



## COMPLAINTS AND APPEALS

### **Purpose**

To detail the actions taken by TIC, in the event of receiving a complaint, an appeal against any assessment or certification decision made by TIC or its staff, or any issue that requires a representation to be made to the board or advisory council for any issue concerning the assessment and certification services offered by TIC.

### **Scope**

Complaints received from clients regarding any of the TIC's service activities.

- Complaints received from user companies regarding the performance of TIC registered companies.
- Appeals against all decisions made by TIC, especially those that involve certificate suspension, withdrawal or non-issue following initial assessment. Appeals must be made in writing and addressed to the Head-Operations.
- Any issue that requires a hearing by the board or advisory council.

### **Procedure**

#### **Complaints from Clients & interested parties**

The Certification Criteria provides clients & interested parties with guidance for making a complaint when the complaint is in regard to Certification.

- All complaints, regardless of who receives them, are logged in the register of Customer Complaints maintained in the office for receiving the complaint. Head-Operations ensures that all Customer Complaints are to be recorded in the Customer Complaints format.
- The Head - Operations reviews the details of recorded complaints and raises Customer Complaint form with initial comments and then copies the form to the Director - Technical.
- Complaints are investigated by the Head - Operations or another person appointed by the Head - Operations. (The complaints are investigated only by those personnel who are not directly involved in the appeal, complaint or dispute in question within last two years.)
- Advice of Advisory Council may be sought in case of complaints of very serious nature. The complainant is contacted to investigate and additional information is added to the Complaint Form.
- Complaints against the Head - Operations are actioned in the same way but by the Director-Technical. Any complaint against the Director-Technical is actioned by Chairman of the Advisory Council.
- The investigation of a complaint may initiate an unscheduled Internal Quality Audit to determine the action, if required. Where misconduct of a member of staff is substantiated, it is recorded in the Personal Record File retained in the employee's file.
- The person responsible for investigating the complaint may consider it necessary to check other client or course files which may have been affected by related problems and corrective action taken, as necessary.
- When all the necessary action has been completed, the Complaints Form is signed by the Head - Operations Completed Complaint Forms are filed sequentially in the Complaint File. A copy is also filed in the Client File for information during future surveillance.
- The complainant is invited by Head - Operations to represent its concerns before arriving at a final decision on the complaint.
- The final outcome of the decision is conveyed by Head - Operations to the complainant through Letter/ email.



### **Complaints from Client's Customer**

When a complaint is received from a user company about the performance of an TIC certified client, details are passed to the Head - Operations and recorded.

- The client customer is informed that their complaint will be followed up, the details of the outcome will be reported back to them, but no confidential information discussed between TIC and the client company will be divulged to the complainant. This complies with the TIC Confidentiality Policy.
- These complaints are investigated by the auditor appointed by the Head - Operations, or by the Head - Operations himself. The investigation may require a visit to the user company. The details of investigation are recorded.
- When the investigation is complete, the outcome is recorded on the Complaint Form which is then signed by the investigator and passed to the Head - Operations. A copy of the Complaint Form is placed in the client file on whom the complaint has been made for reference during future surveillance. The original Complaint Form is filed in the Complaints File retained by the Head - Operations.
- Following the completion of the investigation, a letter is sent from the Head - Operations to both the client company and the complainant informing them of the outcome of the investigation.

### **Appeals**

Where the decisions regarding the resolution of the complaint are not acceptable to the complainant or other parties involved, the complainant or any other parties involved can lodge an appeal. The Certification Criteria provides clients and interested parties with guidance on how to make an appeal.

- Letters or other notification of appeal are passed to the Head - Operations who enters the details onto the Appeals Log.
- The Head - Operations will arrange for the Appeals to the advisory council to meet at a time that is convenient for all parties concerned. Appeals are appraised in private by the advisory council (who are impartial and independent of the subject of the appeal). The Head - Operations tables any evidence for review. All appeals must be heard within one month of receipt. The Advisory council will inform the Head - Operations of its decision and request the Head - Operations to write to the client detailing the results of the appeal. Responsibilities of the advisory council are to consider the contents of the appeal letter from the client in conjunction with evidence tabled by the Head - Operations, and arrive at an impartial decision regarding the appeal within a further week.
- The appellant is given an opportunity to represent its concerns before arriving at a final decision.
- The results of the decision are conveyed to the appellant and any other parties involved.
- Appeals documentation (letters and other relevant documentation) is filed sequentially in the Appeals File and copies are also placed in the Client File.

### **Review of Complaints and Appeals**

The Complaints and Appeals File is tabled at the Management Review Meeting and Advisory Council Meetings. Any corrective action further to that already taken, or of a more general nature, is delegated. This is followed up at subsequent meetings.

### **Common Law**

Regardless of the above procedures for complaints and appeals, common law processes are open to all appellants and complainants.

TIC maintains records relevant to appeals/complaints for at least 3 years, unless otherwise required in the accreditation agreements or rules, notifications.