



**Procedure for
Compliant & Appeal Process**

Ref. No. SQC-P-09

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Standard Operating procedure	SOP No. SQC-P-09		
Department: Operation	Effective date: 29.07.2022		
Title: Procedure for Compliant and Appeal	Formats No: SQC/SOP/F/01		
	Issue No.	01	Rev 00
	Page No.: 2 of 3		

Contents

1. Purpose	3
2. Scope	3
3. Responsibility	3
4. Procedure for Appeals	3
5. Procedure for Complaint	5
5.1. Taking complaints	5
5.2. Consideration of complaints related to the activities of the SQC Certification	5
5.3. Consideration of complaints related to the activities of an entity certified by SQC Certification.	5
6. Complaints Related to SQC Certification Activities	7

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Quality Manager	Accreditation Manager	Director



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	Issue No.	01	Rev 00
	Page No.: 3 of 3		

1. Purpose

To put in place a system for handling of appeal & complaints.

2. Scope

Covers all appeals & complaints related to services provided by SQC Certification.

3. Responsibility

Director, SQC Certification is responsible for the implementation of the procedure.

4. Procedure for Appeals

- a. The decision resolving the appeal shall be made by or reviewed and approved by persons not involved in the certification activities related to the appeal.
- b. To avoid conflict of interest personal including in the administration who has provided consultancy further the client or been employed by the client shall not be used by SQC Certification to review or approve the resolution of the appeal for that client within two years following the end of the consultancy or employment.
- c. They are accepted only in a written form (letter, e-mail), submitted within 14 days from the delivery of the decision.
- d. Appeals should be considered within 30 days from the date of receipt of the appeal.
- e. All appeals addressed to SQC Certification are verified by the SQC Manager in formal terms.
- f. In the case of formal deficiencies, the customer is informed in writing. Meeting the formal requirements results in registration in the Register of Appeals and Complaints. Acceptance of the appeal is confirmed in writing to the person lodging the appeal by the Manager of SQC Certification.
- g. Appeals are considered by the Committee for the Protection of Impartiality, after they are submitted by the Quality Manager to the Chairman of the Committee, together with the documents and procedures necessary to consider the appeal.
- h. The appeals team is appointed by the Chairman from among the members of the Committee who were not involved in any way in the case being the subject of the appeal. The team may include an auditor competent in the technical area or the in relevant management system, not involved in the case in any way.
- i. After getting acquainted with the content of the appeal together with all documents related to the case being the subject of the appeal, the team appropriately determines the legitimacy of such an appeal and forwards the case for further processing by the NC, or dismisses the appeal as unfounded.
- j. The decision of the team is communicated by the Chairman of the Committee, the Client lodging the appeal and the Manager of SQC Certification.
- k. The notification letter, in the case of dismissal of the appeal, contains substantive justification and an instruction that the client may appeal to the court competent for the registered office of SQC Certification.
- l. In the event of incurring additional costs in connection with the consideration and settlement of the appeal, SQC Certification concludes a separate agreement with the client, which specifies the conditions for incurring additional costs.

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	Issue No.	01	Rev 00
	Page No.: 5 of 3		

5. Procedure for Complaint

5.1. Taking complaints

- a. Complaints from customers and other interested parties must be made in writing. In the case of an oral complaint, the Customer is informed of the need to submit it in a formalized manner.
- b. The complaint is verified by the SQC Manager in terms of whether it concerns certification for which SQC Certification is responsible. The customer is informed in writing if the complaint is accepted or rejected at this stage.

5.2. Consideration of complaints related to the activities of the SQC Certification

- a. On the basis of the analysis of records related to the subject of the complaint, explanatory proceedings are carried out in order to assess the legitimacy of the complaint.
- b. The manager of SQC Certification may, at this stage, request explanations from persons involved in the subject of the complaint. The manager of SQC Certification, after examining the complaint, states its legitimacy and agrees with the client how to settle the complaint, or dismisses the complaint as unfounded, notifying the complainant in writing.
- c. The complaint is considered within 14 days of its submission, or if its clarification requires a longer period of time, the client is provided with information on further proceedings.
- d. A complaint regarding activities in which the SQC Manager was involved is considered by the Chairman of the Committee for the Protection of Impartiality.

5.3. Consideration of complaints related to the activities of an entity certified by SQC Certification.

Based on:

analysis of records from the certification process related to the subject of the complaint,
information obtained from the Client to whom the complaint relates, SQC Manager

SQC Certification conducts explanatory proceedings aimed at assessing the legitimacy of the complaint.

If an explanatory visit to the client's site is required to consider the complaint, the date of the visits is set, and then on-site clarifications are made to assess the effectiveness of the management system of the organization to which the complaint relates.

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The Quality manager informs the complainant and the certified client concerned in writing about his decision and actions taken in response to the complaint.

