



HANDLING COMPLAINTS AND APPEALS PROCEDURE

1. Purpose:

This procedure defines how to manage complaints and appeals, received from customers and other external bodies, to ensure they are handled in a professional and timely manner.

2. Scope

This procedure must be used by all Bureau Veritas Consumer Product Services Viet Nam Ltd (BV CPS) Product Certification ; Business Development; Customer Services; QA

3. Responsibility

All management team, auditor, staff involved in certification products are responsible to understand and implement these procedures

4. Terminology

4.1 Request by client(s) to BV CPS for consideration of the decision it has made relating to product certification decision.

4.2 Complaint: Any expression of dissatisfaction (example: by email, call, letter, verbal communication..) (Other than appeal) by any person or organization to BV CPS relating to product certification.

4.3 Significant complaint: Complaint is likely to have a major economic or legal impact (monetary claim, potential monetary claim, legal actions or potential legal actions, etc or Complaint is expressed in strong, threatening terms (e.g. registered mail, request for compensation, black list threat) or is considered significant in terms of potential improvement of CPS operation (e.g. repeated incident)

4.4 Other complaint: complaint which is not classified as Significant

4.5 CFP: Customer Facing Person who is authorized to work directly with customer to solve complaint. CFP can be Customer Service (CS)/Business Development Manager who receive complaints or CS Manager and/or involved Product Certification Manager. For major and significant cases, CFP may be assigned by Location Head.

5. Procedure:

Any time of receiving a complaint, the receiver shall forward the complaint to QA and relevant Department Head as TAT defined in Table 1. Significant complaints must be notified immediately to General Manager

- Assigned CFP must response to customer within 8 business hours to:

- ❖ Confirm complaint or appeal receipt



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- ❖ Communicate initial findings and immediate action taken (if available) or at least, inform target date of providing findings and proposed immediate action plan as TAT defined in Table 1
- ❖ Communicate root cause and corrective action plan (if available), or at least, inform target date of providing root cause and corrective action plan as TAT defined in Table 1.

5.1 Review, determine complaints/ appeals:

- QA shall record request and coordinate with Responsible departments to conduct investigation as TAT defined in Table 1. Any delay of investigation shall be approved by Quality Manager (or equivalent) and communicated to CFP. Investigation result shall be communicated to CFP as soon as completion. Investigation record shall be maintained by QA
- Product Certification shall be provide relating doiser and explain to complaints or appeals

5.2 Non-justified complaints / appeals

- Responsible departments provide valid evidence, within 24 hours to QA and to assigned customer-facing persons
- If evidence is confirmed by QA, CFP is responsible to explain to customer to settle the request. Complaint/ appeal closure shall be forward or informed to QA for record.
- If evidence provided is not valid, Non-justified complaints / appeals are processed as justified complaints / appeals (clause 5.4)
- If closure is done via call or meeting, closure summary shall be documented and send to QA via email for record
- If customers are not satisfied with the explanation, customers' feedback and expectation shall be escalated to General Manager (or authoririzer) for further instruction.

5.3 Justified complaints / appeals

- QA coordinate with responsible Department Head and Customer Service Manager to evaluate seriousness of the complaints. Signification and other complaints considered as serious and must be submitted through CAR process as per CPSD-GP-CAR-NSOP-CAR PROCESS
 - ❖ Root cause analysis
 - ❖ Corrective/ Preventive action proposal and implementation



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❖ Corrective/Preventive action validation and verification

- If the result of investigation that need to suspension or withdrawal certification, involved personel shall follow the procedure VLAB-CERT-SOP-0001 và VLAB-CERT-SOP-0002. The decisions of suspension or withdrawal certification shall be sent to client and involved Government Management Agency.
- The desion resolving the complaint or appeal shall be made by, or reviewed, approved by person(s) not involved in the certification process related to this complaint or appeal.
- Personel (including those acting as a managerial capacity) who provided consultant for client or been employed by client, shall not use to review or approve the resolution of this complaints/ appeals for that client within two years following the end of consultancy or employment.
- If request are classified as others and not considered as serious, only investigation report and action plan are required.
- CFP is responsible to communicate findings/causes/root causes and action plan to customer to settle the request. Reuest closure shall be forwarded or informed to QA for record.
- If closure is done via call or meeting, closure summary shall be documented and send to QA for record
- CAR Form is confidential. CFP is allowed to send summary of root cause and corrective action to external customer only.
- If customers are not satisfied with identified causes/root causes and/or action plan, process of investigation, root cause analysis and/or proposing corrective action shall be continued until meeting customers' expectation. Solution that are rejected 3 times by customers shall be escalated to Location Heads for further instruction
- QA shall be kept in loop in process of handling customer complaints/ appeals to make sure the complaint solving process implemented correctly
- QA shall follow up with CFP on complaint closing on weekly basis until complaint is settled
- Complaint records including email, CAR form, investigation report and related documents shall be retained by QA with retention period as per VLAB-QA-SOP-0006-CONTROL OF RECORD
- In case corrective action wasn't completed on time as CPSD-GP-CAR-NSOP-CAR PROCESS, local QA must work with related department to record reason and other



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information if any in CPSD-GP-CAR-DATA-CAR LOGBOOK

- For complaints and appeals received from a complainant or appellant, which is not a BVCPS client (such as: consumer ...), due consideration shall be given whether it is appropriate to answer, taking into account potential liability. In such cases, content of the answer is coordinated with client.

Table 1: TAT for complaint/ appeal handling

Task	Person in charge	TAT
Forward complaint/ appeal to QA and relevant Department Heads	Complaint receiver	Within 2 working hour from complaint receipt
Complaint/ appeal investigation	Responsible departments and QA	Within 24 hours from complaint receipt by QA excepting approved delay
Provide evidence to prove non-justified complaint/ appeal	Responsible departments	Within 24 hours from complaint receipt by QA
Complaint/ appeal acknowledgement	CFP	Within 8 business hours from complaint receipt
Evaluate requirement of CAR	QA Manager and/or relevant Department Heads	Within 24 hours from complaint receipt by QA
Issue CAR	QA	Same day of CAR requirement is confirmed
Complete Root cause analysis and propose corrective action plan	Responsible departments	Within 2 working days from CAR is issued
Review and approve root cause and CAP	QA/ Requestor	Within 3 working days from CAR is issued