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## COMPLAINTS & APPEALS SUPPLEMENT

### 1.0 Purpose

The purpose of this procedure supplement is to add the additional requirements as per ISO /IEC 17020:2012 and ISO /IEC 17024:2012 to the Integrated Management System (IMS).

### 2.0 Scope

This supplement applies to all offices seeking accreditation to the ISO/IEC 17020:2012 and ISO /IEC 17024:2012 standard.

If local requirements necessitate deviation from this document, a country level supplement shall be established that cross references this procedure and the necessary amendments to processes. This shall duly be reviewed and approved as per the Control of Documented Information procedure (L2-PRC-001).

Such local requirements may include: a) legislation/regulation or b) mandated requirement by the local accreditation body.

### 3.0 Definitions

**Appeal:** request by applicant (3.13), candidate (3.14) or certified person for reconsideration of any decision made by the certification body related to her/his desired certification status.

The Operations Manager is the individual responsible for ensuring operational activities are undertaken as required in line with compliance obligations. They may also be referred to as "Head of Department" within some offices.

### 4.0 Procedure Supplement

**Note:** In the case of any conflicts of requirements, this supplement shall take precedence over the IMS procedure.

### 5.0 Customer Complaints

All complaints (as defined in section 3.0) received by an Applus+ Energy & Industry office shall be entered into the NCR Register (L5-FMT-028) on the Intranet with the applicable categorisation of a "Customer Complaint" in the manner defined in the Non-conforming Service & Corrective Action procedure (L2-PRC-004).

Details including the client/complainant name and a brief summary of the complaint shall be entered and an appropriate selection from the "Complaint Type" dropdown field must be selected. Any pertinent communications between the Applus+ Energy & Industry office and customer shall be collated into one electronic file and added as an attachment to the complaint log entry and maintained in the client/project file (if appropriate).

Once the Customer Complaint has been identified, this non-conformity shall be raised, registered and actioned as defined in the Non-conforming Service & Corrective Action procedure (L2-PRC-004) including root cause analysis, close out and effectiveness verification.

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All customer complaints must be acknowledged within 24 hours with a confirmation that the complaint is being investigated.

The client shall be advised and updated by the CM/CMR or Department Head of the corrective action taken by the Applus+ Energy & Industry office to address the cause of the complaint and prevent its reoccurrence. Upon confirmation from the customer that the corrective action is satisfactory and closure of the non-conformance, the complaint can be marked as closed on the NCR Register (L5-FMT-028).

The Group QA Manager shall carry out periodic reviews of the NCR Register (L5-FMT-028) and ensure that all complaints are closed out and the necessary action taken within the estimated time scale. In cases where the complaints are not closed within the targeted dates, new dates will be fixed with sufficient justification which shall be recorded in the NCR and NCR Register (L5-FMT-028).

All the complaints for the period should be reviewed and analysed during both the local full system internal audits and the annual IMS Management Review meeting (as defined in the Internal Audit & Management Review procedure – L2-PRC-003) to assess any trends in complaints and any changes that are required to be implemented.

Operation	● Responsibility ◆ Authorisation					Record / Reference
	Quality Manager	Auditor	Certification Scheme Manager	Operation Manager	Other	
<b>1.0 Complaints</b>						
1.1 Any complaints or appeals made against the activities of the Quality Manager shall be handled by the Operation or Certification Scheme Manager, if Operation Manager is unavailable, thus ensuring that complaints are handled free from any prejudice or risk to impartiality.			◆	◆●		L5-FMT-027
1.2 Gathering and verifying all necessary information to validate the complaint			◆	◆●		L5-FMT-027
<b>2.0 Appeals</b>						
2.1 Appeals received in writing shall be maintained on the client folder and recorded in the Appeals register.	◆●					L5-FMT-191
2.2 The appeal shall be acknowledged in writing within 7 days of receipt.  If requested, regular updates/progress reports shall be provided to the appellant.	◆●					
2.3 Upon receipt of an appeal, the Quality Manager and the Country Manager shall be notified. The Quality manager and the Country manager shall arrange for a meeting to inviting personnel associated with the appeal. The staffs involved in resolving the appeal shall be selected based on the following criteria: <ul style="list-style-type: none"> <li>▪ Impartial to the decision making process to which the appellant is appealing against,</li> <li>▪ Knowledgeable of the ISO/IEC 17020:2012 and ISO /IEC 17024:2012 standard and its</li> </ul>					◆●	L2-PRC-008

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<p>requirements,</p> <ul style="list-style-type: none"> <li>▪ For technical personnel, a firm understanding of the type of equipment and relevant codes and standards to which the appeal relates,</li> <li>▪ A contract (full time, part time or contract) established within the Applus+ group of companies that includes confidentiality and impartiality clauses as per L2-PRC-008.</li> </ul>						
2.4 The evidence and details of the appeal compiled by the relevant Applus+ entity will be reviewed and assessed for validity by the Quality Manager and Country Manager.					◆●	
2.5 Details of the assessment, decision and any actions (including dates) will be recorded in the Minutes of the Appeals Meeting.					◆●	Appeal MOM
2.6 Copies of all the documentation shall be retained.	◆●					
2.7 The Quality manager and Country Manager will make a decision based on the final report and no further appeals will be allowed.	◆●					
2.8 The appellant shall be informed in writing the results of the appeal, with any resultant actions detailed.  If no further actions are required by Applus+, the letter shall provide formal notice of closure to the appeal.	◆●			◆		
2.9 If the appeal is upheld, any action required of Applus+ shall be completed in a timely manner.  Upon completion of required activities, a formal notice of closure to the appeal shall be sent to the client with details of completed activities.	◆●			◆		
2.10 The appeals process including investigation and decision shall not result in any discriminatory action.						
<b>3.0 Terms and Conditions</b>						
1.1 Details of the complaints and appeals process shall be referenced in the terms and conditions document.  The terms and conditions document shall be available to any interested party upon request.						L5-FMT-201
1.2 Copies of the Customer Complaints, Satisfaction & Feedback procedure(s) (including Appeals) shall be made available to complainant if requested.	◆●			◆		L2-PRC-005 L2-PRC-005a

### 6.0 Communication

All complaints and appeals associated with the service provided shall be addressed to [UAE@applusvelosi.com](mailto:UAE@applusvelosi.com)

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### 7.0 Documents

L2-PRC-005

Customer Complaints, Satisfaction & Feedback

### 8.0 Records

S/I	Record No.	Name of Record	Retention Period
1	L5-FMT-191	Appeals Register	Until next update
2	L5-FMT-201	Terms and Conditions	6 Years
3	L5-FMT-023	Minutes of Appeal Meeting	6 Years

### 9.0 Revision History

Rev.	Date	Section	Outline of Change	Authorization
0	04-Jul-13	All	First Issue	M. Coles
1	04-Nov-13	4.0 – S/N 1.11, 2.2	Clarification of complaints against Quality Manager & availability of complaints procedures.	M. Coles
2	10-Oct-17	2.3	Rebranded to Applus+. Track changes removed for legibility.	Sajid Mahammad
3	11-Nov-2018	5.0 6.0	Included information on complain handling process and additional row (1.2) in the table for the responsibilities  Identified the contact details in case of complains and appeals	Andrew Cunningham