

## Appeal and Complaints Procedure

### Appeal, complaints Control

1. The procedure explains the appeals and grievances of the client organization, the activities related to Third-Party processes, evaluation of various techniques, opinions and complaints of the interested parties of DGCS Certification and Training program and several relevant examination activities.

### 2. Related Procedure

No.	Name of Procedure	Main Activities	Documentations
1.	Receiving the Complaint/Appeal	<ul style="list-style-type: none"> <li>• The appeal or complaint can be received through telephonic conversation, Email, or letter.</li> <li>• Every concerned person must be notified via a prescribed mode of communication that has made the complaint or going to be affected by it.</li> <li>• The details of the complaint and the related parties must be there on the Customer Complain Sheet. The Director or Operation Manager must take up the matter afterward.</li> </ul>	Appeal List or Dissatisfaction of the Customer or the Complaint Paper of the Customer.
2.	Identifying the Nature of Complaint/Appeal Received	The next step after receiving the complaint is to analyze it. The responsibility for verification rests with the personnel having the authority of handing the same. Thus, his role is significant for the certification purposes. (It may include Management System of DGCS, Personal Training, Issue of Certificates, Third-party Inspection, etc.). You can refer to the points 4 to 6 for the Appeal Handling requirements	
3.	Appeal Not Related To Certification	<ul style="list-style-type: none"> <li>• If the complaint or appeal does not relate to any of the certification activity, the Director or the person-in-charge will</li> </ul>	Appeal dealing list or dissatisfaction of any customer.

		deal with the matter and prepare the necessary report. After noting the final result in the customer file, the matter will be closed. However, report can be verbal in this respect.	
4.	Dealing Of The Investigation Team	<ul style="list-style-type: none"> <li>• There is a specially trained investigation team of DGCS. Training, Audit, making the certification decisions, or have some connections with the appeal are different from the Investigation persons.</li> <li>• The Customer File must contain the records of such appeals and their respective investigation results.</li> </ul>	Appointment of Personnel for forming the Investigation Team
5.	Complaint/Appeal Handling Process	<ul style="list-style-type: none"> <li>• Appropriate actions are essential while dealing with concerned appeals or complaints and accordingly, the Customer File must contain all the records for the examinations and other related measures.</li> <li>• Please notify every related person in connected with the complaint raised about the results and actions takes with respect to the appeals/complaints.</li> </ul>	Report of the customer complaint or appeal
6.	Satisfaction of the Customers	<ul style="list-style-type: none"> <li>• DGCS has the intention that the interested parties or customer, being the concerned complainant or appellant, are satisfied with results of the investigation.</li> <li>• If the concerned parties are not satisfied with the results, then DGCS team members will continue the investigation</li> </ul>	

		<p>process.</p> <ul style="list-style-type: none"> <li>On customers being happy and satisfied with the final decision, DGCS will close the examination and notify the customers in written. Moreover, it will also take written consent from the appellant/complainant.</li> </ul>	
7.	Response Time	<ul style="list-style-type: none"> <li>After receiving the complaint, Director must get the intimation first to deal with the matter and note the details in the Customer File.</li> <li>The team members of DGCS must attend the appeal/complaint received within 72 hours from the time of receipt.</li> </ul>	Appeal dealing report or Customer Dissatisfaction instances.
8.	Process of Arbitration	<ul style="list-style-type: none"> <li>If a customer is not satisfied with the results and decision of the complaint or appeal raised, he can submit an addition appeal within 30 days from the date of receiving the notification of Complaint Handing.</li> <li>The arbitrator is vested to pass orders on this appeal raised, the concerned authorities being DGCS, etc. Everyone connected with the case must abide by the instructions of the arbitrator.</li> </ul>	

### **3. Decisions On The Respective Appeal/Complaint and the Responsibilities**

The primary responsibility is to deal with the complaint and appeal vests with the Director of DGCS. The organization undertakes to decide on the appeal concerning various levels. You can find out the detailed procedure at the official website of DGCS at <https://dgcsindia.com/>.

