

COMPLAINTS & APPEALS - ICMED

Document #: WI211-2-ICMED

Release Date: 18 April 2016

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Document Owner: PM - ICMED

Approver: Director – Technical

In appropriate Use of Logo / Certificates

In case of non-compliances are identified to specified requirements with respect to use of ICMED certification certificates, certification mark, misuse, including false claims as to certification and false use of Intertek logo, a non compliance shall be raised to the client. The same shall be recorded in complaints log and necessary actions (including penal actions as relevant) will be taken.

In case if an applicant is found misusing the certification mark, prior to grant of certification, appropriate action shall be taken against the client after formally informing them the next course of action.

Complaints and Appeals

- A documented procedure for handling of complaints and appeals is available.
- The procedure for complaint handling shall include complaints from all stake holders, especially its certified organization as well as customers of its certified organizations.
- The procedure for receipt and handling of complaints is available to public on the website and shall also be easily accessible on the website.
- Upon receipt of a complaint or appeal, the certification body shall confirm whether the complaint or appeal relates to certification activities for which it is responsible and, if so, shall address it. Intertek shall acknowledge receipt of a formal complaint or appeal.
- Intertek shall be responsible for gathering and verifying all necessary information (as far as possible) to progress the complaint or appeal to a decision.
- The procedure shall include the process steps for receiving and recording, evaluating and establishing validity of the same, investigating and make decisions on complaints and appeals. The process step shall also include the activities of root cause analysis, correction and corrective actions.
- If the complaint relates to a certified organization, then the examination and evaluation of the complaints shall take in to consideration the effectiveness and implementation of the certified organizations system.
- The complaint handling process shall document the actions to be taken by Intertek as well as the certified organization.
- Intertek shall record and track complaints and appeals, as well as actions undertaken to resolve them in the Complaints, disputes and appeals log of Sharepoint.

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- The decision resolving the complaint or appeal shall be made by, or reviewed and approved by, person(s) not involved in the certification activities related to the complaint or appeal. To ensure that there is no conflict of interest, personnel (including those acting in a managerial capacity) who have provided consultancy for a certified organization, or been employed by the certified organization, shall not be used to review or approve the resolution of a complaint or appeal for that certified organization within two years following the end of the consultancy or employment.
- Whenever possible, Intertek shall give formal notice of the outcome and the end of the complaint process to the complainant.
- In respect of appeals, Intertek shall ensure that the individual(s)/committee entrusted with handling of appeal and its resolution decision shall be independent of the persons involved in certification related recommendations and decision and their position in Intertek shall be such that it shall not be possible to influence their decisions with respect to the subject of the appeal.
- The procedure shall also have provision for giving a written statement to the appellant, of the appeal findings including the reasons for the decisions reached and also communicating to the appellant about the provision for giving an opportunity to formally present his case.
- Based on the presentation made, the individual or a committee appointed for hearing the case shall take a final decision on the appeal and a formal notice of the outcome and the end of the appeal process shall be given to the appellant.
- Intertek shall give formal notice of the outcome and the end of the appeal process to the appellant.
- Intertek shall take any subsequent action needed to resolve the complaint or appeal.

The complaint handling process shall document the actions to be taken by Intertek as well as the certified client, in case the complaint is established to be valid and manufacturer's controls are found to be non compliant with the specified criteria.

Evaluation of Complaints

In case of complaints related to a certified client and the products manufactured by the certified client, the examination and evaluation of the complaints shall take in to consideration the effectiveness and implementation of the client's applicable audit criteria (i.e certification level for which client is certified). The process of establishing validity of the complaint shall generally involve processes like conduct of additional surveillance activities – visit to certified client's premises for special evaluation, testing and evaluation of the manufacturing process as

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per implemented system in the manufacturing facility, if necessary. The decisions on complaint shall then be based on the result of additional surveillance activities.

The procedure for complaint handling shall include complaints from all stake holders, especially its certified organization as well as customers of its certified organizations.

Appeals

In respect of appeals, the certification body shall ensure that the individual(s)/committee entrusted with handling of appeal and its resolution/ decision shall be independent of the persons involved in certification related recommendations and decision and their position in the certification body shall be such that it shall not be possible to influence their decisions with respect to the subject of the appeal.

REVISION LOG

Revision #	Description of Change
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Release Date
