

<b>Safety Skills Training DMCC</b> <b>Quality Procedure</b>	No.	QP07
	Revision No.	0
	Date	1 Nov 2016
<b>Procedure For Complaint and appeal</b>		

**1.0 Purpose**

The purpose of this procedure is to describe handling of incidents, complaints and appeals received from the Candidate / Certified Person, in house and from Other Parties.

**2.0 Scope**

This procedure covers all complaints and appeals received from Individuals by any means, like written, verbal, e-mail etc. It also includes adverse findings during examination.

**3.0 Responsibility**

**3.1 The Management Representative** is responsible for receiving complaints and appeals from Candidates / Certified Persons / Other Parties. They, in consultation with the Office Staff and Examiners / Invigilators are responsible for handling, validating and analysis of the complaint or appeal to it's logical conclusion.

**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>Safety Skills Training DMCC</b> Staff Members
Incident investigation and analysis	Management Representative
Handling of Appeals and Submission to Appeal Sub-Committee (for appeals)	Managing Director
Appeal review, analysis and decision	Appeal Sub-Committee

**4.0 Description of activity**

**4.1 Examination Incidents**

**4.1.1** For the purposes of this document "examination incidents" are defined as complaints, suggestions, observations and opportunities for improvement. Examination incident data is entered into the corrective action system for proper treatment (QP04). This procedure describes the methodology by which **Safety Skills Training DMCC** collects and processes incident reports; and communicates the impact to Staff Members.

**4.1.2** **Safety Skills Training DMCC** recognizes that incidents occur in daily operation that collectively have an impact on the examination 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 **Safety Skills Training DMCC**. Complaints may be:

- internal in nature – raised by a **Safety Skills Training DMCC** Staff Member with regard to internal service, operations or Employee performance
- external in nature–raised by **Safety Skills Training DMCC** Candidate / Certified Persons, Suppliers or other affiliated organizations

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- written
- verbal

#### 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

**Safety Skills Training DMCC** 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 Appeals

**Safety Skills Training DMCC** recognizes that the Candidate / Certified Person may have some reservations or may not agree with the conduct of Examiners / Invigilators, Examination findings, Certification Committee decision and / or overall interaction with **Safety Skills Training DMCC** Staff. Candidate / Certified Person is free to communicate the same to **Safety Skills Training DMCC** Appeal Sub-Committee and this is treated as an appeal from the Candidate / Certified Person.

##### 4.3.3 Observations

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

##### 4.3.4 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 out, recording all the information and details of the complaint. The filled report shall be submitted to the Management Representative for further action. In case it comes from an internal source, the incident report shall be filled out by the Staff Member and submitted to the Management Representative.

4.4.2 The Management Representative shall contact (telephone, email, letter) the external source to acknowledge the receipt of information within 5 working days of receipt. They shall understand the issue in details from the source (to avoid any error in writing the report). They 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 **Safety Skills Training DMCC** (a system / procedure or a person) or a **Safety Skills Training DMCC** Certified Person

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(Candidate / Certified Person). In case of suggestion / opportunity for improvement, it is for **Safety Skills Training DMCC** to study the suggestion and decide.

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 and appeal no.,
- Mode of receipt,
- Received by,
- Name of Candidate / Certified Person / Other Parties,
- Description of complaint and appeal,
- Reference of services against, which complaint and appeal is raised along with the reference date and other details,

4.4.5 Candidate / Certified Person / Other Parties' complaint and appeal incident report are issued to the Management Representative for analysis of the root cause.

4.4.6 The Management Representative validates the complaint after checking necessary back-up records or personal interview of Examiners / Invigilators / Staff Members (who were involved on the job).

#### 4.5 Handling of Candidate / Certified Person Complaints and Observations

4.5.1 In case of a complaint / observation against **Safety Skills Training DMCC**, the Management Representative analyses the issue to determine if there is system error or person error. They 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,
- Examiners / Invigilators / Sub-Contractors problems with incomplete examination or surveillance documentation
- Agents – problems with general compliance with **Safety Skills Training DMCC** administration or Examination 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. 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 of a complaint / observation against a Candidate / Certified Person, the Management Representative studies the complaint and discusses with the Examiners / Invigilators from the person's last examination. If the complaint is found genuine and valid i.e. indicates a system failure, the complaint is sent to the Candidate / Certified Person for a response. No confidential reports or information will be sent to Complainants without written permission from the Candidate / Certified Person. Adequate time is given to the Candidate / Certified Person for response. If required, the Management Representative follows up for a response. Depending on the response, the Management Representative may decide to –

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- Write to the Complainant about the response and asks for his response.
- Ask further clarification from the Candidate / Certified Person
- Assign an Examiners / Invigilators to personally visit the Candidate / Certified Person and investigate for system failure. Such visit shall be considered as special visit and charged to Candidate / Certified Person.
- Request a joint meeting with Candidate / Certified Person, Complainant and **Safety Skills Training DMCC**

4.5.4 The 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 Candidate / Certified Person file for records and the same is passed to Examiners / Invigilators during next examination. The details of all complaints and action taken (Correction, CAPA) are discussed in Management Review and IC meeting.

