 مركز نظام الأعمال للتدريب business system training center	Document No. BSTC-CA-SP-04	Original Issue: 12.12.2022	Rev. 00	Rev. Date:
	Procedure for Complaint and Appeals			

1. PURPOSE

- 1.1** For the purposes of this document “Quality System Incidents” are defined as complaints, suggestions, observations and opportunities for improvement.
- 1.2** Quality System Incident data is entered into the Corrective Action System for proper treatment. This procedure describes the methodology by which BSTC collects and processes incident reports and communicates the impact to staff members.
- 1.3** BSTC recognizes that incidents occur in daily operation that collectively have an impact on the Management System. In order to properly analyze and address system issues a consistent and thorough process for collection of information is vital.

2. SCOPE

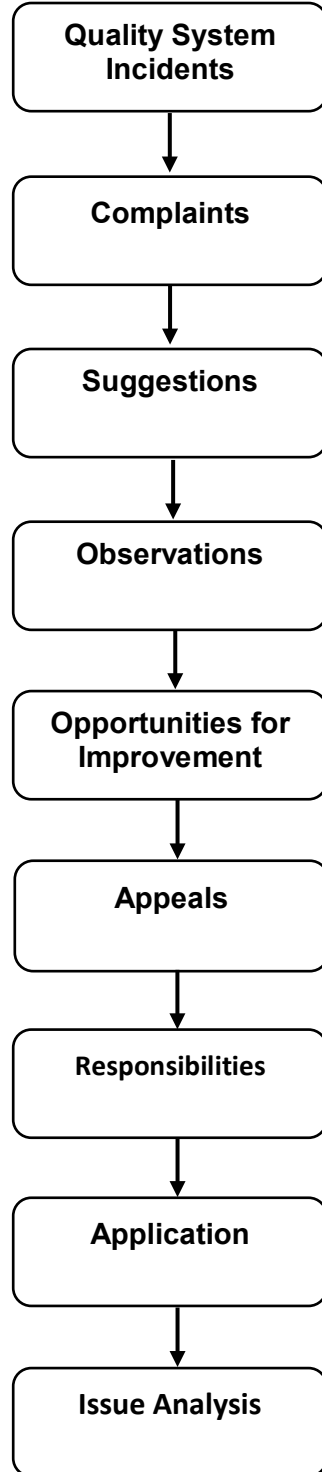
- 2.1** This document is applicable to customer complaints and appeals to monitor their perception about BUSINESS SYSTEM TRAINING CENTER services.


3. RESPONSIBILITY

Activity	Responsibility
Completion and submittal of incident report records for entry into the Corrective Action System	All BSTC staff members
Incident investigation and analysis	Management
Submission to Appeal subcommittee (for appeals)	Management
Appeal review, analysis and decision	Management / Impartiality committee

4. PROCESS

PROCESS FLOW CHART
COMPLAINTS AND APPEALS



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4.1 Quality System Incidents


- 4.4.1 For the purposes of this document “Quality System Incidents” are defined as complaints, suggestions, observations and opportunities for improvement.
- 4.4.2 Quality System Incident data is entered into the Corrective Action System for proper treatment. This procedure describes the methodology by which BSTC collects and processes incident reports ; and communicates the impact to staff members.
- 4.4.3 BSTC recognizes that incidents occur in daily operation that collectively have an impact on the Management System. In order to properly analyze and address system issues a consistent and thorough process for collection of information is vital.

4.2 Complaints

- 4.2.1 BSTC will be responsible for all decisions at all levels of compliant handling process. BSTC will not initiate any discriminatory action against the complainant.
- 4.2.2 Complaints are incidents of grievance or dissatisfaction with BSTC service. Complaints may be:
- internal in nature - raised by a BSTC staff member with regard to internal service, operations or employee performance
 - external in nature- raised by BSTC clients, suppliers or other affiliated organizations
 - complaints raised by certified client’s customers / stake holders or other interested parties. In such cases the certified client will be contacted by BSTC at an appropriate time.
 - written
 - verbal
- 4.2.3 Compliants received will be recorded in the incident report for further actions and responses. This will also be used to receive, evaluate and make decisions on complaints.
- 4.2.4 BSTC will acknowledge the receipt of the compliant to the complainant and will also provide the progress report and the results of the compliant.
- 4.2.5 BSTC will be responsible for gathering and verifying all the necessary information and if required make a visit to the client premises to validate the compliant.
- 4.2.6 Complaints once received and recorded in the incident report will be handled as per the process outlined in the procedure for corrective and preventive actions.
- 4.2.7 Decision regarding communication to the complainant shall be made by or reviewed and approved by personnel not previously involved in the subject of the compliant.
- 4.2.8 Once all the formalites for closure of the complaint are completed the decision of the end of the compliant handling process will be informed to the complainant.
- 4.2.9 BSTC shall determine together with the certified and client and the complainant whether and if so to what extent the subject of the complaint and its resolution will be made public.

4.3 Suggestions

- 4.3.1 BSTC recognizes that positive feedback is as important as negative. Suggestions are vital in identifying

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preventive action and system improvement. As with complaints, suggestions may be internal or external in nature, written or verbal.

4.4 Observations


4.4.1 Observations are witnessed incidents of service/operational deficiency, malfunction and 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

4.5.1 Opportunites for Improvement are incidents where the system has not failed, yet greater operational efficiency may be obtained in analyzing current practice. Opportunites for Improvement are often collected internally, but input from external sources is also beneficial.

