



COMPLAINTS AND APPEALS

ISO	17021-1:2015	9.7-8
	17065:2012	7.13
	14065:2013	9, 10
UNFCCC	CDM ACC. STD V7	14

Revision	Comment on the changes	Review	Approval	Date
3.12	Complaints procedure (QESIS management) for Climate Change added in Appendix 1	S Pednekar	S ter-Horst	August 23, 2019
3.11	Update of Appendix 3 on IATF	S.Tuffanelli	Sebastiaan ter-Horst	August 6, 2019
3.10	In § 1 wording ""Complaints and Appeals Management" Policy" replaced by wording "This Complaints and Appeals Procedure"	M Timkin	CER MS Committee	February 22, 2019
3.9	Update of CDM Accreditation Standard version number from 6 into 7	R.Sharma	F. Joly	January 2, 2019
3.8	Clarification of responsibilities for QESIS management of complaints and appeals	F. Boigelot	F. Joly de Bresillon	October 8, 2018
3.7	2 points updated on IATF procedure for Appeals.	A. Mihalova	F. Joly de Bresillon	April 23, 2018
3.6	Complaints managed by BV Certification on-line form	E Gruber	P. Jeanmart	March 15, 2018
3.5	Further clarification on when make a complaint public on § 4.2	F. Gomes	F. Joly-de-Brésillon	March 07, 2018
3.4	QESIS replaces IAM	M. Picouveau	F. Joly-de-Brésillon	February 14, 2018
3.3	FSC: Modification of responsibilities in case of complaints - Precision on FSC appeals management	E Gruber	F. Joly-de-Brésillon	February 13, 2018
3.2	Copy of Dispute procedure shall be made available to the client on request added in Climate Change dispute process	R.Sharma	P. Jeanmart	January 24, 2018
3.1	Appendix 6 added (specific rules for ASC schemes)	E Gruber	P. Jeanmart	January 3, 2018
3.0	Revision in Disputes as per CDM Acc Standard requirements	F. Joly	P. Jeanmart	Nov 15, 2017
2.0	Details added when a complaint concerns a scheme managed by a Hub organization (§2.2) – NC ASI 46175	E Gruber	P. Jeanmart	May 17, 2017
1.8	Replaced ISO/TS 16949 by IATF 16949 and Rules 4th by Rules 5th Removed IATF complaints process to align with generic process requirements.	A. Mihalova	P. Jeanmart	February 23, 2017
1.7	"CER Global Accreditation Manager" replaces "Technical Direction" Added reference to template for Complaints registration (§2.1)	R. Sharma	P. Jeanmart	February 10, 2017
1.6	Removed mandatory recording of complaints in IAM tool in §2.1	S. Reemers	P. Jeanmart	January 17, 2017
1.5	Added link to website complaints and appeals policy "CER Technical Director" replaced by "CER Accreditation Manager" Amended Appendix 4 FSC: replace Global Coordinator by FSC Technical Expert, §2 and 3 Amended Appendix 2 – SA8000 services to include references to SAAS Procedure 201A:2015	S. Reemers	P. Jeanmart	December 19, 2016
1.3	Added instructions for Aerospace Series – Appendix 5	T. Douce	P. Jeanmart	May 30, 2016
1.2	Updated instructions for ISO TS 16949	A. Mihalova	P. Jeanmart	April 27, 2016



Website > About Us > Our business > Certification > About Us
Bureau Veritas Certification Policy > Customer Appeals and Complaints Management
http://www.bureauveritas.com/home/about-us/our-business/certification/about-us/default_about_us_content
<http://www.bureauveritas.com/home/about-us/our-business/certification/about-us/complaints-management>

CER MS > Procedure "Confidentiality"



Bureau Veritas Website <http://www.bureauveritas.com>



Complaints Register

1 Scope

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.

A review of appeal and complaint process is done during annual Management Review.

This Complaints and Appeals Procedure is public and available for external people on Bureau Veritas websites, translated in local language for local websites.

