

Processes for handling Appeals and Complaints

1. Application

This explanation note describes the outline of appeals-handling and complaints-handling processes related to the management system certification services the Society offers.

2. Normative references

This explanation note is published in accordance with the following requirements.

- Conformity assessment – Requirements for bodies providing audit and certification of management systems (ISO/IEC17021-1:2015 and JISQ17021-1:2015)

3. Appeals-handling process

3.1 What is an “appeal” ?

An “appeal” means disagreement with the decision of the Society on a management system certification officially expressed in writing by certified organization(s) (including applicant organization(s)) that is(are) and/or will be influenced by the decision, and subsequent, official request for re-consideration of it in writing.

Accordingly, any appeals of organizations other than certified organizations or applicant organizations can not be accepted.

3.2 Appeals-handling process

3.2.1 Acceptance of appeal and notice of it

Appeals must be submitted through written texts within 45 days from the date when a reason have arisen. Once receipt of the appeal in writing, the Society shall investigate and validate the subject of the appeal, and decide the acceptance of it. The investigation shall be made by individual(s) not previously involved in the audit and/or in the decision of the certification related to the subject of the appeal. Where the appeal is accepted, the Society shall give notice to the appellant of it. In case where the appeal is not accepted, the Society shall give notice to the appellant of it with the reason in writing.

3.2.2 Investigation and deliberation

After accepting the appeal, the Society shall convoke the Management System Appeal Committee within it. The Committee consists of members not involved in the subject of the appeal.

At the meeting(s) of the Committee, the deliberation shall be made on the result of the investigation into the appeal and subsequent action(s) to be taken. The appellant may be invited to explain the reason(s) for the appeal at the meeting of the Committee if the appellant so wishes.

3.2.3 Communication of deliberation result

The result of the deliberation of the Committee (the decision of the Committee) shall be communicated to the appellant.

Where the appellant agrees with the result of the deliberation, the Society shall give notice to the appellant of the end of the appeals-handling process.

In case where the appellant does not agree to the result, the appellant may make just one more request to the Society to re-open the deliberation at the Committee within 30 days after receipt of the result.

4. Complaints-handling process

4.1 What is a “complaint” ?

A “complaint” means expression of dissatisfaction by individual(s) or organization(s) (including certified organization(s)) with an issue related to the Society or organizations certified by the Society in writing. Specifically, the following are the issues that could be handled under this process:-

- 1) Management system certification services of the Society;
- 2) Management systems of the organizations certified by the Society.

4.2 Complaints-handling process

4.2.1 Acknowledgement

Complaints must be submitted through written texts within 45 days from the date when a reason have arisen. The Society will not respond to anonymous complaints or complaints without clear contact information.

After receipt of the complaint in writing, the Society shall investigate whether it relates to the certification activities and scopes for which the Society is responsible, and decide the acceptance of it.

Where the complaint is accepted, the Society shall acknowledge of it to the complainant. In case where the complaint is not accepted, the Society shall give notice to the complainant of it with the reason(s).

(Remarks)

- (1) For complaint(s) related to certified organization(s), a direct approach to the organization(s) in question is recommended.
- (2) A confidentiality agreement with the organization(s) may not allow the Society to give any response related to the complaint to the complainant.
- (3) The Society does not disclose any personal information without consent of the person(s) in question, but may refer the matter to the organization concerned at an appropriate time to proceed with the complains-handling process further. Any specific person of the organization concerned may be identified during the process.

4.2.2 Investigation and preparation of actions to be taken and of draft response

After accepting the complaint, the Society shall nominate the individual(s) previously not involved in the subject of the complaint, and instruct him/her (them) to investigate and validate the subject of the complaint. In case where the complaint is related to an organization certified by the Society, the Society shall refer the matter to the organization at an appropriate time in order to collect and verify all the necessary information.

The nominated individual(s) shall investigate the matter, and decide actions to be taken by the Society and a response to the complainant.

4.2.3 Communication of decision

The Society shall communicate the decision on the response to the complainant.

Where the complainant agrees with the decision, the Society shall give notice to the complainant of the end of the complaints-handling process.

4.2.4 Request of re-examination

In case where the complainant disagrees with the decision, the complainant may request the Society to re-open the investigation of the matter within 30 days after the receipt of the decision. Such a request can only be accepted if the request is accompanied with additional information, such as new findings of the fact. After receipt of such a request, the Society shall re-open the investigation of the matter and give notice to the complainant of further decision(s) in accordance with the above mentioned complaints-handling process.

4.2.5 Convocation and deliberation in Appeal Committee

If the complainant disagrees with further decision(s) based on the investigation re-opened, and requests further investigation, the Society shall convoke the Management System Appeal Committee subject to the consent of the complainant. The Committee consists of the neutral outside members previously not involved in the subject of the complainant. At the Committee, deliberation shall be made on the results of the investigation/re-investigation and on actions to be taken, and response based on the decision of the Committee shall be communicated to the complainant. This is the end of the complaints-handling process.

