

OTABU CERTIFICATION PVT. LTD.
MANAGEMENT SYSTEM PROCEDURE

Title : Complaint & Appeal

Procedure : OTABU-MSP-04

Issue No.01 Date: 21.04.2015

Rev.02, 20.10.2024

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1. PURPOSE:

This procedure establishes the system for handling complaints, appeals associated with the certification system.

2. SCOPE:

This procedure is applicable to complaints and appeals

3. REFERENCES:

OTABU -MSMManagement System Manual

OTABU -MSP-05 Corrective & Preventive Action

ISO/IEC 17029:2019 under Clause 9.9 for Appeal & 9.10 for Complaint

4. RESPONSIBILITY:

QM is responsible for executing this procedure and monitoring by MD.

5. DESCRIPTION

5.1. COMPLAINTS

5.1.1 Complaint is an expression of dissatisfaction, other than appeal, by any person or organization, to OTABU relating to its activities where a response is expected.

5.1.2 Complaint can be made by any person or organization against the following

1. OTABU function and / or procedure.
2. The auditor, expert, Certification Committee or staff of OTABU.
3. Process of auditing by the auditor
4. Misuse of certification status either in the scope or in the logo.

5.1.3 The complaint must be made in writing to OTABU with complete details of the complainant (Name, Address, Organisation, etc.) and description of the problem. QM will acknowledge the complaint within ten days (excluding postal time) with a brief detail on the approach and approximate time required for addressing the complaint. Complaint shall be received by QM. The maximum time for resolving will be 60 days. Actions on the complaints will be taken by DTO after the review of the complaint by QM.

5.1.4 If the complaint has no details of the complainant or the description is not adequate, OTABU shall reserve the right of detailing the complaint as deemed unfit.

5.1.5 On receipt of the complaint OTABU will examine whether the complaint relates to its certification activity. If OTABU is responsible for the complaint, then it shall register in the complaint register (**OTABU-F037**) and shall deal with it. Depending on the nature of the complaint a Time frame will be decided between OTABU and the complainant. This will be recorded in the complaint register

5.1.6 QM shall arrange a detailed investigation. An independent review team not previously involved in the subject of the complaint is assigned to conduct the investigation. The investigation shall include the

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following:

- 1) Identify the cause of the problem and record corrective actions.
- 2) Review of pertinent data.
- 3) Interviews with audit team members, as appropriate.
- 4) Interviews with client's personnel, as appropriate.

5.1.7 The investigation team will report its findings to QM along with its recommendation for the disposal of the complaint.

5.1.8 OTABU shall provide the outcome of the investigation done on the complaint and ensures the complainant's satisfaction on the closing of the complaint.

5.1.9 If a complainant is dissatisfied with the outcome of OTABU complaints handling process, the complainant may refer the complaint to OTABU or Accreditation Board. Complaints that are not closed out within a timeframe documented and agreed with the complainant shall be escalated to OTABU top management to ensure that the complaint receives the appropriate priority. Complaints that are not closed out within 3 months of that agreed timeframe shall be brought to the attention.

5.1.10 In general, the correction and corrective action shall be taken according to OTABU -MSP-05.

5.1.11 Investigation and resolution of complaints will not result in any discriminatory actions

5.1.12 QM will follow each complaint to conclusion and initiate possible preventive actions if any. Effectiveness of such actions would be assessed and reported in the Management review meetings.

5.1.13 The process for handling complaints will include at least the following:

- a. A description of the process for receiving, substantiating, investigating the complaint, and deciding what actions are to be taken in response
- b. Tracking and recording the complaint, including the actions undertaken to resolve it
- c. Ensuring appropriate action is taken

5.1.14 Complaints represent a potential incident and an indication of possible nonconformity. **(9.8.2 of ISO 27006-1:2024)**

5.2 APPEAL

5.2.1 Appeal is a request by a client for reconsidering of any adverse decision made by OTABU related to its desired certification status

5.2.2 Appeal can be filled by any person or organisation on the following reasons:

- 1) Refusal to accept an application.
- 2) Delay in audit plan implementation
- 3) Response on corrective action requests.
- 4) Non-response to change of certification scope

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- 5) Decisions to deny, suspend or withdraw certification.
- 6) Any other action that impede the issue of certification.
- 7) Non-acceptance of auditor's findings

5.2.3 Any person or organisation can file an appeal against the decision of the OTABU to the Chairman Impartiality Committee through QM. The appeal must be filed in writing within 15 days of the decision of the OTABU along with all the necessary documents in support of the appeal.

5.2.4 QM verifies the documents for completeness and may ask for additional documentary support if necessary. Once documents are complete, the QM acknowledges the receipt of the appeal, and then it shall be registered in the appeal register (**OTABU-F036**). It shall be forwarded to the Chairman of Impartiality Committee. The Chairman has the right to either disallow the appeal or to form an Appeal Panel based on the merit of the contents of appeal. Appeals will receive an acknowledgment of receipt immediately and the first level investigation shall be completed within a maximum of 30 days from initial receipt.

5.2.5 The appeal panel is headed by one of the impartiality committee member nominated by the Chairman. The nominated head of the Appeal Panel is allowed to take two members out of the auditors, staff of OTABU and is also allowed to invite other outside members as necessary to discharge the appeal. It would be ensured that the members had not been involved in the subject matter of the appeal. The appellant will be informed about the appeal panel constitution and the appellant is given chance to accept the panel members. Appellant will be provided a chance to put his case to the appeal panel if necessary.

5.2.6 The head may ask the appellant to present the facts in person to the Appeal Panel if necessary or if so desired by the appellant.

5.2.7 The Appeal Panel may ask any of the staff, auditors, and group for the facts to help in discharging the appeal based on facts.

5.2.8 The Appeal Panel gives its recommendation to the Chairman Impartiality for necessary action to discharge the appeal to the satisfaction of the appellant. The Chairman will give the decision on the appeal based on the recommendation by the Appeal Panel. The decision of the Chairman Impartiality Committee in this regard will be final.

5.2.9 In general, the correction and corrective action shall be taken according to OTABU -MSP-05.

5.2.10 The progress of investigation and the outcome shall be informed to the appellant to the extent required. A formal notice of the completion of the appeal handling process shall be sent to the appellant.

5.2.11 During the appeal process it is ensured that the submission, investigation and decision on appeals shall not result in any discriminatory actions against the appellant.

5.2.12 QM will follow each appeal to conclusion and initiate possible preventive actions if any. Effectiveness of such actions would be assessed and reported in the Management review meetings.

Records:

Appeal Register OTABU-F036

Complaint Register OTABU-F037

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