

APPROVAL SHEET

Procedure Complaint and Appeal Management

PT. TÜV NORD Indonesia
PMLF - TNI – 009 Rev.05

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REVISION SHEET

No.	Part No.	Revision Note	Revision No.	Revision Date
1.	6.0	Adding mechanism "claim against liability"	04	09 July 2015
2.	6.0	Adding mechanism for appeal	05	07 September 2015
3	6.3	Time of Complaint and Appeal Process	06	23 December 2015

Table of Contents

1.0	Purpose
2.0	Scope
3.0	Terms
4.0	Responsibilities
5.0	Reference
6.0	Mechanism for Complaint & Appeal
6.1	Mechanism for Complaint
6.2	Mechanism for Appeal
6.3	Time of Complaint and Appeal Process
6.4	Documentation
7.0	Form

1.0 Purpose

The purpose of complaint and appeal management is the correct and orderly processing of complaints and appeals. This procedure details the mechanism for resolving complaints and grievances relating to the performance of accredited certification bodies.

The aims of complaint and appeal management are:

- Restoration of customer satisfaction
- Prevention of negative effects on customer satisfaction such as loss of sales and image
- Support and optimisation of the processes for continual improvement

2.0 Scope

This Procedure applies for all employees of TÜV Nord Indonesia .

The mask for recording complaints on the server can be used by each TÜV Nord employee with the corresponding TÜV Nord account.

Complaints regarding procedures are also handled using the complaint management system. This department then registers the complaints in the system for further processing as described below.

Internal complaints regarding complaints about employees of TÜV Nord Indonesia are not processed with this system. Evaluation of data regarding internal complaints about employees will no longer be carried out with the system after 1 year.

And complaints and grievances concerning certified organizations that is open to any interested party

3.0 Terms

Complaint regarding TUV NORD

A customer declares his dissatisfaction in writing or by word of mouth with regard to the type of service offered by TUV NORD of the way in which the service is or was performed.

Complaint regarding customer

A third person (e.g. supplier, accreditation body, customer etc.) declares his dissatisfaction with the management system, the product or the service of a customer of TUV NORD (e.g. use of the certificate)

Appeal

A customer declares in writing or by word of mouth that he is not satisfied with the result of the service (e.g. Scope of Certification)

Legal implications

Consequences for the company in civil and criminal law cannot be excluded

Effect on the public

Media interest cannot be excluded

Confidential content

Complaint regarding a person such as for example their behaviour as regards the customer or the quality of his service from the point of view of expertise

Confidentiality can also be extended to the person making the complaint

Internal order

Complaint regarding internal processes of TUV Nord

Complaints and grievances concerning certified organizations that is open to any interested party

4.0 Responsibilities

4.1 Company Board of Director

The company management is responsible for:

- Creation of the rules regarding complaints and appeal management
- Implementation and maintenance of the complaints and appeal management
- Contact and information flow to relevant persons and bodies (executive board, the public, the customer)

4.2 QM Manager

QM Manager is responsible for:

- Introduction, control and further development of complaint and appeal management in TUV Nord.
- Support in the processing of complaints and appeals in individual cases and at the request of the company management
- Analysis of the complaints procedures and of appeals for weaknesses and potentials for improvement
- Initiation of corrective actions and improvements
- Checking for fulfilment of the rules and regulations regarding complaints and appeal management, among others with regard to internal audits
- Information and co-ordination in cases of major complaints and appeals including legally-relevant aspects or aspects which may influence the public with the relevant bodies within TÜV Nord
- Informing the top management regularly with regard to the complaints situation and handling
- Drafting of an annual status report
- Complaints and appeal controlling

4.3 Departmental heads and group leaders

The departmental heads and group leaders are responsible for:

- Proper processing of complaints and appeals
- Contact and information flow to the customer
- Other employees can be involved in the processing of complaints and appeals.

4.4 Employees

All employees undertake to:

- Receive complaints and appeals and to enter them into the forms.
- Identify internal nonconformities independently and to pass these on to the group leader responsible in order to avoid complaints and appeals.

- To cooperate in the processing of complaints and appeals, when these are delegated to them.
- Indicate what steps were taken to resolve the issue prior to lodging the complaint

4.5 Appeal Committee

Consist of one or more persons, who are competent for the material of complaint or appeal, managerial personnel capacity or not involved in the certification process . Where necessary, Appeal committee may invite the interested parties in related certification. Appeal committee shall review all submitted documentation to ascertain whether the appeal is justified.

5.0 Reference

- 5.1 MM-TNI-001 Quality Manual
- 5.2 ISO/IEC 17021 Part 1:2015, Conformity assessment – Requirements for bodies providing audit and certification of management system
- 5.3 ISO 9000 : 2015; Quality Management Systems – Fundamentals and Vocabulary

6.0 Mechanism for Complaint and Appeal

6.1 Mechanism For Complaint

A complaint or grievance can be made either through the certification body's mechanism for complaints.

