



1.0 Purpose

To lay down a procedure for timely, independent and effective resolution of appeals, complaints and disputes brought before LMS by customers or other parties about the handling of certification or any other related matters.

2.0 Scope

All appeals/ complaints brought before LMS by customers or other parties.

3.0 Responsibility And Authority

Director/Scheme Manager

4.0 Policy & Procedure

4.1 LMS endeavor to action on any claim of dissatisfaction that is brought to its attention by any interested party. Expressions of dissatisfaction have been categorized as follows:

- i. **Appeal:** Various interest parties propose for resolution of problems and different opinion related to LMS' criteria, procedure and conducting of certification.
- ii. **Complaint:** Various interest parties formally submit their dissatisfaction related to LMS' criteria, procedure, conducting of certification and LMS' resolution of appeals, in writing.

4.2 Dealing With Appeal And Complaint

Director ensures that all interested parties are made aware through appropriate means such as contracts, meetings, etc, of the existence of the appeals/complaint procedure.

4.2.1 Appeal

In case of dissatisfaction with resolving a complaint or appeal, also the LMS has defined and developed the customer adequacy team to address the voice of the customer and resolved the customer complaint Annexure-A, In case of dissatisfaction with resolving a complaint or appeal, also the rejection, restriction or suspension the certification, the client can appeal. This appeal has to be presented within 30 days after **LMS** announces its decision.



Appeals can be recorded in Non conformance form 0810 by Scheme Manager or submitted directly on webpage directly or discussed with the MD to take necessary action. The appellant is informed about the LMS response. If **LMS** agrees to the appeal, it shall accept the new decision. If LMS decides to reject the appeal, it will be of the same effect as the original decision, with the notification that the procedure of another internal appeal is not possible. Each party bears its own costs connected with this procedure of an internal appeal.

The procedure in dealing with appeals/ complaints consists of following steps.

The appellant files an appeal with the Lead Auditor.

The lead auditor makes reasonable efforts to resolve any issue onsite. If the audit team leaves the assessment site with the appeals unresolved, the Lead Auditor or appellant records the appeal in *Appeal and Complaint Form* and submits with his/ her (lead auditor) response within 30 days to Scheme Manager.

Scheme Manager reviews the form submitted by lead auditor and responds within 30 days to the appellant.

If the appellant is not satisfied with the response from the Scheme Manager, the appellant may appeal to the DIRECTOR.

On the receipt of the appeal, DIRECTOR constitutes an Appeals committee as per D 11.

The appellant has the right to agree to the composition of the Appeals Committee and may challenge its composition.

The Appeals Committee meets and makes its recommendations with Non conformance form 0810 within 30 days to DIRECTOR. DIRECTOR decides and conveys its decision within seven working days.

The appellant may decide to take the appeal to binding arbitration and agrees that this is the final action that can be taken.

Through the whole steps for handling appeal, complaint and dispute, the appellant can formally present its case. The appellant is provided a written statement of the appeal findings including the reasons for the decisions reached and of the result with grounds of each step.

4.2.2 Complaint

Complaint can be recorded in *Non conformance form 0810* by Scheme Manager or submitted directly on webpage directly or Scheme Manager records all complaints in *Non conformance form 0810*. If the complaint is against the Scheme Manager, DIRECTOR records it. Scheme Manager reviews the complaint to ensure that complaint is supported by sufficient objective evidence and is satisfied that all attempts have been made to resolve the issue at the appropriate levels. If complaint is found valid for consideration, Scheme Manager analyses and makes follow-ups with complainant and complainant. The Scheme Manager requests the complainant to respond within 25 days on the complaints with details of the action taken/ proposed considering the immediate and long-term aspects. All related

correspondence is kept in complaint file. Once the Scheme Manager is satisfied that the matter is resolved, he/ she ensures that the complainant is advised of the outcome and complaint is closed. If the Scheme Manager cannot resolve the issue, it is referred to DIRECTOR. Matters that cannot be resolved by DIRECTOR and/or if a complainant is dissatisfied with the outcome of the CAB's complaints handling process, the complainant may refer the complaint to JAS-ANZ/DAC or concerned Accreditation Board;

(ii) a commitment to a timely and effective closure of complaints. Complaints that are not closed out within a timeframe documented and agreed with the complainant shall be escalated to the CABs top management to ensure that the complaint receives the appropriate priority. Complaints that are not closed out within 3 months of that agreed timeframe shall be brought to the attention of JAS-ANZ/DAC or concerned accreditation board.

5.0 Corrective/Preventive Action

DIRECTOR ensures that appropriate corrective and preventive action (s) is/ are taken as quickly as practicable and recorded in *Corrective Action Record on non conformance report* doc no 0810 Non conformance report.

All corrective/preventive actions are reviewed and evaluated for their effectiveness in the Management Review.

The record of corrective/preventive actions is maintained and includes followings:

- (1) Investigation of the cause of the issue.
- (2) Selection of the main cause and the basis of evaluation and selection
- (3) Prevent measures of recurrence of non-conformance.
- (4) Confirmation of the effectiveness of corrective action.

6.0 A Complaint is A Form Of Dissatisfaction By A Person or Organization to LMS Certification And May Be Related Tt Its Activities, Person And Where A Complaints Expect A Response.

Complaint can be made by any person or organization against the following:

1. Operation and / or procedure.
2. Auditors, staff of LMS Certification.
3. Audit process followed by auditor.
4. Misuse of certification status either in the scope or in the logo.
5. evaluating and mitigating any adverse security incidents and their associated impacts.
6. ensuring satisfactory interaction with other components of the ISMS.



7. notification to appropriate authorities if required by regulation.
8. restoring conformity.
9. preventing recurrence.

Steps For Complaint Process Are As Follows :

All dissatisfaction reported by users of third party certification (clients of certified organization) is considered complaints.

Process for complaint handling is explained in **General Terms & Conditions** provided to client.

All complaints relating to management system of certified clients are forwarded to LMS.

Upon receipt of complaints LMS along with Scheme Manager - Registration Services confirms whether complaint relates to certification activities that LMS Certification is responsible for, by examining certification documents like assessment reports.

Once the validity of complaints with respect to certification activity is established, then it is logged in **Complaints Log** and **Complaint Handling Report** is updated by Scheme Manager - Registration Services.

The complaint is referred to certified client under complaint, through a forwarding letter by Manager - Registration Services and its response is requested along with evidences to support its version.

Confidentiality of complainant & subject of complaint shall be maintained by LMS Certification.

On receipt of response of certified client, an independent person is assigned to review the response and make recommendations to LMS for further course of action. On the basis of recommendation LMS decides the action it may be planning the special audit for further investigation, or raising the non conformance on the basis of information available, or closing the complaint if he finds clients response satisfactory & conclusive.

If LMS is not independent to the subject matter than the Advisory Council Member for that particular client industrial or economic sector decides the further course of action as above.

Details of decision recorded in complaint investigation report by Manager Registration Services and approved by LMS. Complaints Log shall also be updated with the decision remarks.

If decision calls for a corrective action, proposed corrective action is recorded in **Complaint Handling Report**.

Follow up of corrective action & verification of effectiveness of corrective action is tracked by Manager - Registration Services.