4.2.6 Publication of complaints

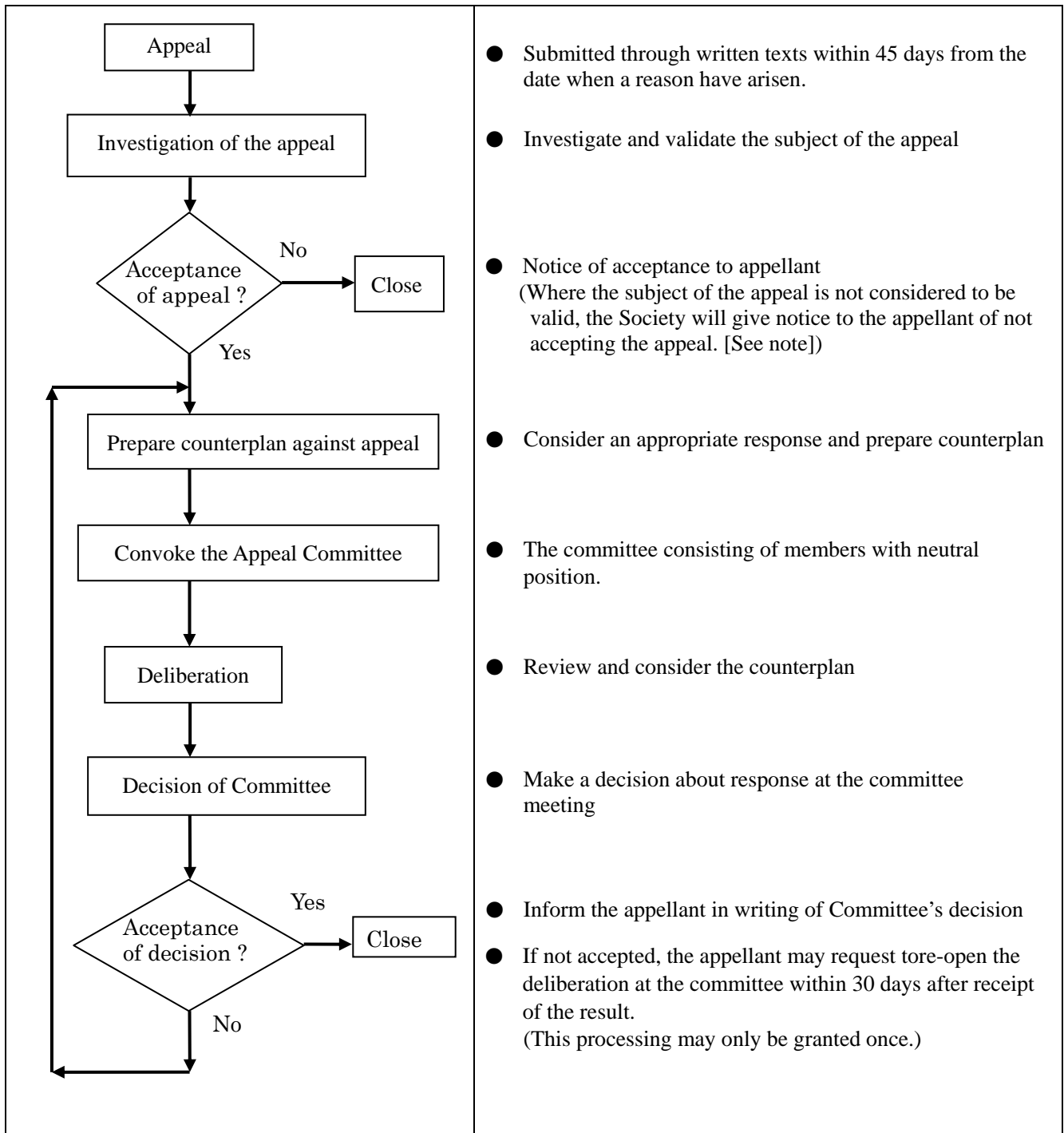
The Society shall determine, by mutual consent between the complainant and the Society, whether and, if so to what extent, the subject of the complaint and its decision(s) shall be made public. Where the complaint is for an organization certified by the Society, such a decision shall be made also in consultation with the organization.

5. Correction and corrective action

The Society shall take appropriate corrections and corrective actions regarding the appeals and complaints accepted in accordance with the actions determined by the Society to be taken.