The appendices define additional instructions for the following products:

Appendix 1 - Climate Change disputes

Appendix 2 - SA8000 Services

Appendix 3 - IATF 16949

Appendix 4 - FSC Services

Appendix 5 – Aerospace

Appendix 6 – ASC Farm

2 Common process for both complaints and appeals

2.1 Acknowledgement and Record

Upon receipt, complaints and appeals are acknowledged to sender within five working days, unless otherwise specified in Appendices.

- They shall be recorded in QESIS; the Recipient of the complaint is either the person who received it directly or the one who entered the information. They are assigned to the validator who will determine the severity and decide actions according to this rating (see corrective actions section for details).

For complaint and appeal received from a complainant or appellant, which is not a BVC client, 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.

This process is subject to requirements for confidentiality.

2.2 Responsibility

Personnel who investigate complaints and appeals shall be different from those who carried out the audits and made certification decision, without discrimination against the appellant or complainant.

- If LTM was involved, then a person, internal and independent, shall be appointed

- If LTM was not involved; he or she can carry out the investigation.
- If an appeal concerns one scheme managed by an ICC/Hub, the investigation must be conducted by ICC/Hub, in cooperation with the Head-office and the local country.

Unless otherwise specified in appendices, LTM is the default channel for complaints and appeals. CER Accreditation Manager is notified depending upon severity and is responsible for Complaints/received at I&F TQR. For Complaints/Appeals received at SSC, it is managed by the Accreditation support manager.

Accreditation Managers are informed of complaints related to their product, and shall make sure specific requirements are met.

In case of a critical risk (possible litigation, insurance declaration, court summons, loss of image, accreditation) the complaint is transferred to regional or I&F Division legal contact.

2.3 Resolution process

The resolution process includes the following steps.

- Investigation, including business impacts and analysis of the situation,
- Structured response (root cause analysis, correction, corrective action), if the severity is rated high (see corrective actions)
- Implementation of correction and corrective action,
- Information to the client of findings and actions taken,
- Monitoring of results: check if the solution is implemented and effective,
- Record and traceability of documents,
- Follow up on sustainability of results and of resolution.

The timeframe for resolution is four weeks, unless otherwise specified in appendices. However this may be affected by responsiveness of the client or other third parties.

The closure timeframe in QESIS for CAPA associated to high severity rating is 90 days, after which escalation process is started.

Some products require additional instructions, defined in appendices.

3 Appeal process

Appeals are dealt at the level where decision making was done (Critical Location, Hub, ICC).

Appeals related to QHSE schemes are communicated to CER Accreditation Manager, and included in the preparation of BVCH Impartiality meeting.

See appendices for specific Appeal Panels.

4 Complaint process

Complaint can be written (Formal Letter, Email, Website) or verbal (Phone Call, Feedback during sales visit or audit).

The process of management of the complaints registered in our Website is the following:

- The acknowledgment of the complaint is done automatically
- On HO level, the dispatch of the email is done. If this is a complaint, this is transferred to a generic mailbox (groupqhseinbv@bureauveritas.com)
- Then the complaint is transferred to the QHSE manager concerned for investigation and actions.

Complaints are handled at contracting entity level. An audit may be initiated to proceed with investigation, and the client shall be notified with reasons for the audit.

4.1 Timeframe

An initial response shall be made to the complainant within five working days, unless another specific timeframe is defined in Appendices.

4.2 Responsibilities

Certification Manager is responsible overall for the effective management of the complaint and shall

- Consider customer feedback
- Take vital role for the corrective action

Local Technical Manager (LTM) is the main person involved in the resolution of the complaint and shall

- Consider customer feedback and initiate corrective action for the complaint
- Record and maintain the customer complaint in the BVC tool
- Take vital role for the corrective action
- Communicate the action taken to complainant, if not previously involved in the subject of the complaint.
- Ensure the effectiveness and timely manner of customer complaint process

All sector specific databases shall be updated with necessary records in stipulated timeframe.

On case-by-case basis, BVC, the Complainant and the Client shall decide if information needs to be made public. There has to be formal authorization from Complainant and Client when the decision is to make the complaint public.

Any instances where failure to publicly disclose the complaint could affect other stakeholders, should be made public.