### **4. Appeal or Complaint Handling Policies of DGCS**

As per the policies of DGCS, the responsibility for carrying out all the activities related to any complaint or appeal will be taken by the respective authorities of DGCS. The concerned persons must differ from the team members conducting the inspection activities or audit. Moreover, they must not be concerned with the certification activities of the respective appeal or complaint.

After submitting the decision or investigation report, DGCS will not have any authority against the Customer or complainant to take disciplinary action.

### **Considerations of DGCS Members Concerning Appeal/Complaint Raised**

1. DGCS will conduct the verification process to examine the accuracy of the appeal and gather all the related information to carry it smoothly.
2. After receiving the appeal/complaint, the DGCS team member will frame an outline for carrying out further investigation. Moreover, they will decide the respective actions to be undertaken and the detailed process to carry out the same.
3. It is the duty to ensure that corrective action has been taken when necessary.
4. Maintain proper documentation and retain the track records for the actions taken for various complaints/appeals.

### **5. Detailed Handling Process For Dealing With Complaints/Appeals**

The receipt of any complaint or appeal should be immediately addressed but recording the same on the Customer File on the same day on which it is received. Furthermore, only the Director can decide on these appeals or complaints.

The concerned person of DGCS having the responsibility for the necessary activities on receipt of the complaint must notify the respective appellant or complainant confirming the receipt of the said complaint/appeal. They will also get the details for resolving any issues arising in respective cases.

### **The handling process is described below**

An investigation is vital for passing correct orders for the complaints or appeals received. Hence, in this respect, the DGCS team must gather all the necessary data and information, records, and related documents, to examine every instance. The investigation will also consider the results and findings of any previous examination on the said matter. Moreover, only an unrelated party, who does not have any interest in the complaint/appeal, can only have the responsibility for deciding on the concerned, matters.

### **Subsequent to Investigation**

- When the investigation has no direct relation with the DGCS certification activities, or the Customer for Training or Inspection, the respective team members will communicate the matter to

the concerned Customer. Furthermore, they will implement all the necessary actions to resolve the issues, if any.

- In case the investigation is connected with certification, or other training program or inspection, the investigation report must be submitted within 72 hours. However, before communicating the decision to the Applier/Complainer, the team must hold a consultation with the Impartial Committee Members.

- The department must get the notification about the receipt of complaint or appeal having a close link with Training/Inspection or certification. The dealing must be completed within three days. The file will be closed only after satisfactory comments from the Customer.

### **Notifying the Complainer or Applier**

- The investigation team of DGCS will first communicate the receipt of the complaint/appeal to the concerned person and also elaborates on the progress of the case

- The team members will notify them about the corrective measures taken on respective issues to the Applier or Complainer.

- The decision should be communicated to the Applier/Complainer for their acceptance.

- The team members investigating the case will intimate the final order, and to the Customer's satisfaction, they will ask for their acceptance for the closure of the case. The records must be there in AUD-F-23.

### **Time Limit to Close the Investigation**

Thirty working days is the prescribed time limit for completing the investigation process and closing the Complaint or Appeal.

If the process takes longer than 30 working days, the Director must get intimated about the same. The proper justification should be given after recording it in AUD-F-17.

A further time limit of 30 working days is allotted to resolve the matter if the Customer is unsatisfied with the decision.

## **6. Process of Arbitration**

In case of dissatisfaction on the part of the complainer/applier, they have the chance to raise a further appeal in front of the arbitrator. It must be presented within 30 days from the determination of Complaint Handling.

## **7. Complaint About Certified Client**

The DGCS authorities will ask for a suitable response from the Customer after the investigation is over. They need to provide their opinion about the corrective actions taken by Auditor. If there is any complaint against the Certified Client, DGCS will look into the matter and try to resolve the issue for both parties. Moreover, the team will open the resolution for public view.



## **8. User of Certification Raises Complaint**

The Complaint Handling Process, as described above, must be followed in case of any complaint from Certification users.

## **9. Confidential Information**

DGCS has respective confidentiality policies and procedures. The investigation team must strictly abide by all the rules, ensuring appeal or complaint or the actions taken thereon will not be leaked.