#### 4.6 Handling of Appeals

Any Candidate or Certified Person, who fails to satisfy an examination or surveillance, may appeal against the decision. Where an appeal is received the following procedure will be followed.

4.6.1 The Managing Director will appoint the members of the Appeals Committee under their leadership who will hear the appeal and determine the outcome. In case. If the Managing Director is part of the Examination / Certification Team, they shall appoint the Investigating Officer for the appeals process. In such a scenario, the Managing Director shall approach the Impartiality Committee and / or **Safety Skills Training DMCC** team to provide decision on the appeal. The decision on the appeal shall be taken based on the decision by **Safety Skills Training DMCC** Committee and the Impartiality Committee. Results of the appeal will be reported to the Board of Directors.

- All appeals shall be received by the Director of Operations and details of appeals shall be recorded in the appeals register maintained by the Director of Operations.
- The Director of Operations shall investigate the appeal made and inform the Candidate / Certified Person about its plan of action for investigation and action there upon.
- An investigation report (Incident Report) for each individual appeal shall be maintained by the Director of Operations. In case, any further corrective action is required post actions identified and taken based on Incident report – Corrective action procedure QP04 is implemented.
- A copy of the investigation report shall be sent to the Candidate / Certified Person.
- In case of any further ambiguity, the same shall be reviewed by the Board of Directors and appropriate decision arrived at.
- In case the issue still remains open; the same shall be intimated to the Accreditation Board for its valuable comments.
- All appeals made are collated and analyzed on a yearly basis.
- Necessary corrective and preventive actions shall be taken based on the appeal trend.
- Appeal trends and corrective and preventive action taken shall also be reviewed as part of the Management Committee meeting and the Impartiality Committee meeting.
- The Director of Operations shall ensure that details with respect to the Appellant and actions there upon is not shared with the Examination Team Members.
- The Director of Operations shall ensure that no discriminatory or retaliatory action is

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taken against the Appellant.

- The Candidate / Certified Person is made aware of the appeals process and is available to him on request.

4.6.2 In case of an appeal made by a Candidate / Certified Person against a decision made by Examiners / Invigilators, Lead Examiners / Invigilators or Certification Committee, the appeal shall be recorded by the Management Representative and forwarded to Appeal Sub-Committee. Appeal Sub-Committee shall review the appeal, investigate (which may include discussion with concerned Candidate / Certified Person, respective Examiners / Invigilators / Lead Examiners / Invigilators and review of examination report). Appeal Sub-Committee may also direct any other Lead Examiners / Invigilators to visit the site and determine the validity of the appeal. The decision taken by Appeal Sub-Committee shall be communicated to the Candidate / Certified Person and to the Management Representative for necessary action. The case is also discussed during the next management review meeting and Impartiality Committee meeting. In special cases, the case may be discussed with Impartiality Committee members on one-to-one basis.

#### 4.7 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 the Management Representative. The other source may be internal / external examination.
- The Management Representative studies the suggestion to determine any conflict with ISO/IEC 17024, **Safety Skills Training DMCC** 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. The Management Representative determines the changes in existing documentation and implements through document change process (QP01).

4.8 If any Candidate / Certified Person or Interested Party asks for the appeal / complaint handling process, then it is forwarded to the Management Representative. They will inform the Candidate / Certified Person / any other Interested Party of the appeals and complaint handling process of **Safety Skills Training DMCC**.

#### 4.9 Closing of complaint and appeal

4.8.1 Depending on the nature of the non-conformity, the Management Representative / Director of Operations may follow up with requests for corrective and preventive actions. When the investigation of the Candidate / Certified Person's complaint or appeal determines that remote operation or other external organizations contributed to the complaint and appeal, the Director of Operations or their delegate contacts these organizations and provides them with all relevant information.

4.8.2 Every Candidate / Certified Person's complaint or appeal is recorded. The records are maintained by the Management Representative / Director of Operations. When there are copies of written communication, reports and other documents related to a complaint and appeal, these records are organized into a file and are identified with the complaint and appeal number and also having records of the corresponding corrective or preventive actions. The records of investigations that concern product quality or other test

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characteristics are maintained by the Director of Operations. Based on analysis of the Candidate / Certified Person / Other Parties' complaint and appeal, necessary actions are taken and Candidate / Certified Person is replied to for the closing of the complaint or appeal. The Management Representative identifies the need for taking corrective and preventive action to prevent such complaint or appeal in future and accordingly Concerned Person is informed.

4.8.3 All the complaints and appeals received by the organization will be closed within 7 working days after receipt of the complaint or appeal. The Director of Operations is authorised to close all complaints and appeals.

**5.0 References**

- 5.1 QP01 Procedure for control of documents
- 5.2 QP04 Procedure for corrective and Preventive action

**6.0 Enclosures Nil**

**7.0 Formats / Exhibits**

- 7.1 F20 Incident Report
- 7.2 F21 Incident log

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