

Procedure for Appeals & Complaints

DAS Pakistan (Pvt.) Ltd.



Prepared by



Reviewed by



Approved by

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List of Copy Holders

<i>Sr. #</i>	<i>Designation</i>
1	<i>Chief Executive Officer</i>
2	<i>Management Representative/<u>Technical Manager</u></i>
3	<i><u>Deputy Management Representative</u></i>

1. Purpose:

The purpose of this document is to define the methods for;

- Receiving, evaluating and decision making on appeals.
- Receiving, evaluating and decision making on complaints.

2. Scope:

The procedure is applicable to all appeals & Complaints receive in DAS Pakistan (Pvt.) Ltd. related to Inspection Body System.

3. References:

- the applicable standard ISO/IEC 17020:2012
- Inspection Body Manual IBM-01

4. Responsibility

- The Management Representative (MR)/TM is responsible to ensure effective implementation of this procedure for IB Management Systems based on ISO 17020.
- The Dy.MR is responsible to maintain records of all documents.

5. Terms and Definitions:

The terms and definitions given in the standard ISO/IEC 17020:2012 apply, as stated in the Clause 7.5 & 7.6 of Inspection Body Manual IBM-01.

6. Description:

6.1 Appeal Handling:

- The Appellant address the appeal on Appeal Form (ISP-05/F-01) to MR through any suitable means (email, fax, letter, registered mail etc) as per appeal, complaint handling process (Annex 1 Appeal Process, Annex 2 Complaint Process) available upon request of a client. The appeal, should address the following information as relevant;

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- a. Name, designation of the Appellant
 - b. Name of Organization/Institute
 - c. Valid mailing Address and location.
 - d. Contact numbers
 - e. E-mail/Fax (if any)
- ii. In case of verbal query regarding Appeal the MR request the Appellant to address Appeal in writing on ISP-05/F-01. Anonymous Appeals is not entertained by DAS. However the identity of the Appellant, on his request, may not be revealed to the concerned.
- iii. MR is overall responsible for the appeal handling process. MR ensures that the persons engaged in the Appeals handling process are different from those who carried out the exam of the client or involved in the Inspection decision. MR is responsible to look after the whole process to make the Appeal handling process impartial, non-discriminatory and transparent so that submission, investigation and decision on Appeals Complaints do not result in any discriminatory actions against the Appellant.
- iv. On receipt of appeal e.g. Appeal Form (ISP-05/F-01) the following process is followed:
- a. The MR in consultation with CEO nominates a person on Appeal Handling Form (ISP-05/F-03) for handling appeal process.
 - b. The receipt of appeal is acknowledged and logged in the Appeal Log (ISP-05/F-02) by the MR generating appeal number that is incremental for each appeal. The MR is responsible to communicate to the appellant about the on-going progress on the appeal process by any means. Time scales for completion of the appeal process is largely dependent on the nature of the appeal. The time scale is communicated to the client on receipt of the appeal and informing all concerned
 - c. MR enters the appeal number on Appeal Handling Form (ISP-05/F-03) and forwards the Appeal Handling Form to Chairman Impartiality Committee.
 - d. Chairman Impartiality Committee forwards the case to Appeal Handling Committee. Appeal Handling Committee approved by the Chairman IC is notified on the form ISP-05/F-07. In case of conflict of interest in a particular appeal, the Appeal Handling Committee may be reconstituted while taking into consideration other interests present in the Impartiality Committee. The committee may give the opportunity to the appellant to present his/her appeal in person.

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- e. The committee analyzes (on Appeal Handling Form (**ISP-05/F-03**)) the nature and details of appeal, validates, investigates the appeal and decides the actions/decision to be taken in response to it taking into account results of previous similar appeals during the evaluation.
- f. The Head Appeal Handling Committee gives his approval on recommendations/decisions established by the Appeal Handling Committee and forward to MR for further action.
- g. The MR informs the progress and outcome to appellant and takes the correction and corrective actions if any.
- h. MR verify the recommended actions if required.
- i. MR communicates the Progress report and outcome to applicant through any suitable means. MR forwards the Appeal Form to Chairman Impartiality Committee for their record.
- j. MR gives formal notice to the Appellant at the end of the appeal handling process.