Attachment 1

Flowchart of Appeals-handling processes

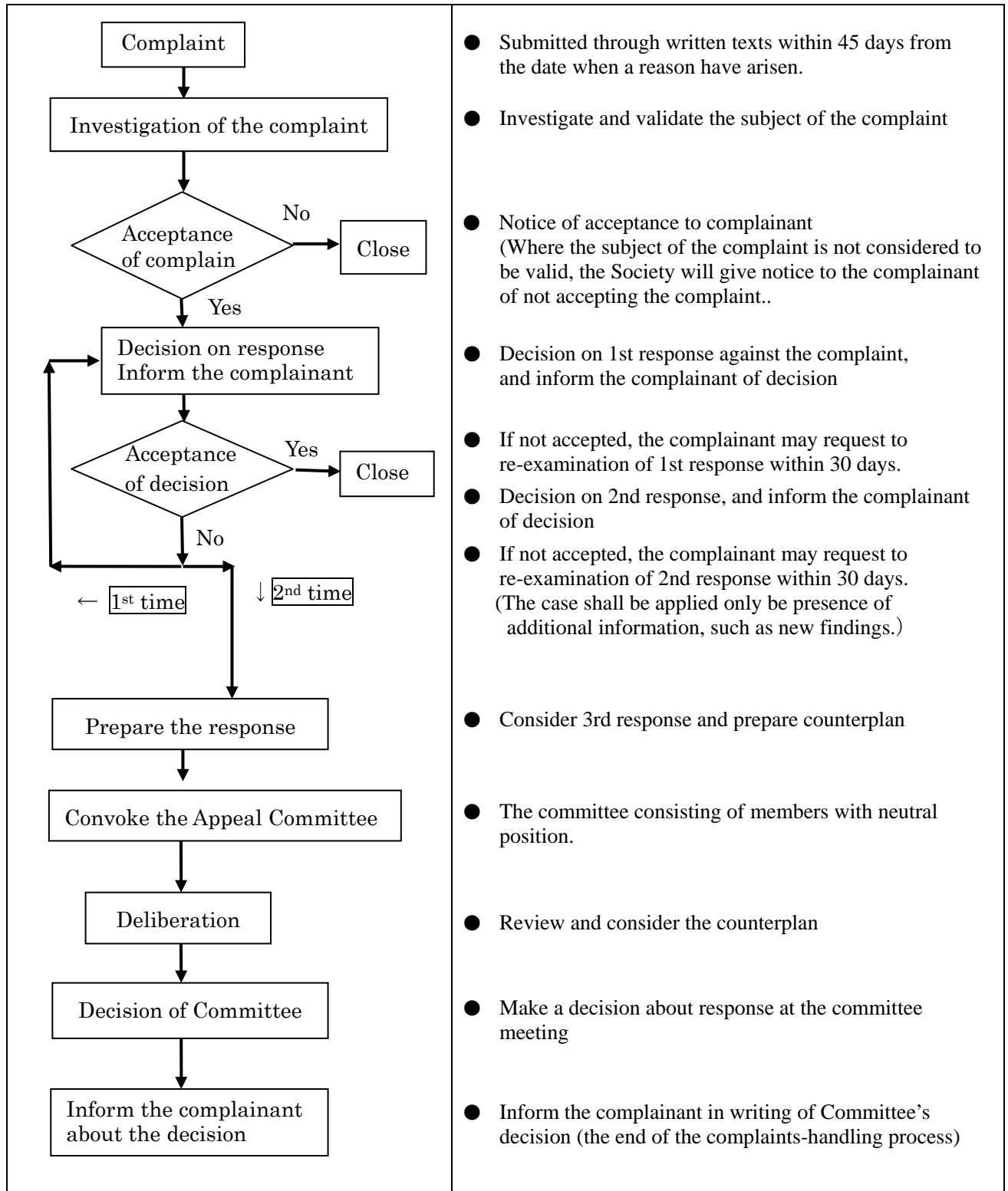


Note :The following are examples of not accepting the subject of appeal:

- 1) The appellant is not a certified organization in the Society, nor an applicant organization to the Society
- 2) The subject of appellant is apparently not related to the certification decision of the Society.

Attachment 2

Flowchart of Complaints-handling processes



- Submitted through written texts within 45 days from the date when a reason have arisen.
- Investigate and validate the subject of the complaint
- Notice of acceptance to complainant (Where the subject of the complaint is not considered to be valid, the Society will give notice to the complainant of not accepting the complaint..)
- Decision on 1st response against the complaint, and inform the complainant of decision
- If not accepted, the complainant may request to re-examination of 1st response within 30 days.
- Decision on 2nd response, and inform the complainant of decision
- If not accepted, the complainant may request to re-examination of 2nd response within 30 days. (The case shall be applied only be presence of additional information, such as new findings.)
- Consider 3rd response and prepare counterplan
- The committee consisting of members with neutral position.
- Review and consider the counterplan
- Make a decision about response at the committee meeting
- Inform the complainant in writing of Committee's decision (the end of the complaints-handling process)