

**The certification body of quality management systems “Interecoms”
of the “Certification centre of quality systems “Interecoms”**

PQS D-03-21

APPROVE

The Director of the CCQS “Interecoms”



I.V. Tverskaya

April, 02

2021

P R O C E D U R E

Quality management system

APPEALS-HANDLING PROCESS

Issue 8

**Moscow
2021**

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PROCEDURE

Appeals-handling process

PQS D-03-21, Issue 8

In substitution of

PQS-03-15, Issue 7

Approved and put into force by the Order No. 7 dated April 01, 2021

Date of introduction: April 02, 2021

1 SCOPE

This procedure sets out the purposes and process for consideration by the appeals commission of appeals submitted by the appellant (applicant or certificate holder).

This procedure is intended for the use by:

- Certification body of quality management systems;
- Appeal Commission;
- Applicants and certificate holders.

2 NORMATIVE REFERENCES

This document uses the norms and provisions of the following standards:

- ISO/IEC 17021-1:2015 - Conformity assessment — Requirements for bodies providing audit and certification of management systems — Part 1: Requirements;
- PQS D-01-21 Quality Manual of the CB QMS “CCQS “Interecoms”.

3 TERMS AND ABBREVIATIONS

3.1 Terms

The following terms are used in this procedure:

- appeal – a written protest with the decision made by the certification body;
- appellant – an organization (person) submitting the appeal;

3.2 Abbreviations

- CCQS – Centre for certification of quality systems “Interecoms”
- CB QMS – Certification body of quality management systems
- QMS – Quality management system
- IC – Inspection control (supervisory audit)

4 APPEALS - HANDLING PROCESS

4.1 General provisions

4.1.1 The purpose of the document is to establish a procedure that guarantees the appellant objectivity, impartiality, constructiveness and quickness of consideration of the appeal.

4.1.2 In case of disagreement with the decision of the CB QMS on audit (with refusal to certify the quality management system, with the results of certification or inspection control, etc.), the applicant has the right to send within a month an appeal to the Appeal Commission in writing in any convenient form.

4.1.3 The Appeal Commission is created in the structure of the CCQS "Interecoms" for objective, impartial consideration of appeals (reclamation) of applicants and certificate holders to the CB QMS.

4.1.4 Confirmation, investigation and decision making activities related to appeals shall not result in any discriminatory actions against the appellant.

4.1.5 The CB QMS is obliged to be responsible for collecting and validating all the necessary information to verify the appeal.

4.2 Requirements for an appeal

4.2.1. The appeal is submitted in writing, signed by the responsible person, whose signature shall be verified by the seal of the organization. The appeal shall include the details of the organization.

4.2.2 The appeal of the Customer of services shall contain a justification for the reasons for the Customer's objections to the decision of the CB QMS or a description of the essence of the disputed issue, it shall be accompanied by documents explaining the validity of the claims and confirming the facts contained in the appeal.

4.2.3 The appeal shall be filed no later than one month from the date of receipt by the Customer the notification of the decision undertaken by the CB QMS. The term for consideration of appeals, complaints, claims is one month from the date of registration by the CB QMS.

4.2.4 Appeals are registered in the Register of Appeals (the log form is presented in Annex 1) by the Registry group and transferred to the Appeals Commission.

4.2.5 Receipt of each appeal is immediately confirmed to the appellant in writing.

4.3 Formation of the Appeal Commission

4.3.1. The Appeal Commission is created in the structure of the Institution "Centre for certification of quality systems "Interecoms". The chairman of the Commission and its composition are appointed by the order of the Director of the CCQS. Persons who carried out the audit and made the audit decision do not participate in the appeal-handling process.

4.3.2 Commission includes the chairman and two members of the Commission who are competent in matters of QMS audit and decision-making on certification, but who did not participate in the certification activities of the CB QMS. The composition of the Appeal Commission is documented (Annex 2).

Secretary functions are assigned to one of the Commission members.

4.3.3 The composition of the Appeal Commission (from persons not related to the subject of the appeal) is determined depending on the activities of the CB QMS, on the issues raised in the appeal by the applicant, and is approved by the Head of the CB QMS. The Appeal Commission is headed by the Chairman of the Commission.

4.3.4 All members of the Commission are included in its composition and work on a voluntary basis according to the agreement (Annex 3).

4.3.5 The members of the commission sign a declaration of confidentiality of information and impartiality (Annex 4).

Meetings of the Appeal Commission are held as needed (upon receipt of an appeal).

4.3.6 Functions of Commission Members.

To consider claims (appeals) of applicants and holders of the certificates issued by the CB QMS, to certification decisions undertaken by the CB QMS.

To analyze information obtained from various sources and related to the subject of the appeal.

To hold meetings inviting interested parties.

To decide on the validity (groundlessness) of the appeal.

To inform the appellant, the CB QMS and the Committee on Impartiality about the results of the appeal consideration.

4.3.7 Responsibility

Commission members are responsible for:

- quality and timeliness of performance of the functions assigned to them;
- compliance with applicable rules, regulations, requirements established in the CB QMS, including confidentiality, impartiality, objectivity.

4.4 Preparation for the meeting of the Appeal Commission

4.4.1 The chairman of the Appeal Commission reviews the appeal, analyzes the results of previous similar appeals (if any) and, if necessary, instructs the Committee secretary to request the essential additional materials from the certification body, the appellant and other organizations.