6.2 TORs for Appeal Handling Committee:

The Appeal Handling Committee consists of 2 or 3 members. The committee members decide the Head Appeal Handling Committee among themselves. The committee may seek the advice of expert depending upon the nature of the appeal. The Appellant Committee is derived from the members of the Impartiality Committee, thus the competence of members of the Appellant Committee is the same as Impartiality Committee, as defined in the Procedure for Safeguarding Impartiality. Chairman of the Impartiality Committee is selected from amongst the committee members at the commencement of each session, and is valid till next meeting. However if there is any appeal against CEO, he is not a part of the appellant committee and neither chairs the Impartiality Committee. The Committee is responsible for:

1. Receiving the appeal
2. Validating the appeal
3. Conducting necessary investigation over the dispute that became the source of appeal
4. Deciding the response of the appeal
5. Taking appropriate corrective actions

6.3 Complaints Handling:

In case of Complaint the following process is followed;

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- i. MR decides whether the complaint is related to Inspection activities of DAS or its clients. If the complaint is related to the Inspection activities of DAS, MR in consultation with CEO appoints someone on Complaint Handling Form (ISP-05/F-06) to validate, investigate and make recommendation as per clause iv above. If the complaint is related to Client, CEO appoints MR to validate, investigate and make recommendations on complaint. If the complaint is related to client, it is referred to the respective client within one week after validation by the MR.
- ii. The complaint handling process is subject to confidentiality requirements as per DAS Pakistan Confidentiality Policy.
- iii. The MR is responsible to acknowledge to receipt and log the complaint in the Complaint Log (ISP-05/F-05) enter the complaint number and inform the complainant about progress on report and outcome on regular basis. Time scales for completion of the complaint process are largely dependent on the nature of the complaint. The time scale is communicated to the client on receipt of the complaint and informing all concerned.
- iv. The complaint is validated by the MR. If the Complaint is found vague, false, irrelevant or its validity is not confirmed then the MR gives his findings on Complaint Handling Form to CEO for formal disposal of the Complaint and Complainant is informed through any suitable mean (email, notice, letter etc).
- v. For valid complaints MR also takes into account the results of previous similar complaints, going through the nature and details of the complaint.
- vi. MR/NR presents their recommendations on the Complaint Handling Form to CEO for his approval.
- vii. The recommendations upon approval of the CEO are communicated to the complainant by MR.
- viii. If the complaint is related to the client, the client is requested to take corrective actions or may be asked that correction and corrective actions is verified depending upon the nature of complaint MR reviews the effectiveness of the corrective and preventive actions and inform the concerned.
- ix. If the Client fails to take corrective actions within agreed time the suspension and withdrawal process may be initiated.
- x. MR gives formal notice to the Complainant at the end of the complaint handling process.
- xi. In case the complaint is raised against the Inspection activities and complainant is not satisfied against the result of complaint, the complainant may appeal to CEO against the communicated decision of the complaint.
- xii. The complaints raised internally by DAS personnel are handled as per Procedure for Corrective and Preventive Actions (ISP-04).

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The DAS Pakistan doesn't not put the complaint in public domain without the consent of the Client & complainant unless it is legally required or as per DAS Pakistan Confidentiality Policy to make it available in public domain.

7. Records:

Appeal Form	<u><i>ISP-05/F-01</i></u>
Appeal Log	<u><i>ISP-05/F-02</i></u>
Appeal Handling Form	<u><i>ISP-05/F-03</i></u>
Complaint Form	<u><i>ISP-05/F-04</i></u>
Complaint Log	<u><i>ISP-05/F-05</i></u>
Complaint Handling Form	<u><i>ISP-05/F-06</i></u>
Composition of Appeal Handling Committee	<u><i>ISP-05/F-07</i></u>
Notices, emails	

8. Revision History:

Issue #	Rev #	Date of Issue	Brief Description of change
1	0	5-8-2015	New document
1	1	10-3-2022	Scheme owner word is removed.

Rev #	Date of Issue	Brief Description of change
2	10 th May, 2022	Responsibilities are added, Document and relevant forms naming and formatting is changed.

Annex-I Appeal Process

Steps for Appeal process are as follows:

Appeal is objection raised by client against any decision or conduct of DAS Inspection.

Appeal can be filed due to the following reasons:

- Inspection Request rejection
- Against Inspection decision
- Rejection of conducting Inspection
- Response on Corrective action requests
- Reconsideration of suspend or withdrawal Inspection
- Any other reason that may delay Inspection process

The client shall raise appeal on **Appeal Form** and forward to MR.

