 QP/12 Procedure for corrective action  
 5.4 QP/13 Procedure for preventive action

## 6.0 Enclosures Nil

## 7.0 Formats / Exhibits

- 7.1 F/CSD/02 Complaint report  
 7.2 F/CSD/05 Incident report

Prepared By	Approved By	Signature	Page
Quality Manger	Managing Director		6 of 6