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# AltoMaxx Technologies Inc.

## PRODUCT CERTIFICATION MANAGEMENT SYSTEM COMPLAINTS AND APPEALS (PROCEDURE)

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Document No.: P/12	Revision No. 04	Update Date: 28/05/2021

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## 1. PURPOSE

The purpose of this procedure is to describe handling of incident, complaint and appeals received from the client, in house and from external parties.

## 2. SCOPE

This procedure is applicable to all types of complaints and appeals received by AltoMaxx Technologies.

## 3. TERMS AND DEFINITIONS

### **INCIDENT**

Referred to Complaints, Suggestions, Appeals, Observations and Opportunities for improvement.

### **COMPLAINTS**

Complaints are incidents of grievance or dissatisfaction with AltoMaxx Technologies. Complaints may be internal in nature or external in nature raised by client, suppliers or other affiliated organizations or complaints raised by client's customers or stake holders (written or verbal).

### **SUGGESTIONS**

AltoMaxx Technologies recognizes that positive feedback is as important as negative. Suggestions are vital in identifying risk and system improvement. As with complaints, suggestions may be internal or external in nature (written or verbal).

### **APPEALS**

AltoMaxx Technologies recognizes that the client may have some reservations or may not agree with the conduct of the evaluator, evaluation findings, certification committee decision and/ or overall interaction with AltoMaxx. The client is free to communicate an appeal to Top Management.

### **OBSERVATIONS**

Observations are witnessed incidents of service/operational deficiency, and/or failure. Observations are often made by individuals independent of the activity witnessed and therefore are objective in nature. Observations also play important role in identification of risk and system improvement.

### **OPPORTUNITIES FOR IMPROVEMENT (OFI)**

Opportunities for Improvement are incidents where the system has not failed, yet greater operational efficiency may be obtained in analyzing current practice. Opportunities for Improvement are often collected internally, but input from external sources is also beneficial.

All applicable as defined in clause 3 of manual.

## 4. PROCEDURE

### 4.1 MANAGEMENT SYSTEM INCIDENTS

For the purposes of this document, Incidents are defined as complaints, suggestions, observations and opportunities for improvement. Management System Incident data is recorded using the relevant forms to ensure proper resolution. This procedure describes the methodology by which AltoMaxx Technologies collects and processes incident reports; and communicates the impact to staff members. AltoMaxx Technologies preserves its commitment to provide quality audits and certification services through openness and training.

### 4.2 RECEIPT OF INCIDENTS

The incident may be reported by any means – verbal or written. Written incidents are recorded on the incident report form. Complaints can be made to the COO via [steve@altomaxx.com](mailto:steve@altomaxx.com). The COO will contact

the external source to acknowledge the receipt of information within seven (7) working days of the receipt. AltoMaxx may decide to personally meet the initiator, depending on the gravity and seriousness of issue.

All such incidents received are recorded in the Incident report with details including;

- Complaint and appeal sr. No.,
- Mode of receipt,
- Received by,
- Name of client / other parties,
- Description of complaint and appeal,
- Reference of services

Review of necessary back-up records or interviews of evaluators or staff members (who were involved in the job) might be required.

#### 4.3 TREATMENT OF CLIENT COMPLAINT AND OBSERVATIONS

In case of a complaint against AltoMaxx Technologies, corrective action is taken promptly by a person not involved in the complaint. This may include training or counseling for the person involved. The Corrective Preventative Action Report (CAR/PAR) is raised at the next Management Review. A copy of the complaint and investigation detail is maintained in the respective individual's file for reference at the performance review meetings.

In case of a complaint/ observation against a certified client, the COO studies the complaint and discusses with the evaluator. The complaint is sent to the client for a response. No confidential reports or information will be sent to complainants without written permission from the client. The client must take action in the stipulated time frame. Depending on the response, the COO may decide to;

- Write to the complainant and ask for their response.
- Ask further clarification from the client.
- Request a joint meeting with client, complainant and AltoMaxx Technologies.
- Evaluator visits the client and investigates. Such visit shall be considered as special visit and charged to client.

The COO details the findings to formally close the complaint. A copy of the correspondence is kept and revisited during the next audit. The details of all complaints and action taken (CAR/ PAR) are discussed in a Management Review and Impartiality Committee meeting.

#### 4.4 TREATMENT OF HANDLING OF APPEALS

Any client company or organization who fails to satisfy an evaluation or surveillance requirement can appeal against the decision. Appeals must be submitted through written notice within 30 days from the date when a reason have arisen. Once receipt of the appeal in writing, AltoMaxx will investigate and validate the subject of the appeal and decide the acceptance of it. When an appeal is received by AltoMaxx the following procedure will be followed.

The Quality Manager will appoint the members of the appeals committee under the leadership of the COO. If complaints are made against work performed by the Quality Manager than the Impartiality Mechanism provides a decision on the appeal. Results of the appeal will be noted in the next Impartiality Committee meeting. All persons involved in the resolution decision of an appeal will have to sign an impartiality and conflict of interest declaration stating they have not been employed by the appellant or

have provided consultancy for the appellant within two years following the end of the employment or consultancy.

All appeals shall be received by the COO and details of appeals shall be recorded in the Appeals Register maintained by the Quality Manager. The investigation shall be made by individual(s) not involved in subject related to the appeal. The appointed person or COO informs the client of action for investigation and action there upon. The appellant may be invited to explain the reason(s) for the appeal at the meeting of the Committee if the appellant so wishes.

Incident Reports are maintained for investigations, any further corrective and preventive action are recorded in the CAR/PAR reports. A copy of the report will be sent to the client. In case the issue is unresolved; the same appeal will be raised to Standards Council of Canada for comments. Appeal trends and corrective and preventive action taken shall also be reviewed as part of the Management committee meeting and Impartiality committee meeting. The COO ensures that details with respect to the appellant are not shared with the audit team members. The client is made aware of the appeals process and is available to him on request.

#### 4.5 TREATMENT OF OPPORTUNITY FOR IMPROVEMENT

All incidents are reviewed in Management review meetings. If suggestions are not in conflict with the standard, the suggestion is accepted.

#### 4.6 NOTIFYING INTERESTED PARTIES

Depending on the nature of the incident, the accreditation body or authorities having jurisdiction will be notified via email by the CEO.

#### 4.7 CLOSING OF COMPLAINT AND APPEAL

Depending on the nature of the incident, follow up for corrective and preventive actions may ensue. When the investigation of a client complaint and appeal of remote operations or other external organizations has contributed to the complaint / appeal then the Scheme Manager or his delegate contacts these organizations and provides them with all relevant information. Every complaint and appeal is recorded. After the necessary actions are taken, the client is notified of the complaint and appeal closure. The COO identifies the need for taking corrective action to prevent such complaints and appeals in the future.

All the complaints and appeals are received by AltoMaxx and will be closed within 14 working days after receiving the complaint and appeal. The Quality Manager and COO are authorized for closing of complaints and appeals. The client will be notified about the closing.

If the client is unsatisfied with the result of the appeal, Standards Council of Canada (SCC) is notified. SCC is the final level of appeal in disputes regarding conformance with accreditation criteria and AltoMaxx shall abide by all SCC decisions pertaining to accreditation criteria.

## 5. REFERENCES

- ISO / DIS 21384-3
- ISO/ IEC 17065

## 6. RECORDS

1. Customer Complaint Report
2. Appeals Register
3. Incident Report

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