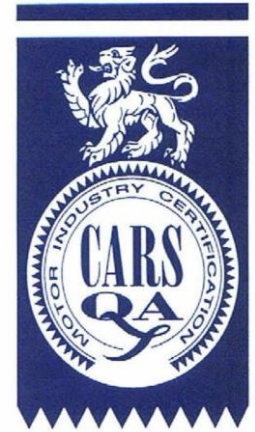


**CARSQA Section 1**  
**Quality System Procedures**  
**Appeals and Complaints**



| <b>Amendment Record Sheet</b> |                         |  |                       |                                    |
|-------------------------------|-------------------------|--|-----------------------|------------------------------------|
| <b>Revision Status</b>        | <b>Page(s) Affected</b> | <b>Details of Changes Made</b>   | <b>Date</b>           | <b>Review / Approval Signature</b> |
| Issue 1                       | All                     | Original issue of procedures   | 10.01.96              |                                    |
| Issue 2                       | All except 8 & 10       | Changes to reflect current practice  | 20.12.97              |                                    |
| Issue 3                       | All except 2,3,5 & 12   | Changes to reflect current practice  | 05.01.99              |                                    |
| Issue 4                       | All                     | Re-write – deleting Management Review and non conformances   | 01.05.05              |                                    |
| <b>Issue 5</b>                | <b>All</b>              | <b>Revised to reflect 17021 requirements</b>   | <b>August 08</b>      |                                    |
| Issue 6                       | All                     | Root cause and systemic corrective action added to section 2.<br>Reviewed in line with 17021: 2011, 17020: 2012, 45011       | December 2011         | KP                                 |
| Issue 7                       | All                     | Root cause and systemic corrective action added to section 2.<br>Reviewed in line with 17021: 2011, 17020: 2012, 17065: 2012 | October 2014          | KP                                 |
| Issue 8                       | All                     | Reviewed procedures in line with 17021: 2015.<br>No amendments identified.   | Reviewed October 2018 | KP - MD                            |
|                               |                         |  |                       |                                    |

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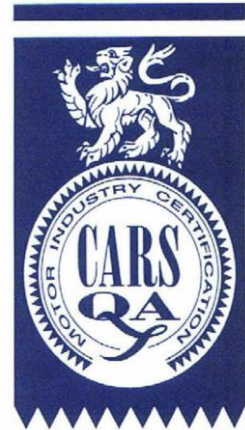
## **CARSQA Section 1**

### **Quality System Procedures**

### **Appeals and Complaints**

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1. Introduction
2. Complaints
3. Appeals



#### **1. Introduction:**

This procedure defines how appeals against any certification decision, by CARSQA clients and complaints from customers, suppliers or third parties are handled.

This procedure is available, upon request, to any member of the public reasonably requiring it.

CARSQA will preserve the confidentiality of all information received in respect of complaints and appeals.

CARSQA will consider any expression of grievance, discontent or disagreement from an applicant, certified client or related party as a complaint. Such incidents may relate to the services or products of CARSQA or one of their certified clients.

#### **2. Complaints:**

Complaints may be received from customers, suppliers or third parties about CARSQA or a CARSQA certificated client and will be recorded and tracked on form doc. 033. All complaints will be acknowledged and the complainant will receive regular progress reports including notification of the end of the complaints handling process.

All customer complaints, whether received verbally or in writing, are recorded by the member of CARSQA staff receiving the complaint. No member of staff investigating a complaint will have been previously involved in the subject of the complaint.

The record will detail:

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- the member of CARSQA staff receiving the complaint
- the person making the complaint
- the date of receipt
- how the complaint was received ( verbally by telephone or during a visit or in writing)
- who the complaint is aimed at (CARSQA or a CARSQA certificated client) and
- details of the complaint
- personnel responsible for investigating
- review of root cause
- systemic corrective action where required

Where the complaint is being received from a third party about a CARSQA certificated client, the person making the complaint must be informed that the problem is being recorded and will be thoroughly investigated. Third parties will not normally be informed of the outcome of an investigation as this may breach our client's confidentiality. The member of CARSQA staff reviewing the complaint will also review records and consider the effectiveness of the certified system.

Complaints about CARSQA certificated clients will be referred to the client and will usually be investigated during the next scheduled surveillance visit. Where the severity of the type, or level of complaints, indicates a breakdown in the client's quality system, then a special visit may be authorised. A copy of the certificated client's own investigation report may also be requested where required. The assessor will investigate all of the appropriate documentation records and procedures and interview appropriate staff in order to satisfy whether there is a problem with the client's quality system.

Where significant problems are found, then the assessor may recommend that the certificate be suspended or withdrawn which will be handled in accordance with CARSQA standard procedures.

Any complaint received against the service provided by CARSQA, will be investigated by the Chief Executive. If this poses a conflict of interest, then the investigation will be by the Certification Manager or other impartial representative.

The handling and resolution will be recorded along with the original record of the complaint.

If the complaint is from a client who eventually does not accept the proposed resolution, then the client will be reminded of his right of appeal.

Any corrective action required as a result of a complaint will be documented and presented to the CARSQA Governing Board.

### **3. Client Appeals:**

Appeals may be made against any decision, or recommendation, made by the staff of CARSQA, whether it is as a result of an assessment, surveillance visit, complaint etc. Where the appeal is received verbally, then the client is requested to confirm their appeal in writing. All appeals will be recorded and tracked on form doc. 068. All appeals will be acknowledged and the appellant will

receive regular progress reports and the outcome together with formal notice of the end of the appeals handling process.

All details relating to the appeal shall be passed to the Chief Executive or Certification Manager (who is independent from the recommendation or decision against which the appeal has been lodged) for investigation. The Chief Executive or Certification Manager will detail the outcome of the investigation and any remedial action required. During the review the results of any previous similar appeals will be taken into account.

Any corrective action required as a result of an appeal will be documented and presented to the CARSQA Governing Board.

The client will be made aware of the person handling the appeal at all stages and may wish to formally present their case to the person(s) handling the appeal.

Should the appellant not accept the findings of the Chief Executive or Nominated representative and wish to escalate the appeal, this shall then be passed to the Chairman of the Governing Board. The Chairman shall then appoint one or more independent members from the Governing Board to investigate the appeal, or alternatively, the appeal shall be heard at the next convening of the Governing Board. Where the client objects to a member of the Governing Board handling the appeal, then the appeal shall be heard by another member of the Governing Board. The client may also request to formally present their case to the members handling the appeal.

Upon completion of the investigation by the Governing Board, a letter shall then be sent to the appellant, notifying them of the decision regarding their appeal. A decision reached by the Governing Board is final.

The CARSQA Chief Executive will consider authorising special internal audits should he deem it necessary following the review of any specific complaint or appeal.