4.4.2 The chairman of the Appeal Commission or one of the members of the Commission prepares materials for the consideration of the appeal.

4.4.3 The chairman of the Appeal Commission appoints the date, place and time of the meeting of the Commission.

4.4.4 The secretary of the Commission, as directed by the chairman of the Appeal Commission, prepares the agenda for the meeting of the Appeal Commission, a list of invited persons and notifies the members of the Commission, the appellant and invited persons in writing about the date, place and time of the upcoming meeting of the Commission.

4.4.5 The presence of the appellant at the meeting of the Appeal Commission is optional. As a rule, the audit team leader and a representative of the Certification Commission are invited to the meeting.

4.5 Conducting a meeting of the Appeal Commission

4.5.1 The chairman of the Commission reports on the content of the appeal.

4.5.2. The representative of the CB QMS justifies the decision.

4.5.3. The chairman of the Appeal Commission or one of its members reports on the content of the materials of consideration of the appeal.

4.5.4. The secretary of the appeal commission keeps the minutes of the meeting.

4.6 Deciding on the appeal

4.6.1 The decision on the appeal is made based on the consideration and analysis of all information submitted to the Appeal Commission.

4.6.2. When making a decision, information obtained from external sources and related to the subject of the appeal, as well as the repeatability of similar appeals (the presence of reasonable claims and complaints against the appellant recorded in the certification body, consumer protection society, negative information from the media, supervisory and control authorities).

4.6.3 The decision made by the Appeal Commission argues the validity or groundlessness of the decision of the CB QMS.

4.6.4 The decision is made by a majority vote of the members of the Appeal Commission by open voting.

4.6.5 The decision of the Appeal Commission is drawn up on a special form (the form is given in Annex 5).

4.6.6 The secretary of the Appeal Commission sends copies of the decision on the appeal to:

- the appellant;
- the Certification Body;
- the Committee on Impartiality.

4.7 Actions of the parties after the decision on the appeal

4.7.1 The decision of the Appeal Commission is binding on the Certification Body.

4.7.2 If the appeal is recognized as justified, the CB QMS:

- carries out work on the implementation of the decision of the Appeal Commission without additional payment from the appellant by another composition of auditors;
- develops a plan of corrective and preventive actions aimed at eliminating cases of unreasonable decisions from the practice of the CB QMS;
- considers the appeal as input in the analysis of the QMS by management.

4.7.3 The control over the implementation of the plan of corrective and preventive actions and assessment of the effectiveness of these actions is carried out by a representative of the management responsible for quality.

4.7.4 If the appeal is found unjustified, the decision previously made by the Certification Body remains in force.

4.7.5 The appellant, in case of his disagreement with the decision of the Appeal Commission, has the right to apply to the Moscow Arbitration Court in accordance with the legislation of the Russian Federation or to the organization that accredited the Certification Body.

Annex 1 (obligatory)

Register of Appeals (form)

APPROVE
The Director of the CCQS "Interecoms"
_____ I.V. Tverskaya
« ___ » _____ 202__

No i/o	Date	The name of the organization that filed the appeal. Address, phone number, person in charge	Content of the appeal	Decision date, no., summary	Appellant notice date
1	2	3	4	5	6
1					
2					
3					

Annex 2

Composition of the Appeal Commission (form)

Full name	Position

Annex 3

A G R E E M E N T

This agreement is concluded between the Centre for Certification of Quality Systems "Interecoms" (CCQS "Interecoms ") and

_____ position held

_____ Full name

on the subject that _____ agreed upon the proposal of the CCQS "Interecoms" to become a member of the Appeal Commission and undertakes to strictly observe the rules and norms established in the documents of the CCQS "Interecoms"

From the CCQS "Interecoms" _____

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The Director _____
signature _____ surname, initials _____

Date « ___ » _____ 202__

organization, position of a member
of the Commission _____ signature _____ surname, initials _____

Date « ___ » _____ 202__

Annex 4

DECLARATION

Of the member of the Appeal
Commission _____
Full name

of no conflict of interest with the organization

_____ name of the organization

I, _____
last name, first name, patronymic of the auditor (expert)

declare that I have not had for 2 years, currently do not have, and do not expect in the future to have any interactions with the applicant organization

_____ name of the organization

and its partners.

I commit myself in my work when considering an appeal:

- fully comply with the principles of impartiality, objectivity, non-conflict and the procedures set out in the documents of the CCQS "Interecoms";
- comply with the requirements and procedures for ensuring confidentiality in terms of official and commercial secrets of information obtained in the course of certification work.

_____ Date _____ personal signature _____ decryption of the signature _____

Annex 5 (obligatory)

**DECISION
Of the Appeal Commission**

the Appeal Commission of _____
name of the Certification Body

considered the appeal no. _____ Date « ____ » _____ 20__
on the question
of _____

submitted by _____
name of the organization that filed the appeal

and made a decision: _____

Reasons for recognizing the appeal as validated (groundlessness) _____

Chairman of the Appeals
Commission

signature

initials, surname

Members of the Appeal
Commission

signature

initials, surname

signature

initials, surname

Changes registration sheet

№ of change	Date of making change, addition and audit	Numbers of pages	Code of the document	Summary of the change, audit mark	Full name, signature
1	2	3	4	5	6
1.					
2.					
3.					
4.					
5.					