

# PROCEDURE FOR APPEAL & COMPLIANTS

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# List of Copy Holders

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

## 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 in lamentation of this procedure for IB Management Systems based on ISO 17020.
- The Dy.MR is responsible to maintain records of all documents.

## 6. Description:

### 6.1 Appeal Handling:

- i. 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;

- 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-o1. 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-o1) the following process is followed:
- a. The MR in consultation with CEO nominates a person on Appeal Handling Form (ISP-05/F-o3) for handling appeal process.
  - b. The receipt of appeal is acknowledged and logged in the Appeal Log (ISP-05/F-o2) 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-o3) 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-o7. 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-o3) 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.

## **1. 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:**

- i. In case of Complaint the following process is followed;
- ii. 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.
- iii. The complaint handling process is subject to confidentiality requirements as per DAS Pakistan Confidentiality Policy.
- iv. 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.
- v. 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).
- vi. For valid complaints MR also takes into account the results of previous similar complaints, going through the nature and details of the complaint.

- 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).

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	ISP-05/F-01
Appeal Log	ISP-05/F-02
Appeal Handling Form	ISP-05/F-03
Complaint Form	ISP-05/F-04
omplaint Log	ISP-05/F-05
Complaint Handling Form	ISP-05/F-06
Composition of Appeal Handling Committee	ISP-05/F-07
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 May, 2022	Responsibilities are added, Document & relevant forms naming & Formating 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-o1) the following process is followed:
  - a. The MR in consultation with CEO nominates a person on Appeal Handling Form (ISP-05/F-o3) for handling appeal process.
  - b. The receipt of appeal is acknowledged and logged in the Appeal Log (ISP-05/F-o2) 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-o3) and forwards the Appeal Handling Form (ISP-05/F-o3) 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-o7. 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-o3) 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.
- j. MR communicates the Progress report and outcome to applicant through any suitable means. MR forwards the Appeal Form (ISP-05/F-o3) to Chairman Impartiality Committee for their record. MR gives formal notice to the Appellant at the end of the appeal handling process.

## Annex-II Compliant 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;

- 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 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.



# PROCEDURE FOR APPEAL & COMPLIANTS

DAS-P-05, Issue # 03, Rev # 02  
20th Aug, 20

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# List of Copy Holders

Sr. #	Designation
1	Chief Executive Officer
2	Management Representative
3	Deputy Management Representative
4	Manager Certification

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## 1. Purpose:

To define the manner in which Complaints & appeals against DAS Pakistan and DAS Pakistan registered clients or sites are recorded and processed. All complaints will be dealt with locally.

## 2. Scope

All appeals and complaints received by DAS Pakistan in relation to its recognised activities and certificated customers & all complaints against DAS Pakistan registered organisation/sites related to their activities.

## 3. References:

Clause 9.7 of ISO/IEC 17021-1:2015, Appeals  
Clause 9.8 of ISO/IEC 17021-1:2015, Complaints

## 4. Definitions:

None

## 5. Procedure:

## 6. Complaints against DAS Pakistan:

Upon receipt of a written or verbal complaint via any mean, it shall be recorded on Form FMP05/01 Complaints/Appeals record and a file opened by MR/DMR. Any correspondence connected with the complaint shall be attached to this file. Complaints received will be analysed to determine the nature of the complaint and decide:

- Does the complaint relate to DAS Pakistan activities? If yes proceed to deal with the complaint.
- Does the complaint relate to DAS Pakistan certified client? If so an internal investigation will take place to determine the effectiveness of the DAS Pakistan certification process and what actions to take. The certified client will be informed of the complaint at an appropriate time for their consideration.

All verbal complaints will be requested in writing / email with any supporting documentation if necessary to the DAS Pakistan. All complaints will be acknowledged within 48 hours by email to the complainant by MR/DMR. Prior to a complaints panel being formulated DAS shall endeavor to obtain all necessary information (copy of reports, Team Leader responses in writing etc) to ensure the complaint can be sufficiently validated.

The complaints panel will be nominated by CEO, DAS Pakistan, consisting of 2 to 3 persons as required through email, they will jointly review the complaint and decide on the appropriate remedial action and the person(s) responsible for that action, which shall be recorded on Form FMP05/01.

When the remedial action has been satisfactorily completed the MR shall sign the close out on Form FMP05/01

The complainant shall be informed in writing of the outcome or the ongoing situation within one month of receipt of the complaint by MR via email.

Generally all complaints shall be satisfactorily closed-out within two months of receipt of the original complaint being received.