All employees can receive complaints information and enter them into the forms. In order to be eligible for consideration, the complaint must:

- Be in writing and signed by the complainant, or their delegated representative (could be internal employee);
- Specify the grounds on which the complaint is made, relating to a specific requirement of the verification certification systems;
- Be accompanied by relevant documented evidence;

The receiver then inform those information to Head of responsible unit and QMM.

The head of responsible units verify to indicate whether complaint is valid or not. If the complaint is valid then make a proper processing to that complaint or that appeal, investigate take the correction and corrective action and forward them to QMM.

QM Manager responsible to support in the processing of complaints, and with the responsible unit initiate of corrective actions and improvements and decide the action to be taken and ensure the action.

Head of responsible units and or QMM communicate the progress of complaint with the complainant, if necessary, and formal report/information the results of complaint handling or appeal to the complainant.

Complaint regarding certification under Dakks accreditation has to be refer to document "CERT-120-VA-012_e Complaint and appeal management". Complaint then is recorded in <https://extranet.tuev-nord.de/sites> under Hyperlinks Entry of Compliants/Appeals. The way to record the complaint refer to document "CERT-120-VA-012_Hinweise_MA_e Notes for recording complaints".

Complaint regarding Liability has to be refer to valid Liability Insurance document, including Subject matter insured and coverage.

Any claims against liability at law for damages and claimant's costs and expenses in respect of

- a) Accidental Injury to persons
- b) Accidental Damage to tangible property

Upon the happening of any event which may give rise to a claim, TUV Nord Indonesia ie. Finance shall forthwith written notice to the Insurance Company with full particulars. Claims correspondence shall be maintained by finance with directional of TUV Nord Indonesia Management. The next process following to procedure of Insurance Company. PT. TUV Nord Indonesia shall give any assistance as the Insurance Company may require.

6.2 ***Mechanism for Appeal***

If there is a party that cannot accept the decision made by Certification Body in completion of complaints and/or dispute, then that party can submitted appeal.

All employess can receive appeal information and enter them into the forms. In order to be eligible for consideration, the appeal must:

- Be in writing and signed by the appellant, or their delegated representative (could be internal employee);
- Specify the grounds on which the appeal is made, relating to a specific requirement of the certification systems;
- Be accompanied by relevant documented evidence;

The receiver then inform those information to Head of responsible unit and QMM. QMM form the appeal committee to resolve the appeal. Appeal committee shall:

- Independent
- Have the ability to conduct an assessment of the information submitted related with that complaints or appeals.
- Understanding related that system certification
- Able to cooperate
- Has high integrity and upholding objectivity in the process of resolving a complaint or appeal.

Appeal committee will review all submitted documents to decide the appeal. Appeal committee when necessary may invite the interested parties related with the system certification. Handling process of complaints or appeals including at least the elements as follows below:

- An outline of the process for receiving, validating and investigating and for deciding what actions are to be taken in response to it and then taking into account the results of previous similar appeals
- Trecking and recording appeals, including actions undertaken in response to them
- Ensure that any appropriate correction and corrective action are taken.

Progress report and the outcome shall be informed to the receipt of appeal and appellant. After receiving the decision of Appeal Committee, QMM immediately complete the record of the appeal and take a written notification to auditee or appellant regarding the decision of complaint or appeal.

Dispute of appeals can be arising If both parties (TUV Nord Indonesia and client) could not reach agreement related to the cause of appeals, and agree to resolved it through the third party, such as Arbitrary Body or Court of Justice. Appeal Committee or QMM is responsible for completion of these matters through the third party. All expenses occurred from resolution through the third party will be proportionally paid by each party.

6.3 Time of Complaint and Appeal Process

To Do	PIC	Date
Acknowledgement of receipt of a complaint / an appeal	Each employee	T0
Record complaint into the forms	Fist employee to recognise receipt of complaint (complaint reporter)	T0+1 working day
Analysis of complaint and involvement of participating employees	Fist employee to recognise receipt of complaint (complaint reporter)	T0+1 working day, max. 14 working day
processing of complaints and appeals	Fist employee to recognise receipt of complaint (complaint reporter), QMR	T0+1 working day, max. 28 working day
Communication with customer/complainant and any other locations involved with regard to correction	Fist employee to recognise receipt of complaint (complaint reporter),	Immediately after processing
Completion of complaints procedure, closure of complaint	Fist employee to recognise receipt of complaint (complaint reporter)	Immediately after processing
Annual evaluation and analysis for the Management Review, showing causes of complaints (MR)	QMR	Annually at the time of the MR

6.4 Documentation

- Documentation of complaints and appeals
- Corrective actions and improvements

7.0 Forms

7.1 FMLF-TNI-013 External Customer Complaint/Appeal

7.2 FMLF-TNI-026 Tindakan Perbaikan dan Pencegahan