Examples of these instances are complaints about:

- Defects that could have catastrophic consequences (injuries, death, etc.);
- Failures in environmental management systems that could cause severe damage to environment and stakeholders;
- Quality of food products; etc.

The decision on making the complaint public or not shall be recorded.

Appendix 1 - Climate Change disputes

CDM accreditation standard, Version 06.0, 14.2

1 Disputes

A dispute is a disagreement between a DOE and a client, regarding the DOE recommendation, and / or decisions made.

The procedure consists of the following steps:

- Acknowledgment receipt is sent to the disputant
- Upon receipt LTM gathers and verifies necessary information in order to evaluate validity of the dispute,
- LTM investigates and decides what actions are to be taken
- Results of investigations are communicated to the disputant in an appropriate time.
- Appropriate correction and corrective action shall be taken.

Persons engaged in the disputes handling process are different from those who carried out the validation, verification or certification activities.

Disputes and subject of disputes shall be kept confidential.

In case the appellant is not satisfied with the appeals panel decision, appellant has the option of making a complaint to the concerned accreditation body.

Copy of Dispute procedure shall be made available to the client on request

Complaints related to Climate Change, received from a customer, certification body, or an auditor for CDM/GS/VCS activity are recorded in QESIS with the respective country product manager being the primary contact and CDM Quality Manager as an additional contact.

2 Legal records

BV India Legal Department maintains a record of judicial processes pending against BV India , as well as information of any judicial cases held in the past.

If the subject matter of a judicial process pending, or instituted against BV India, is such that it is incompatible with its functions as a DOE, BV India shall promptly report the matter to UNFCCC secretariat.

Appendix 2 – SA8000 Services

SAAS Procedure 201A:2015

In addition to the company's system to redress complaints, BV and SAAS headquarters provide two additional levels where workers or interested parties can file complaints.

Auditors shall confirm that workers and other interested parties understand and have access to all hierarchy levels of the complaints and appeals process, and that workers are trained in how to use that access.

1 Company Level

Complaints can be filed directly with the factory in question, and may be resolved without the involvement of third party auditors. SA8000 companies are required to establish a complaint procedure that provides workers the option to file a complaint anonymously. Companies are encouraged to establish suggestion boxes or a free mail-in system to facilitate workers expressing their concerns. These complainants shall be able to lodge a complaint anonymously. If names are given, no repercussions shall result. This may encourage an internal discussion and resolution prior to, or instead of, a formal complaint.

The company's Social Accountability Manager shall ensure there is a confidential, accessible and free system for workers to lodge complaints or appeals regarding the company's conformance to SA8000. Also, the corrective Action taken to rectify the complaint shall be communicated to the workers filing the complaint or, in cases of anonymous complaints, to the worker-elected SA8000 representative. In companies where a trade union is present, trade union representatives shall be involved in the complaint processing and settlement procedures.

In some cases, workers may feel the need to take their complaint to the certification body. Such cases include situations where: a) the complaint resolution is not satisfactory to workers; or b) workers feel too intimidated to lodge a complaint directly with management.

2 Bureau Veritas Level

If the company's complaint hierarchy does not satisfactorily address and resolve complaints, workers have access to the appeals procedure, enabling them to bring an appeal before local certification entity that verified the company's compliance with SA8000. Workers' ability to file an appeal shall not rely on their meeting auditors during surveillance visits.

The mechanism for receiving complaints and appeals from workers and interested parties is described also in the General Condition of Services. The following information is given to client and other interested parties:

- address, phone , fax, e-mail of local certification entity
- time for BV reply and action: 30 days

The auditor shall verify that this mechanism and information are known to workers and other interested parties, during SA8000 audits. Local certification entity investigates and sends records of verification details to ICC.

Interested parties including workers unions, trade unions and NGOs can appeal the decision to certify a facility, if it presents objective evidence of serious violation of any element of SA8000.

For example: a community group with evidence that workers are being fired for unionizing could appeal against the company's certification by contacting BVC that approved the certification.

BVC local office records the complaints/appeal, investigates and sends the details to ICC for further actions, (if any) are warranted. ICC may decide to conduct unannounced audits and/or off-site interviews with workers to assess the situation in a more objective way.