In addition to the above, an unscheduled audit may be carried out if the complaint concerns a Supplier or Contractor.

At meetings of Impartiality Committee MR will present his report and a full and frank discussion will take place regarding all complaints / appeals received and again recommend any necessary corrective & preventive actions if required by the committee.

MR will forward on to all concerned improvement instructions via briefing notes or revised / new operating procedures subsequent to the outcome of impartiality committee meeting or at any other time he feels it is necessary.

Submission, investigation and decision on complaints shall not result in any discriminatory actions against the complainant by not putting the same person for handling complaints who is guilty by the complainant.

## 6.1 Complaints against DAS Certified Clients

Complaints regarding registered clients may be received by DAS Pakistan from the public i.e. customers of a DAS Pakistan registered client or from other sources, DAS Pakistan shall register the complaint in the complaints/ appeals register Form FMP05/01 and acknowledge receipt of the complaint and advise the registered client of the complaint, the MR will decide if an unannounced audit is necessary or not.

If so a competent auditor(s) shall be sent to the registered client's premises and after advising the client of the reason and an audit on the scope of the complaint shall be conducted, recorded and reported to the MR for investigation, review and appropriate actions.

If not the registered client will be asked to provide sufficient evidence to DAS to enable investigation, review and appropriate actions to be taken. The complainant and registered client shall be advised of the decision and actions to be taken and on completion of the actions by MR.

During any audits the audit team shall review the DAS Pakistan Registered organisation/sites complaints register for compliance to requirements as;

- i. Complaints represent a source of information as to possible non-conformity. On receipt of a complaint the organisation should establish and where appropriate report on the root cause of the non-conformity, including any predetermining (or predisposing) factors within the management system.
- ii. Such investigation enables the planning of corrective action, which should include measures for;
  - notification of clients, public or appropriate authorities if required by regulation;
  - Restoring conformity as quickly as practicable;
  - Preventing recurrence;
  - Evaluating and mitigating any adverse environmental effects;
  - Assessing the effectiveness of the above measures.

The implementation of the corrective action should not be deemed to have been completed until the effectiveness of all the above has been demonstrated and verified and the necessary changes made in the procedures, documentation and records.

iii) Auditors should check that, where any such non-conformity or failure to meet the requirement is revealed, the organisation has conducted a root cause analysis of its own management system and taken appropriate corrective/preventive action and the complainant advised of the outcome by persons not previously involved in the complaint.

Any non-compliance shall incur a CAR



## 7. Appeals Procedure:

Anyone has the right of appeal against any decision made by DAS Pakistan. The appeals process is independent of the certification process. The purpose of Appeals procedures is to assist DAS Pakistan with its aim to continually improve its working methods. All appeals will be thoroughly analyzed looking for the root cause of either individual or trends to ensure that appropriate Corrective and associated preventive actions are taken.

DAS with Impartiality committee members will strive to ensure that “customer perception” is always considered fact and the purpose of this procedure is to establish actual facts to enable an appropriate response to be made to the appellant and then appropriate action taken to prevent reoccurrence.

In the event of a Customer (organization/site) appealing against any decision made by the certification body, they shall be asked to send a letter / email with any supporting documentation to give formal written notice of their appeal.

**Upon receipt of the written appeal it will be initially handled by that Person who is not Part of DAS Pakistan auditors and final approval will be made by impartiality committee.**

(Note: The appellant must have given factual information giving grounds for appeal within the specified time scales agreed with DAS which will normally be one month or less depending on the severity of the complaint / appeal. Provided this criterion is met the appeal will be dealt with by the MR without delay).

In the case of an appeal relating to the actions of DAS Pakistan employee both the appellant and the relevant (Lead Auditor) shall be entitled to state their case in confidence. **The CEO of DAS Pakistan will do only endorsement signature and the results recorded on form FMP05/01 signed as closed out by MR. The independent nominee as nominated by IC shall write to the appellant informing them of the appeal panel decision through email.** If the appellant does not accept the decision then they may revoke the conditions of contract i.e., arbitration. All appeal information will be discussed at Management review meetings for review and to consider any other related corrective /preventive actions.

Submission, investigation and decision on appeals shall not result in any discriminatory actions against the appellant.

## 8. Records:

Record Number	Record Title:	Retention Time
FMP05/01	Complaints/Appeals Register	05 Years

## 8. Records:

Issue #	Rev #	Date of Issue	Brief Description of change
01	00	10th Oct, 2016	New Document
02	01	20th May, 2020	QMR replaced with MR
03	02	20th Aug,2021	Changes in Appeal Clause 7