

Omresearch & Testing Laboratory Pvt. Ltd.		Procedure Manual	
Procedure Name	Procedure for Appeals and Complaints		
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Procedure for Appeals & Complaints

1.0 Purpose:

To document, establish, implement and maintain the system for addressing Appeal, Complaints and Disputes received by ORTL as per requirements of ISO/IEC 17020:2012 and other applicable international standards for inspection bodies offering inspection services.

2.0. Scope:

This procedure is applicable to all appeal, complaints and disputes received by ORTL related to its third-party inspection services.

2.0 Responsibility:

CEO

3.0 Procedure:

4.1 Appeals

4.1.1 Any client can make an appeal to the CEO of ORTL in respect of the following,

- (a) Non acceptance of client's application for third party inspector.
- (b) Any report/ inspection report or test certificate issued by ORTL.

4.1.2 ORTL records all appeals in format ORTL-I-FM-16 and acknowledges the receipt of the appeal. All appeals shall be addressed within 30 working days from the receipt of the appeal and ORTL provides the client with progress reports and the outcome.

4.1.3 All appeals are reviewed by the appeal panel constituted by CEO for each appeal. The appeal panel contains at least two members from the ORTL's Inspection Engineers panel who have not been part of the inspection and also not involved in inspection decision or involved in the subject of the appeal.

4.1.4 The appeal panel investigates the appeal by looking into the records and / or talking to the appellant and ORTL and shall take a decision taking into account the results of any previous such appeals.

4.1.5 Based on the decision of the appeal panel ORTL initiates appropriate correction and corrective action and the same recorded in ORTL-I-FM-16, register for complaints, appeals & disputes.

4.1.6 ORTL is responsible for all decisions at all levels of the appeal handling process. The decision on the appeal is reviewed and approved by CEO and is communicated to the client.

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This completes the appeal process and ORTL also informs the appellant at this time about the closure of the appeal.

4.1.7 ORTL ensures that the submission, investigation and decision on appeals do not result in any discriminatory action against the appellant.

4.1.8 The right of the client to appeal against any decision by ORTL is communicated at the time of sending the quotation through document ORTL-I-FM-39.

4.1.9 Information about appeal handling process of ORTL is made publically available through web site and / or document ORTL-I-QP-07

4.2 Complaints

4.2.1 Information about complaint handling process of ORTL is made publically available through web site and / or document ORTL-I-QP-07. *The complaints handling process includes the following*

An outline of the process for receiving, validating, and investigating the complaint and for deciding actions to be taken in response to it.

The CEO (Inspection) is responsible for gathering and verifying all necessary information to validate the complaint.

4.2.2 The complaint can be made to the CEO by the client or any other interested party in writing giving details of the complaint. The complaint shall either relate to the inspection activities of ORTL or to it's client and their activities.

4.2.3 The complaints received are recorded in ORTL-I-FM-16 and is acknowledged to the complainant. The CEO reviews the complaint to ascertain the seriousness and the genuineness of the complaint. ORTL provides the complainant with progress reports and the outcome.

4.2.4. The complaint redressal process:

4.2.4.1. Complaints about ORTL from the client or third party

- (a) Depending on the nature of the complaint, CEO decides to conduct the investigation himself or appoint a complaint panel for each complaint. The complaint panel contains at least two members from the ORTL's inspection panel who have not been part of the inspection and also not involved in any decision or involved in the subject of the complaint. Further, the complainant shall be given an opportunity to present the case to the panel in person if he so desires.

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- (b) The complaint panel investigates the complaint by looking into the records and / or talking to the complainant and ORTL and shall take a decision taking into account the results of any previous such complaints.
- (c) The details of investigation and the correction and the corrective actions identified are recorded in the complaint register. Upon verification on the effectiveness of corrective action taken, ORTL informs the complainant about the correction and corrective action taken and if the complainant is satisfied with the actions taken the complaint is treated as closed. *The final Decision on the resolution of complaint shall be taken by the CEO.*

4.2.4.2. Complaints about ORTL client from its customers or any other third party:

- (a) ORTL shall inform the client about the complaint received and ask the client to investigate the complaint and report the findings to ORTL within two weeks from the date of receiving the complaint by the client.
- (b) If ORTL does not receive any response from the client or the action taken by the client is not found effective, ORTL shall inform the client accordingly and ask for a special visit at the client site by ORTL. On confirmation from the client ORTL shall conduct a special visit as per ORTL procedure, QP-07 and investigate the complaint.
- (c) If the complaint is of serious nature ORTL shall initiate the special visit directly with the client
- (d) As its policy, ORTL doesn't disclose the identity of the complainant to the client.
- (e) If any action is needed to be taken by the client ORTL shall verify the effectiveness of such action by suitable means appropriate to the gravity of the problem.
- (f) If the corrective action taken by the client is found effective ORTL shall inform the complainant accordingly and the complaint shall then be treated as closed.

4.2.5. ORTL may decide to make public the complaint and its resolution if agreed with client and complainant.

4.2.6. All the complaints received and their status with respect to their resolution are presented in the Management Review Meeting.

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4.3 Client feed back

4.3.1 After every Inspection visit or completion of inspection job, a feedback is taken from the client in obtained in document ORTL-I-FM-17, to ORTL,

- ORTL's office responsiveness to client queries at various stages of the inspection process
- Performance of the inspection team
- Areas for further improvement

4.3.2 All the feedback received from the clients is analyzed and appropriate action taken if required.

4.3.3 The actions taken are recorded in ORTL-I-FM-17

4.3.4 A summary of feedback and the findings with corrective action taken are reviewed in MRM and (Impartiality Board) IB meeting.

4.4 Disputes

4.4.1. Any dispute arising out of ORTL's inspection activities shall be settled by private negotiations between the parties, and if this is not possible it shall be referred to arbitration as per the Indian Arbitration Act, 1996 The decision of the arbitration shall be binding for the both parties

4.4.2 Records of all the disputes are maintained and reviewed in MRM .

5.0 Records

- (a) ORTL-I-FM-16 – Register for Appeal & complaints
- (b) ORTL-I-FM-17– Feedback form
- (c) ORTL-I-FM-18 -- Special Inspection Report

6.0 References

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