

QSS-QMS Administrative Procedure 08

Issue 2, Revision 00, Effective Date: 1st January 2009

Appeals

1.0 Purpose

To provide the methods of documentation, resolution and corrective action for appeals from the person or entity filing an appeal.

2.0 Scope

Appeals are very serious situations. The identification, documentation, resolution, and corrective action require consistent controls and documentation of action. This procedure provides the controls and methods to resolve the appeals if possible. The Technical Director has the ultimate responsibility for appeals. Any person, client, or entity may file an appeal. The person, client, or entity is not required to have a legal relationship with QSS-QMS.

3.0 References

- ❖ Quality Manual, Section XV, Appeals
- ❖ ISO17021:2006(E), Conformity Assessment – requirements for Bodies providing audit & certification of management system

4.0 Implementing/Related Procedures

- ❖ AP 08, Appeals
- ❖ AP 15, Suspension and Withdrawal of Certification
- ❖ AP 16, Internal Corrective Actions
- ❖ TP 05, Pre-Assessments
- ❖ Registration Regulations

5.0 Attachments and Forms

Attachments: None

Forms: Complaint or Appeal Form

6.0 Definitions

Complaints are defined as items that do not affect the outcome or decision of the certification activities or certification scheme.

Appeal is defined as a disagreement that affects the outcome or decision of the certification activities or certification scheme.

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Client or supplier or company may be used interchangeably. The client in this procedure is not required to have a legal relationship with Orion.

Appeal Committee: Persons appointed by the Technical Director/ Advisory Board to review the appeal and determine a conclusion for the validity or non validity of the appeal. The committee will also recommend corrective action for QSS-QMS.

Entity: That which can be individually described and considered. **Note:** an entity may be for example: an activity or a process, a product, an organization, a system, or a person or any combination thereof

Procedure

7.0 Identification of Appeals

Appeals may be identified by any person or entity. The person or entity does not have to have a legal relationship with QSS-QMS. The Registration Regulations contain a copy of the Complaint or Appeal forms and contains information for filing an Appeal.

The appeal must be received in writing, such as the Complaint or Appeal Form or by any other written means. If the appeal is not documented on the Complaint or Appeal Form, the person receiving the appeal will document the appeal on this form. The appeal will be sent to the Technical Director for processing and resolution.

8.0 Processing and Resolution of the Appeal

Technical Director

1a) Receives the appeal on the Complaint or Appeal Form. Reviews the Appeal to the definitions of the Appeal and Complaints. Upon review if the Technical Director decides that the situation is an Appeal, the Appeal will be processed in accordance with this procedure. The next action is step 3.

1b) Upon this review, if the Technical Director decides the appeal is actually a complaint/dispute, he will inform the client of the decision. The situation will be processed in accordance with Administrative Procedure 07. The next action is step 2.

Appellant

2) The appellant is informed of the decision that the appeal is actually a complaint. If the appellant agrees the appellant will be advised that the appeal is a complaint and that the complaint will be processed in accordance with the requirements of Administrative Procedure 07. If the appellant disagrees with the decision of the Technical Director, the appellant will be advised to contact the Advisory Board or the appropriate Accreditation Agency.

Technical Director

3) Assigns Appeal Committee to investigate the appeal. The person's assigned to the committee will not have been directly involved with the decision under the appeal and does not have direct interest in the decision. The Technical Director will inform the appellant of the persons of the Appeal committee or the membership of the Appeal committee and the next action is step 4.

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Appellant

4a) Is notified of the persons on the Appeal Committee. The appellant is also notified of the background and relationship of the specific members concerning QSS-QMS. Also the appellant is notified that the appellant may pay 50% of the cost of the appeal. If the appellant agrees with the membership, no further action is necessary and the appeal. The next action is step 6.

4b) If the appellant disagrees with the membership, the Advisory Board will be notified. The next action is step 5a.

Advisory Board

5a) Reviews the concern with the Advisory Board. If the result of the decision concurs with the appellant, a new Appeal Committee is formed and the appellant is notified. The next action is step 3.

5b) If the Advisory Board disagrees with the appellant; the Appeal Committee starts the investigation in accordance with step 6. If the appellants disagree with the decision of the Advisory Board, the appellant will be advised that the investigation will occur and if the appellant desires, the appellant may contact the appropriate Accreditation Agency concerning the make-up of the Appeal Committee.

Appeal Committee

6) Performs the investigation of the appeal. The investigation will include determination of the real problem or appeal, determination of the root cause and recommendations for corrective action. The majority of the member's are required to agree about the conclusion of the report. The report will be sent to the Advisory Board for approval. The next action is step 7.

Advisory Board

7a) Advisory Board reviews the report. If the Advisory Board disagrees with the report, the report will be sent back to the Appeal Committee for resolution of the Advisory Board concerns. The next action is step 8.

7b) If the Advisory Board agrees with the Appeal Committee, the Advisory Board will complete the Complaint and Appeal Form Result Section. The Advisory Board will have the Technical Director inform the appellant of the results. The next action is step 10.

Appeal Committee

8a) Reviews the concerns of the Advisory Board. If the committee agrees with the concerns, further investigation will be performed. The next action is step 6.

8b) If the committee does not agree with the concerns, the committee may notify the appropriate Accreditation Agency about its disagreement on the appeal. The next action is step 9.

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Advisory Board

9) If the Appeal Committee and the Advisory Board can not come to an agreement on the differences of the concerns, the Advisory Board will issues a report concerning the appeal.

The result section of the Complaint or Dispute Form will be completed. The appellant will be notified that the Advisory Board made the decision concerning the appeal. The next action is step 10

Technical Director

10) Notify the appellant of the results of the appeal investigation. The appellant will be sent the completed Complaint or Appeal Form. Also the Advisory Board will be sent the results of the appeal investigation. If appropriate, a Corrective Report will be issued for conductance of the corrective action internally for QSS-QMS. The next action is step 11.

Appellant

11a) If the appellants agree with the results of the appeal, no further action is required.

11b) If the appellant does not agree with the results of the appeal, the appellant will be informed that the appropriate accreditation agency may be contacted concerning the appeal.

11c) If correspondence is received from an Accreditation Body agreeing with the concerns identified in the client's appeal, the situation will be reviewed by the Technical Director with the Advisory Board. The case will be handled on a situational basis.

9.0 Quality Records

Quality Records generated by this procedure are:

- ❖ Complaint/Dispute or Appeal Form
- ❖ Correspondence concerning the appeal
- ❖ Appeal Committee Report
- ❖ Corrective Action (if applicable)

10.0 Approvals

Technical Director



Date: 1st January 2009