All such complaints are dealt as defined in the SAAS procedure 201A:2015 Clause No. 1.13.1

3 SAAS - Accreditation level

Any interested party can also file a complaint or appeal with SAAS about accreditation of Bureau Veritas. The complainant however, shall first seek to exhaust the complaints and appeals process at the company and certification body levels.

All such complaints will be dealt as defined in the SAAS Procedure 201A:2015 Clause No. 1.13.2 and 1.13.3

Appendix 3 - IATF 16949

IATF Automotive certification scheme for IATF 16949, 5th Edition, 2.9

Appeal decision shall be done by the Appeal Committee with involvement of Accreditation Manager, an independently assigned POV or Technical advisor and CER Technical Director.

For unusual cases, the Appeal Committee will ask another independent POV to challenge the Appeal committee decision and in case of any remaining doubt, a clarification is asked to IAQB. Timing if a major nonconformity is appealed, BVC appeal committee to meet within 10 days to provide first feedback to the client.

- Appeal Committee reviews the case, to make a decision based on appeals and reports submitted by Technical Manager
- Appeal Committee decision is communicated to appellant. It shall be noted that this decision is absolute and final.

The submission, investigation and decision on appeals do not result in any discriminatory actions against the appellant.

Upon request, BVC can inform the appellant that he or she can question decision of Appeal Panel, by raising same appeal to Accreditation Body.

Detailed process is described below:

1. Receipt of Appeal from Client / Country to IATF Accreditation Manager / SSC
2. IATF Accreditation Manager request SSC to initiate independent POV Review
3. SSC to assign the file to independent POV by email, update Appeal LOG and Raise QESIS incident.

Important Note: Assign Validation to IATF Accreditation Manager.

4. Independent POV to review available evidence and provide decision - Submit decision to SSC by email
5. SSC to communicate decision received from independent POV to IATF Accreditation Manager by email.

Important Note: SSC to ensure POV decision has been received for all NCs for which Appeal has been raised

6. IATF Accreditation Manager to initiate meeting of the Appeal Committee to discuss the Appeal and independent POV decision
7. If Appeal is Accepted

- IATF Accreditation Manager to inform Country with justification and request Country to take actions. Country to request auditor to revise audit report, share it with the client and update the same in ACTIS - Creation of CAPA in QESIS by IATF Accreditation Manager
- Country to inform SSC / IATF Accreditation Manager once updated audit report is uploaded in ACTIS
- SSC to ensure IATF database has been updated accordingly & Update Appeal Log.

Important Note: SSC to ensure clearly in comments section of the IATF database why this change was made

- Country to ensure they update Root cause & corrections / corrective actions in QESIS within 80 days from initiation of QESIS incident and also communication of appeal committee decision to the client is to be uploaded in QESIS
- TQR Quality Manager to review the root cause and corrective actions in QESIS submitted by country and close the incident if acceptable.

8. If Appeal is Rejected

- IATF Accreditation Manager to inform country with justification on why the Appeal was rejected. Request Country to inform Client and update incident in QESIS.
- Country to upload evidence of communication to the client in QESIS and close incident in QESIS.
- SSC to update Appeal Log with the Final Decision.

Appendix 4 – FSC Services

1 Filing

Bureau Veritas global website, in English, and local certification entities' websites, in local languages, explain how to file a complaint and an appeal.

FSC complaints and appeals are filed online through the form "Complaints and Appeals Management for FSC Certification". Hard copy of the online form is made available upon complainant and appellant's request. Both the policy and the online form are available in local languages.

Complaints and appeals are acknowledged to sender within two weeks. Initial response to the client includes a proposed course of action, within two weeks. Information is sent to the complainant(s) regarding evaluation the complaint and or appeal.

2 Responsibility

FSC Hub Manager, CER Accreditation Manager and Global Accreditation Coordinator are informed of all FSC complaints and appeals.

Timeframe for resolution of both complaints and appeals is three months.