- i. On receipt of appeal e.g. Appeal Form (ISP-05/F-01) the following process is followed:
 - a. The MR in consultation with CEO nominates a person on Appeal Handling Form (ISP-05/F-03) for handling appeal process.
 - b. The receipt of appeal is acknowledged and logged in the Appeal Log (ISP-05/F-02) by the MR generating appeal number that is incremental for each appeal. The MR is responsible to communicate to the appellant about the on-going progress on the appeal process by any means. Time scales for completion of the appeal process is largely dependent on the nature of the appeal. The time scale is communicated to the client on receipt of the appeal and informing all concerned
 - c. MR enters the appeal number on Appeal Handling Form (ISP-05/F-03) and forwards the Appeal Handling Form (ISP-05/F-03) to Chairman Impartiality Committee.

- d. Chairman Impartiality Committee forward the case to Appeal Handling Committee; comprising the following members of the Impartiality Committee:
 - i. Representative of government or regulatory body
 - ii. Representative of non-governmental organizations including consumer organizations

Appeal Handling Committee approved by the Chairman IC is notified on the form ISP-05/F-07. In case of conflict of interest in a particular appeal, the Appeal Handling Committee may be reconstituted while taking into consideration other interests present in the Impartiality Committee. The committee may give the opportunity to the appellant to present his/her appeal in person.

- e. The committee analyzes (on Appeal Handling Form ISP-05/F-03) the nature and details of appeal, validates, investigates the appeal and decides the actions/decision to be taken in response to it taking into account results of previous similar appeals during the evaluation.
- f. The Head Appeal Handling Committee gives his approval on recommendations/decisions established by the Appeal Handling Committee and forward to MR for further action.
- g. The MR informs the progress and outcome to appellant and will take the correction and corrective actions if any.
- h. MR verify the recommended actions if required.
- i. MR communicates the Progress report and outcome to applicant through any suitable means. MR forwards the Appeal Form (ISP-05/F-03) to Chairman Impartiality Committee for their record.
- j. MR gives formal notice to the Appellant at the end of the appeal handling process.



Annex-II Complaint Process

All dissatisfaction reported by users of Inspection (CLIENT) is considered complaints. Complaint can be made by any person or organization against the following:

- Operation and / or procedure
- Inspector, staff of DAS Inspection
- Exam process followed by examiner
- Misuse of Inspection status either in the scope or in the logo

Steps for complaint process are as follows:

The client shall raise appeal on **Complaint Form** and forward to MR.

On receipt of complaint following procedure will be followed;

- i. MR decides whether the complaint is related to Inspection activities of DAS or its client. If the complaint is related to the Inspection activities of DAS, MR in consultation with CEO appoints someone on Complaint Handling Form (ISP-05/F-06) to validate, investigate and make recommendation. If the complaint is related to client, CEO appoints MR to validate, investigate and make recommendations on complaint. If the complaint is related to certified client, it is referred to the respective certified client within one week after validation by the MR.
- ii. The complaint handling process is subject to confidentiality requirements as per Confidentiality Policy.
- iii. The MR is responsible to acknowledge to receipt and log the complaint in the Complaint Log (ISP-05/F-05) enter the complaint number and inform the complainant about progress on report and outcome on regular basis. Time scales for completion of the complaint process are largely dependent on the nature of

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the complaint. The time scale is communicated to the client on receipt of the complaint and informing all concerned.

- iv. The complaint is validated by the MR. If the Complaint is found vague, false, irrelevant or its validity is not confirmed then the MR gives his findings on Complaint Handling Form (ISP-05/F-06) to CEO for formal disposal of the Complaint and Complainant is informed through any suitable mean (email, notice, letter etc).
- v. For valid complaints MR also takes into account the results of previous similar complaints, going through the nature and details of the complaint.
- vi. MR/NR presents his recommendations on the Complaint Handling Form (ISP-05/F-06) to CEO for his approval.
- vii. The recommendations upon approval of the CEO are communicated to the complainant by MR.
- viii. If the complaint is related to the client, the client is requested to take corrective actions or may be asked that correction and corrective actions is verified depending upon the nature of complaint MR review the effectiveness of the corrective and preventive actions and will inform the concerned.
- ix. If the client fails to take corrective actions within agreed time the suspension and withdrawal process may be initiated.
- x. MR gives formal notice to the Complainant at the end of the complaint handling process.
- xi. In case the complaint is raised against the Inspection activities and complainant is not satisfied against the result of complaint, the complainant may appeal to CEO against the communicated decision of the complaint.
- xii. The complaints raised internally by DAS personnel handled as per Procedure for Corrective and Preventive Actions (QM-PR-04).

DAS not put the complaint in public domain without the consent of the client & complainant unless it is legally required or as per Confidentiality Policy to make it available in public domain.

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