



Appeal & Complaint Procedure
[IVS/PCS/AC, Rev 2]

Bureau Veritas International Doha – IVS Department

- ISO/IEC 17024:2012

July 01, 2020

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1.0 Purpose

The purpose of this procedure is to describe handling of incident, complaint and appeals received from the applicant, candidate and certified person, internal and from other interested parties.

2.0 Scope

This procedure covers all incidents, 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 **Technical Manager** is responsible for acknowledging the complaint and appeal received from the applicant, candidate and certified persons and other interested parties. An independent panel comprising of IVS Business Line Manager and Technical Manager is responsible for prompt handling, validating and analysis of the complaint and appeal to the satisfaction of the applicant, candidate, certified persons and other interested parties. If the complaint and appeal is against the decision involving IVS Business Line Manager and Technical Manager, the Appeals Panel will comprise of any other Business Line Manager, Local TQR Representative and an Examiner who is not involved in the certification decision under review. At the sole discretion of local TRQ representative, consultation may be also be sought from the Regional TQR Director / IC.

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 BV Group tool (QESIS)	Technical Manager
Appeal and complaint investigation, analysis and submittal of report to Panel	Technical Manager or Independent panel
Appeal and complaint review and decision	Appeals and Complaint Panel

4.0 Description of activity

4.1 Examination Incidents

“Examination incidents” are defined as complaints, observations and opportunities for improvement. Examination incident data is entered into the BV Group tool (QESIS) in accordance with BV Group procedure. This procedure describes the methodology by which **Bureau Veritas International Doha LLC** collects and processes incident reports; and communicates the impact/actions to the concerned staff members.

4.2 Complaints

Complaints are incidents of grievance or dissatisfaction with **Bureau Veritas International Doha LLC**. Complaints may be:

- a) internal in nature – raised by a **Bureau Veritas International Doha LLC** staff member with regards to internal process, operations or employee performance

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- b) external in nature—raised by **Bureau Veritas International Doha LLC** applicant/candidate / certified persons, suppliers or other stake holders and affiliated organizations.

Complaints can be received in any form as mentioned below:

- a) Written
- b) Verbal

4.3 Appeals

Bureau Veritas International Doha LLC recognizes that the applicant/ candidate / certified person may have some reservations or may not agree with decisions taken by Bureau Veritas International Doha LLC at any stage in Certification Process. Applicant/ Candidate / Certified person is free to communicate the same to Bureau Veritas International Doha LLC Appeal Panel

4.4 Observations

Observations are witnessed incidents of service / operational deficiency 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.

4.5 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.

4.3 Receipt of Incidents

4.4.1 Incidents may be against **Bureau Veritas International Doha LLC** (a system / procedure or a person) or a **Bureau Veritas International Doha LLC** certified person. In case of opportunity for improvement, it is for **Bureau Veritas International Doha LLC** to study the suggestion and decide

4.4.2 The incident may be reported by any means – verbal or written. The Technical Manager shall record the incident in QESIS tool.

4.4.3 Technical Manager shall contact the complainants / appellant to acknowledge the receipt of information within 5 working days of receipt. He may decide to personally meet the initiator, depending on the gravity and seriousness of issue.

4.4.4 Technical Manager performs the root cause analysis. If the Incident is against the decision involving IVS Business Line Manager and Technical Manager, the Appeals Panel will comprise of any other Business Line Manager, Local TQR Representative and an Examiner who is not involved in the certification decision under review. At the sole discretion of local TRQ representative, consultation may be also be sought from the Regional TQR Director.

4.4.5 Technical Manager/Independent examiner validates the complaint after checking necessary back-up records or personal interview of examiners / invigilators / staff members (who were involved in to job).

4.4 Handling of Candidate / certified person Complaint and Observations

4.4.1 In case of a complaint / observation against **Bureau Veritas International Doha LLC**, Technical Manager/Independent Examiner (as defined in section 3.2) analyses the issue

to determine root cause, correction, corrective action and preventive action. The possible complaints may be in the following areas:

- a) Administration – problems with application, scheduling, certification files, certificates issued or issued late,
- b) Assessment process – Problem with Examiners / invigilators / subcontractor assigned.

4.4.2 The complaint is related to BVIL personnel, correction is effected immediately to satisfy the complainant. This may include training / counselling 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.

4.4.3 In case of a complaint / observation against a candidate / certified person, the Technical Manager/Independent Examiner studies the complaint and discusses with the examiners / invigilators (involved in 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. 10 working days are given to the candidate / certified person for response. If required, Technical Manager follows up with the candidate / certified person for the response. Depending on the response, Technical Manager may decide to –

- a) Ask further clarification from the candidate / certified person
- b) Depute an examiners / invigilators to personally visit the candidate / certified person and investigate for system failure.
- c) Request a joint meeting with candidate / certified person, complainant and Bureau Veritas International Doha LLC. Write to the complainant about the response and asks for his response.

4.4.4 Technical Manager 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. All the complaint received by BVIL will be closed within 30 working days after receipt of the complaint.

4.5 Handling of Appeals

Any applicant, candidate or certified person, who fails to satisfy the certification scheme requirements may appeal against the decision. Where an appeal is received the following procedure will be followed.

4.5.1 Appeal panel as defined in section 3.1 will hear the appeal and determine the outcome. Results of the appeal will be reported to IVS Business Line Manager / Technical Manager.

- a) All appeals shall be acknowledged by the Technical Manager to the appellant.
- b) All appeals shall be recorded by the Technical Manager in QESIS tool.
- c) Appeal panel shall investigate the appeal made and inform the candidate / certified person about its plan of action for investigation and action there upon.
- d) An investigation report (Incident Report) for each individual appeal shall be

- maintained by the Technical Manager in QESIS tool.
- e) A copy of the investigation report shall be sent to the candidate / certified person.
 - f) All appeals made are collated and analysed on a yearly basis.
 - g) Necessary corrective actions shall be taken based on the appeal trend.
 - h) Appeal trends and corrective action taken shall also be reviewed as part of the Management committee meeting and Impartiality committee meeting.
 - i) Technical Manager shall ensure that details with respect to the appellant and actions there upon is not shared with the Examination team members.
 - j) Technical Manager shall ensure that no discriminatory action is taken against the appellant.
 - k) The candidate / certified person can access BVIL appeals process which is available publically (website).

Technical Manager shall communicate with the appellant at the end of the process detailing the findings and to formally close the appeal. A copy of the correspondence is kept in the candidate / certified person file for records. The details of all appeals and action taken (Correction, CAPA) are discussed in Management Review and IC meeting. All the appeal received by BVIL will be closed within 60 working days after receipt of the complaint.

4.6 Handling of Opportunity for improvement

Opportunity for improvement is reported to Technical Manager / IVS Business Line Manager for their consideration and appropriate action.

References: Industry & Facilities – Appeal Process Procedure

Document validation and history

Validation

	Prepared	Reviewed	Approved
Name	Anil V John	Abraham Vedhamuthu	Hossam Refaey
Function	IVS Technical Manager	IVS BL Manager	Country Chief Executive
Date	July 01, 2020	July 01, 2020	July 01, 2020
Signature			

History

Revision	Date	Pages changed	Comments	Proposal	Verification	Approval
2	July 01, 2020	6	Responsible person under revision history revised	IVS Technical Manager	IVS BL Manager	Country Chief Executive
1	December 01, 2018	Page 5	Typo error eliminated under section 4.5	IVS Technical Manager	IVS BL Manager	Country Chief Executive
0	October 07, 2018	Not Applicable	Initial preparation	IVS Technical Manager	IVS BL Manager	Country Chief Executive