FSC	Complaint	Appeal
Contact client	LTM	FSC Hub Manager
Registration	LTM	I&F TQR – Forestry
Decision	LTM	I&F TQR FSC Technical Expert
Support	FSC Hub Manager	I&F TQR – Forestry, FSC Hub Manager and LTM

3 Appeal Panel

All the appeals are managed directly by the I&F TQR FSC manager.

The monitoring of all the appeals is made using the file "FSC Appeals monitoring", and managed by I&F TQR.

4 Discrimination

The submission, investigation and decision on appeals and complaints shall not induce any discriminatory actions against the complainant or appellant.

5 Appeal process

If the issue was not resolved at the end of the complaint procedure with Bureau Veritas Certification, the complainant is invited to refer it to FSC's dispute resolution process published in FSC International website (<https://ic.fsc.org/>).

1 Complaints

Complaints related to Aerospace certification scheme, coming from a customer, certification body, OASIS feedback or an auditor, for Aerospace activity are recorded in QESIS with the ICC Operations Manager being the primary contact and International Aerospace Business Director as an additional contact.

The procedure shall ensure:

- All requests for corrective action are responded to within 30 calendar days from receipt of complaint; all feedback received is reviewed and, if response requested, the response is provided within 30 calendar days from receipt of complaint;
- If the CB determines that a short notice audit is necessary, this audit shall be completed within 90 calendar days from receipt of the complaint; and
- An effective corrective action process that provides for containment activities, conformance to the applicable standard is re-established, completion of root cause analysis, corrective actions addressing all root causes, and a completion date for the implementation of all corrective actions is defined. The CB shall be responsible for the resolution of all complaints. Complaints that cannot be resolved by the CB shall be referred to the AB.

2 Appeals

An Appeal decision shall be made by the Independent Appeal Panel/individual specifically agreed to deal with the appeal with the support and involvement of the ICC Operations Manager. The person conducting the appeal must be an independently assigned POV or Technical advisor and CER Global Accreditation Manager. For unusual cases, the Appeal committee will ask another independent POV to challenge the Appeal committee decision and in case of any remaining doubt, a clarification is asked to IAQB. Timing if a major nonconformity is appealed, BVC appeal committee to meet within 5 days to provide first feedback to the client.

- Appeal Panel reviews the case, to make a decision based on appeals and reports submitted by ICC Operations Manager
- Appeal Panel decision is communicated to appellant. It shall be noted that this decision is absolute and final.

The submission, investigation and decision on appeals do not result in any discriminatory actions against the appellant.

Upon request, BVC can inform the appellant that he or she can question decision of Appeal Panel, by raising same appeal to Accreditation Body.

3 Timeframe

Requests for corrective action are responded to within 30 calendar days from receipt of complaint.

If response to feedback is requested, the response is provided within 30 calendar days from receipt of complaint.

If a short notice audit is necessary, this audit shall be completed within 90 calendar days from receipt of the complaint.

Appendix 6 – ASC Farm

ASC Certification and accreditation V2.1

All formal and informal complaints, appeals, concerns or objections related to BV ASC Farm activities, a certificate holder or a certification applicant are kept on file and logged in the FORM 4.

1 Complaints

The complaint is managed by the BV entity, and if necessary by the Hub manager, or the Food accreditation manager.

BVC encourages the complainants to submit copies of their complaints to directly to the ASC at:

a) Email: certification@asc-aqua.org

b) Mailing Address:

P.O. Box 19107

3501 DC Utrecht

The Netherlands

c) Office Address:

HNK Utrecht Centraal, Arthur van Schendelstraat 650

3511 MJ Utrecht - The Netherlands

2 Appeals

An Appeal decision is managed by the hub manager, or the food accreditation manager if needed.

In case a disagreement appears during the management of an appeal, ASC can be contacted in order to clarify the decision taken by BVC.

3 Submission during the annual surveillance assessment

The form 4 updated is sent no less than thirty (30) days prior to the annual surveillance of BVC by the Food accreditation manager to the ASC and the ASC appointed accreditation body.

4 Suspension or withdrawal of BVC ASC accreditation

In this case, all logged issues are sent to the ASC appointed accreditation body and ASC as part of the suspension or withdrawal process using FORM 4 no later than the final date of accreditation.