

Document Type:  
**PROCEDURE**

Document Title:

# COMPLAINT AND APPEAL MANAGEMENT



## 1. Purpose

The purpose of complaint and appeal management at TUV NORD is the correct and orderly processing of complaints and appeals lodged by third parties.

The objective of complaint and appeal management is:

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

## 2. Area of Application

This Procedure applies for all employees of TUV NORD.

The mask for recording complaints on the server can be used by each TUV NORD employee with the corresponding TUV 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 TUV NORD 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. Terms / Definitions

The following **terms/definitions** apply for this Procedure:

Complaints regarding TUV NORD

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

Third party complaints

A third party (e.g. supplier, private person etc.) declares dissatisfaction in writing or by word of mouth with regard to the management system, the product or the services of a client of TUV NORD (e.g. use of the certificate) or an approval body / identifies an infringement of a standard (e.g. in relation to database entries).

Appeal

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

Legal implications

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

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Effect on the public

Media interest cannot be excluded.

Confidential content

Complaint regarding a person, such as for example, behaviour as regards to the customer or the quality of service from the point of view of specialist knowledge.

Confidentiality can also be extended to the person making the complaint.

Internal event

Complaints regarding internal processes of TUV NORD or the behaviour of employees inside the company.

Complaint

In this documented procedure, "complaint / appeal" is taken to be a synonym for "complaint".

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

## 4. Responsibilities

### 4.1. Company Management

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. QMR

The Quality Management Representative is responsible for:

- Introduction, control, management and further development of complaint and appeal management in TUV NORD.
- Support in the handling of complaints and appeals in individual cases and when required by the company management.
- Analysis of the complaints and appeals with regards to weaknesses within TUV NORD and potentials for improvement
- Initiation of corrective actions and improvements.
- Checks to ensure that the rules of complaint and appeal management are followed, including during internal audits.
- Verification of complaint and appeal cases abroad during internal audits .
- Information and coordination in cases of major complaints and appeals including legally-relevant aspects or aspects which may influence the public with the relevant bodies within TUV NORD.
- Informing the top management regularly with regard to the complaints situation and handling
- Drafting of an annual status report
- Complaints and appeal controlling

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## **4.3. Employees**

All employees undertake:

- To receive complaints and appeals and inform the top management.
- 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

## **4.4. 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, the Appeal committee may invite the interested parties in related certification. The appeal committee shall review all submitted documentation to ascertain whether the appeal is justified.

## **5. Reference**

### **5.1. 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. 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 inform the top management. 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 informs the 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 initiates of corrective actions and improvements and decide the action to be taken and ensure the action.

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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 Liability has to be referred 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 (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 Management. The next process following to procedure of Insurance Company. TUV NORD shall give any assistance as the Insurance Company may require.

## 6.2. Mechanism of 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 submit an appeal.

All employees can receive appeal information and inform the top management. 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 informs that 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 to those 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.

The appeal committee will review all submitted documents to decide the appeal. Appeal committee, when necessary, may invite the interested parties related to 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.
- Tracking 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 the Appeal Committee, QMM immediately completes the record of the

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appeal and take a written notification to auditee or appellant regarding the decision of complaint or appeal.

Dispute of appeals can arise If both parties (TUV NORD 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. The appeal Committee or QMM is responsible for completion of these matters through the third party. All expenses incurred 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	Time Zero (T0)
Information to top management	First employee to recognize receipt of complaint (complaint reporter)	T0 + 1 working day
Analysis of complaint and involvement of participating employees	First employee to recognize receipt of complaint (complaint reporter)	T0+1 working day, max. 14 working day
Processing of complaints and appeals	First employee to recognize 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	First employee to recognize receipt of complaint (complaint reporter), QMR	Immediately after processing
Completion of complaints procedure, closure of complaint	First employee to recognize 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

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#### 6.4. Documentation

- Documentation of complaints and appeals
- Corrective actions and improvements

#### 7. Forms

External Customer Complaint/Appeal

#### REVISION HISTORY

Effectivity Date	Rev. No.	Description of Change	Prepared By	Reviewed By	Approved by
04.04.2017	00	Initial Issue	J. Pambid	J. Magat	J. Magat
	01	Change of logo	N. Ordiales	J. Pambid	J. Magat

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