

Appeals, Complaints, and Feedback Procedure

1. Purpose

To systemise the identification, recording and analysis of complaints, appeals, and feedback in order to prevent problems arising, and to facilitate the continual improvement of the Business Management System (BMS).

2. Scope

This procedure applies to complaints, appeals and feedback received from interested parties.

3. Associated Documents & Systems

All associated documents referred to in this procedure are highlighted in bold.

- **Amtivo Connect** manages operational processes and holds operational records.
- **Activ** details the processes followed and is the source of controlled documents and some records.
- **OASIS**, software used by aerospace clients

4. Definitions

Definitions defined in standards and supporting materials will be applicable, also see below:

Appeal: A disagreement that affects the outcome or decision of the certification activities or certification scheme.

Complaint: Any dissatisfaction with a product, service, process or work activity covered within the scope of the organisation's Management System that is reported by a client or Interested Party.

Corrective action: Action taken to, eliminate the cause of a complaint or nonconformance, or implement a change or improvement.

Feedback: evaluative information about a product, service, action, or process to the original source, which does not affect the outcome or decision of the certification activities or the certification scheme.

Nonconformance: Any product, service, action or event that does not conform to a process or procedure detailed in the organisation's Management System but is not reported by a client.

5. Responsibility

5.1. It is the responsibility of the Accreditation Manager to ensure that this procedure is implemented, and any resources required are made available.

5.2. It is the responsibility of the Accreditation Manager to monitor the effectiveness of this procedure and report the results at management reviews.

5.3. It is the responsibility of the Accreditation Manager to ensure the **Improvement Log** is maintained and reviewed in accordance with Section 7 of this procedure.

5.4. It is the responsibility of all employees to proactively identify nonconformances and support the implementation of corrective actions.

6. Process Map – n/a

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7. Procedure

7.1 Appeals

- 7.1.1 Clients may submit a request to appeal a nonconformity raised during an assessment or a certification decision through the Amtivo USA website, Feedback and Appeals form
- 7.1.2 The Accreditation Manager is notified of the appeal via email and logs the appeal in the **Improvement Log** in **Activ**. The Accreditation Manager is responsible for acknowledging receipt of the appeal in a timely manner and briefs the client on the appeals process. The client is given the opportunity to provide any additional information to support the appeal. This information is also logged in **Activ**.
- 7.1.3 The Accreditation Manager shall notify the appropriate Scheme Manager of the appeal and together will conduct a preliminary investigation to confirm the following:
- Identify the audit team member(s) who conducted the audit
 - Ensure the audit report has been completed in **Amtivo Connect** or **OASIS**
- 7.1.4 The Accreditation Manager and the Scheme Manager will select a committee of one to three members to review the appeal. The committee members must:
- Be free from any conflict of interest with the client
 - Be impartial and review all evidence provided
 - Be a certified auditor for the related standard(s) contracted or employed by Amtivo USA
 - Not have engaged in the audit directly or been involved in the certification decision
- 7.1.5 A member of the Appeal Committee may not participate in any subsequent certification decision related to this audit
- 7.1.6 The Appeal Committee is granted seven days to review the appeal, review the audit package, and any additional information provided by the client. Each committee member will document their investigation and decision on the **Appeal Committee Investigation Report**
- 7.1.7 The Accreditation Manager and the Scheme Manager will review the Appeal Committee's decisions and compile the results into one **Appeal Committee Investigation Report**. The Accreditation Manager shall notify the client of the result via email and provide the client with a copy of the investigation report. The client shall be notified of next steps and available options to contact the appropriate accreditation bodies or scheme owners.
- 7.1.8 If the appealed nonconformity or certification decision was withdrawn, the Scheme Manager shall contact the auditor and/or decision maker to review the Appeal Committee's findings. The Scheme Manager will also change the status of the nonconformance to '*withdrawn*' in client's non-conformances log in **Amtivo Connect**
- 7.1.9 When required, scheme owners and other relevant interested parties are informed of the outcome of decisions, see **Scheme Procedures** and the **Communication Procedure** for details.
- 7.1.10 The **Improvement Log** in **Activ** shall be updated with the following information:
- The email records of all communications with the client, including formal notice of the decision
 - The results of the investigation and decision

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- Records of notifications to scheme owners and other interested parties, when required
- Any subsequent correction or corrective action taken by Amtivo USA

7.2 Complaints & Feedback

- 7.2.1 Clients, interested parties, or other members of the public may submit a complaint or other feedback through the Amtivo USA website, Feedback and Appeals form
- 7.2.2 The Accreditation Manager is notified of the complaint via email and logs the complaint in the **Improvement Log in Activ**. The Accreditation Manager is responsible for conducting an initial review of the complaint to determine the validity of the complaint, if it is related to certification activities Amtivo USA is responsible for, or if it related to a client certified by Amtivo USA.
- 7.2.3 The Accreditation Manager is responsible for acknowledging receipt of the complaint in a timely manner and briefs the complainant on the complaints process.
- 7.2.4 The Accreditation Manager shall ensure the investigation remains impartial and individuals tasked with participating shall:
- Be free from any conflict of interest with the complainant
 - Be impartial and review all evidence provided
 - Meet Amtivo USA's competence criteria as decision-maker for any related standard(s)
- 7.2.5 Containment actions, root cause analysis, and corrective action shall be documented in the **Improvement Log in Activ**.
- 7.2.6 Where a complaint is received regarding a client holding certification with Amtivo USA, the client shall be contacted for comment and, where necessary, corrective action. The investigation of the complaint shall include a consideration for the effectiveness of the client's management system and determine if a special visit is required to further facilitate the investigation. This decision and any subsequent actions shall be documented in the **Improvement Log**.
- 7.2.7 The Accreditation Manager shall ensure the complainant is formally notified of the outcome of the investigation. Where the investigation, correction, and corrective action exceeds the anticipated timeline for completion, the complainant shall be provided progress updates regularly.
- 7.2.8 Where applicable, top management shall determine if the subject of the complaint and the resolution should be made public
- 7.2.9 The **Improvement Log in Activ** shall be updated with the following information:
- The records of all communications with the complainant, including formal notice of the end of the complaints-handling process
 - The results of the investigation
 - Records of notifications to scheme owners and other interested parties, when required
 - Any subsequent correction or corrective action taken by Amtivo USA