4.6 Appeals

- 4.6.1 Any company or organisation who fails to satisfy an audit or surveillance may appeal against the decision. Client can also appeal when they have reservations regarding conduct of auditor, auditor impartiality / confidentiality, audit findings, certification committee decision and / or overall interaction with BSTC staff. Where an appeal is received the following procedure will be followed.
- 4.6.2 BSTC will be responsible for all decisions at all levels of appeals handling process. BSTC will ensure that the persons engaged in the appeals – handling process are different from those who carried out the audits and made the certification decision.
- 4.6.3 BSTC will not initiate any discriminatory action against the appellent.
- 4.6.4 Appeals received will be handled as per the following process:
- 4.6.5 The CEO as applicable will appoint the members of the appeals committee and whose competency will be determined at time of appointment under the leadership of CEO who will hear the appeal and determine the outcome. In case, CEO is part of the audit/ certification team, MD shall decide the investigating officer for the appeals process. In such a scenario MO shall approach Impartiality Committee to provide their inputs on the appeal. The decision on the appeal shall be taken based on the inputs by impartiality committee.
- All appeals shall be received by the Management and details of appeals shall be recorded in the Appeals Register maintained by the Management. Receipt of appeal will be acknowledged
 - Management shall investigate the appeal made and inform the client about its plan of action for investigation and action there upon.
 - An investigation report for each individual appeal shall be maintained by the Management. In case, any further corrective action is required post actions identified and taken based on Incident report.
 - A copy of the investigation report shall be sent to the client.
 - In case of any further ambiguity, the same shall be reviewed by the higher management and


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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 shall be collated and analyzed on a yearly basis also reviewed by impartiality committee.
- 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 Impartiality committee meeting.
- Progress reports and out comes will be provided to the appellant
- Management shall ensure that details with respect to the appellant and actions there upon is not shared with the audit team members or any individual involved in the subject of the appeal.
- Formal notice will be given to the appellant of the end of the appeals –handling process
- The client is made aware of the appeals process and the same is publically available.


4.7 Application

- 4.7.1 The quality 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 recording all the information and details of the complaint. The filled report shall be submitted to Learning and Certification Manager for further action. In case of internal source, the incident report shall be filled by the staff member and submit to Learning and Certification Manager.
- 4.7.2 Learning and Certification Manager shall contact (telephone, email, letter) the external source to acknowledge the receipt of information within 5 working days of receipt. He shall understand the issue in details from the source (to avoid any error in writing the report). He may decide to personally meet the initiator, depending on the gravity and seriousness of issue.
- 4.7.3 In case of Complaints and Observations, it may be against BSTC (a system / procedure or a person) or an BSTC certified companies (client). In case of suggestion / opportunity for improvement, it is for BSTC to study the suggestion and decide.
- 4.7.4 In case of a complaint / observation against BSTC, Learning and Certification Manager analyses the issue to determine if there is system error or person error. He 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,
 - Auditor/subcontractor problems with incomplete audit or surveillance documentation
 - Agents - problems with general compliance with BSTC administration or audit procedures
- 4.7.5 The correction is affected immediately to satisfy the complainant. This may include training / counselling the person involved. The CAPA is discussed with other Managers 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).

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A copy of the complaint and investigation details is maintained in the respective individual's personnel file for reference at the performance appraisals.

- 4.7.6 In case of a complaint / observation against a certified client, the Learning and Certification Manager studies the complaint and discusses with the auditor (last audit). If the complaint is found genuine and valid i.e. indicates a system failure, the complaint is sent to the client for a response. No confidential reports or information will be sent to complainants without written permission from the client. Adequate time is given to the client for response. If required, Learning and Certification Manager follows up with the client for the response. Depending on the response, Learning and Certification Manager may decide to:
- Write to the complainant about the response and asks for his response.
 - Ask further clarification from the client
 - Depute an auditor to personally visit the client and investigate for system failure. Such visit shall be considered as special visit and charged to client.
 - Request a joint meeting with client, complainant and BSTC
- 4.7.7 Learning and Certification 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 client file for records and the same is passed to auditor during next audit. The details of all complaints and action taken (Correction, CAPA) are discussed in Management Review and IC meeting.
- 4.7.8 Manager (Operations) shall communicate with the client and the complainant whether to detail the complaint and its resolution on BSTC Website and if agreed by the client and complainant the extent to which it can be detailed will also be agreed. Depending on the input from the client and the complainant the complaint and its resolution shall be displayed on the BSTC Website. This display will be for a period of three months.
- 4.7.9 In case of suggestion / opportunity for improvement, the source is predominantly internal and the concerned staff member fills the incident report (F070) and submits to Learning and Certification Manager. The other source may be internal / external audit.
- 4.7.10 Learning and Certification Manager studies the suggestion to determine any conflict with ISO 17021, BSTC Global 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.
- 4.7.11 The suggestion is accepted if found beneficial and does not adversely impact any other process. Learning and Certification Manager determines the changes in existing documentation and implements through Document Change process.
- 4.7.12 In case of an appeal made by a client against a decision made by auditor, Lead auditor or certification committee, the appeal shall be recorded by Learning and Certification Manager and forwarded to Appeal Subcommittee. Appeal subcommittee shall review the appeal, investigate (which may include

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discussion with concerned client, respective auditor / lead auditor and review of audit report). Appeal subcommittee may also direct any other lead auditor to visit the site and determine the validity of the appeal. The decision taken by Appeal subcommittee shall be communicated to the client and to Learning and Certification Manager for necessary action. The case shall also be discussed during the next MRM and Impartiality Committee meeting. In special cases, the case may be discussed with Impartiality Committee members on one-to-one basis.

- 4.7.13 Manager Operations will inform a certified client /any other interested party the appeals and complaint handling process of BSTC Pakistan if any complaints / appeals are received by certified clients / interested party. This is also publically available on BSTC website.

Prepared by: Certification Manager	Reviewed by: Managing Director	Approved by: CEO
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