The decision made by the Quality Manager may result in:

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	Issue No.	01	Rev 00
	Page No.: 6 of 3		

launching an additional audit of the Client's management system and taking corrective and/or corrective actions,
suspension or withdrawal of the certificate.

The Quality manager shall determine with the complainant and the customer concerned whether the subject of the complaint and its resolution are to be made public, and if so, to what extent.

In the event that the Quality Manager was involved in the last audit at the client to whom the complaint relates, the complaint is considered by the Chairman of the Committee for the Protection of Impartiality.

The complaint is acknowledged to the complainant and in case if complaint is related to the SQC Certification activities, the progress reports shall be provided from time to time as per the process documented below.

To avoid conflict of interest personal including in the administration who has provided consultancy further the client or been employed by the client shall not be used by SQC Certification to review or approve the resolution of the complaint for that client within two years following the end of the consultancy or employment.

All complaint to be resolved within '6' months from the date preferred by the interested party.

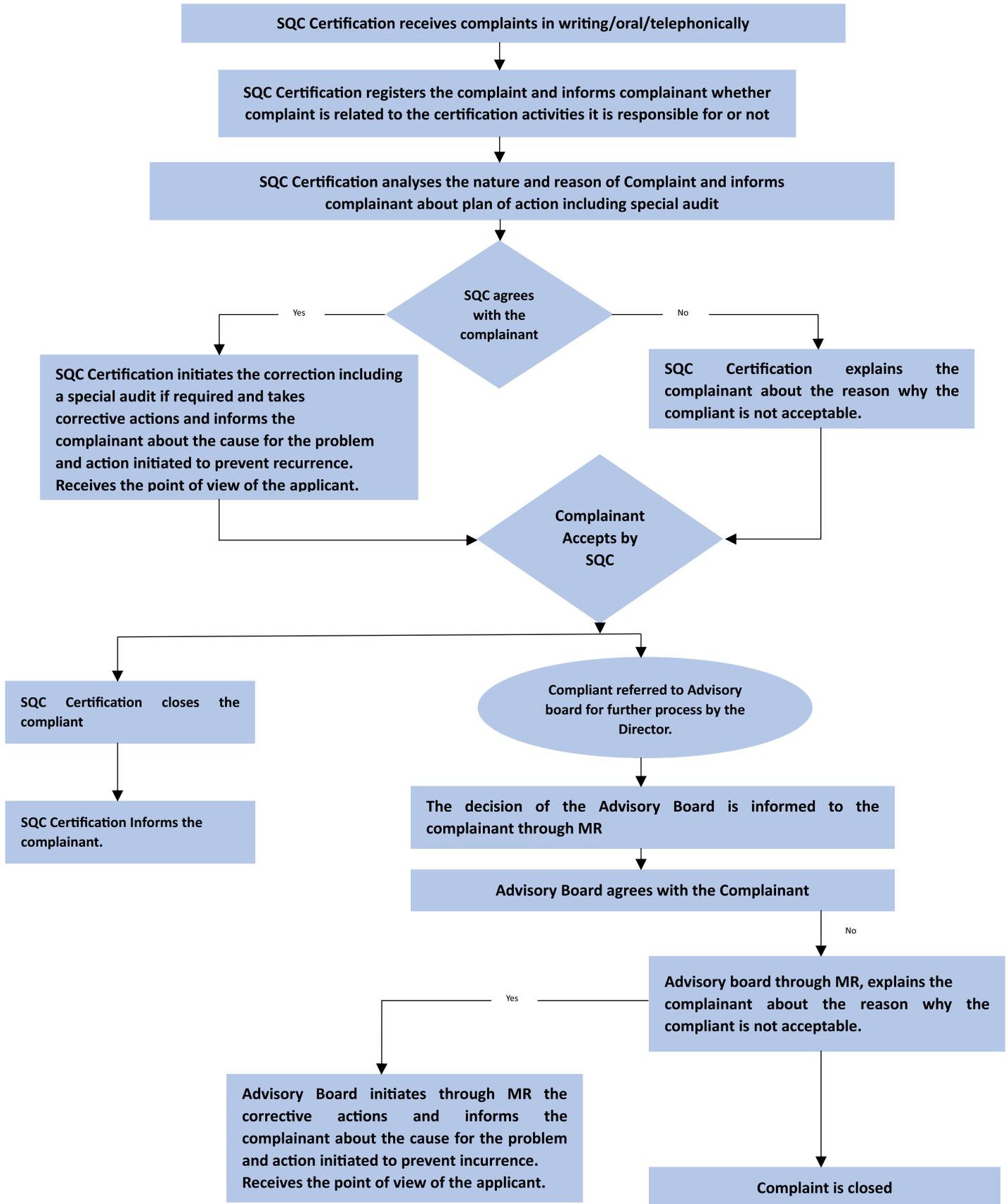
All complaints to be resolved within '6' months from the date of initiation.

Records: ***Complaint and Appeal register***

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6. Complaints Related to SQC Certification Activities



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