

CDG CERTIFICATION LIMITED

Appeals and Complaints Procedure

Client appeals

A client may appeal following a decision made during the certification process. In the event of a verbal appeal, the client shall be requested to confirm their appeal in writing, with details of their reasons for appeal. An appeal may occur;

- After an Assessor leading an assessment has made a decision not to recommend certification, as per Assessment and Certification Procedure
- When a decision is made either;
 - not to accept a recommendation for certification and/or extension to scope, or
 - to reduce or withdraw certification as per Assessment and Certification Procedure
- Following the review of a appeal.

The appeals process follows two stages;

CDG ensure submission; investigation and decision on appeals do not result in any discriminatory actions against the appellant.

Stage 1: Appeals response [with 'allocated' details (CDG-066)]

Impartiality Committee will;

- a. Receipt of appeal, acknowledge receipt of the appeal
 - b. Attempt to resolve the appeal, where possible, and indicate a 'closed' date. This may involve;
 - Discussions with CDG staff and an examination of all the relevant documentation and reports and/or
 - An assessment visit to obtain further evidence, or to check the authenticity of a decision or recommendation made.
 - c. Send a formal written reply to the appellant, notifying them of the decision regarding their appeal.
- If the results have already been discussed with the client during the subsequent assessment visit the findings will be recorded in the assessment report.

Note:

- # The Certification Manager will only attempt to resolve the appeal where they have not been included in the decision making process.
- # when ever required, CDG will acknowledge receipt of the appeal
- # CDG will provide the complainant with progress reports and the outcome.
- # CDG will give formal notice of the end of the appeal-handling process to the appellant.

Stage 2: Appeals Panel investigation

- a. Impartiality Committee will re-investigate the appeal if the Client is still dissatisfied with the outcome, and
- b. Send letter to the appellant notifying them of the decision regarding their appeal.
 - The outcome of the investigation, and any remedial action required, shall be recorded in the Client Site file.
 - The effectiveness of the corrective and preventive actions taken is assessed at management review as per the Quality Manual (**sec. 2.1.6**).

Note:

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A decision reached by the Impartiality Committee is final.

Complaints (and/or disputes)

A 'complaint' is defined as any written expression of dissatisfaction

Written complaints may be received from customers, suppliers, CDG staff or third parties about CDG or a CDG certificated client.

- All complaints (or disputes) are referred to the **impartiality committee**.
- The person making the complaint must be informed that the problem is being recorded and will be thoroughly investigated.

Note:

Where the complaint is being received from a third party about a CDG certified client then no agreement of problem or blame must be made or any other statement which may breach confidentiality and security of information received.

If the complaint relates to a certified client, examination of the complaint consider the effectiveness of the certified management system.

DIRECTOR / Certification Manager will;

- a. Record relevant correspondence on CDG044 (Complaints Form), including full details of who the complaint is aimed at (CDG or a CDG certificated client) and the problems encountered.
 - b. Carry out a full investigation into the problem, which may involve discussions with CDG staff or person making the complaint, examination of all relevant documentation and assessment reports.
- Ensure the corrective action (suggested by impartiality committee) is initiated promptly, which may require further liaison with the Client to prevent recurrence
 - Procedures amendments may be required as a result of NCR's which will be carried out as per the Document & Data Control procedure

Notes:

Third parties will not be informed of the outcome of an investigation as this would also be a breach of CDG client confidentiality.

Complaints about CDG certified clients will usually be investigated during the next scheduled surveillance visit.

Where the severity of the type or level of complaints indicates a breakdown in the clients quality system then a special visit shall be authorised; where significant problems are found then the assessor may recommend that the certificate be suspended or withdrawn.

DOCUMENT REFERENCES

CDG-044 Complaints Form

CDG-066 Appeals Log (India only)