



SMR

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Handling Complaint & Appeal



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Amendment History		
Issue No.	Issue Date	History
00	08/01/2002	Original Release
01	29/03/2002	Amendment in accordance with the result of document review
02	24/10/2002	Addition of notice of acknowledgment of complaint/appeal to complainee (Cl.4)
03	14/12/2002	Addition of Cl. 3 & 5
04	02/04/2003	Reflection of Change of Document reference number
05	22/08/2008	Split to Complaint/appeal and Appeal for reflecting of requirements of ISO 17021
06	27/02/2009	Unification of MSP80 & 85 split to Handling Complaint and Appeal Changes of heading and ending style, Addition of Cl. 3, 4 and 8
07	30/06/2010	Change of SMR mark on the cover
08	25/11/2010	Amendment of some phrase: Complaints & Appeals to complaint/appeal Addition of Forms Name & Number Integration of some clauses (6.1.4 / 6.3.3-->5.1.7,6.2.3/6.2.4-->6.2.3) & Amendment of clause number(6.3.4->6.2.3, 6.2.5-->6.2.4) Addition of Ref. Forms



Table of Contents

1. PURPOSE	4
2. SCOPE OF APPLICATION.....	4
3. DEFINITIONS.....	4
4. FLOWCHART OF HANDLING COMPLAINT/APPEAL.....	5
5. PROCESS REQUIREMENTS	5
5.1 GENERAL	5
6. COMPLAINT/APPEAL.....	6
6.1 RECEIPT AND VALIDITY OF A COMPLAINT/APPEAL.....	6
6.2 INVESTIGATION ACTIVITIES.....	6
6.3 ACTIONS AND NOTICE.....	7
6.4 APPEAL AGAINST SMR DECISION ON ISSUE OF COMPLAINT/APPEAL	7
6.5 END OF COMPLAINT/APPEAL-HANDLING PROCESS.....	7
6.6 NOTICE TO ACCREDITATION BODY.....	7
7. TRACKING AND ANALYSIS.....	7
8. DOCUMENTS AND RECORD	7



1. Purpose

The purpose of this document defines the procedure of receipt, evaluation and actions on complaint/appeal. *[ISO/IEC 17021 (9.7.1 & 9.8.4)]*

2. Scope of Application

This document is applicable to complaint/appeal received by SMR

3. DEFINITIONS

Complaint

1. Written objection or disagreement or verbal representations regarding about SMR including its service, certification decision and conduct of SMR personnel
2. Written objection or verbal representations against certified SMR clients or misleading use of certification marks or reference to certification and to the services provided under the scope of certification .

Appeal: A representation made by a party to who does not accept a decision of SMR on the complaint raised.

Complaine: object of complaint raised by complainant

Complainant: An interested party who raises complaint to SMR

Appellant: An interested party makes an appeal against the decision of SMR



4. Flowchart of Handling Complaint/Appeal

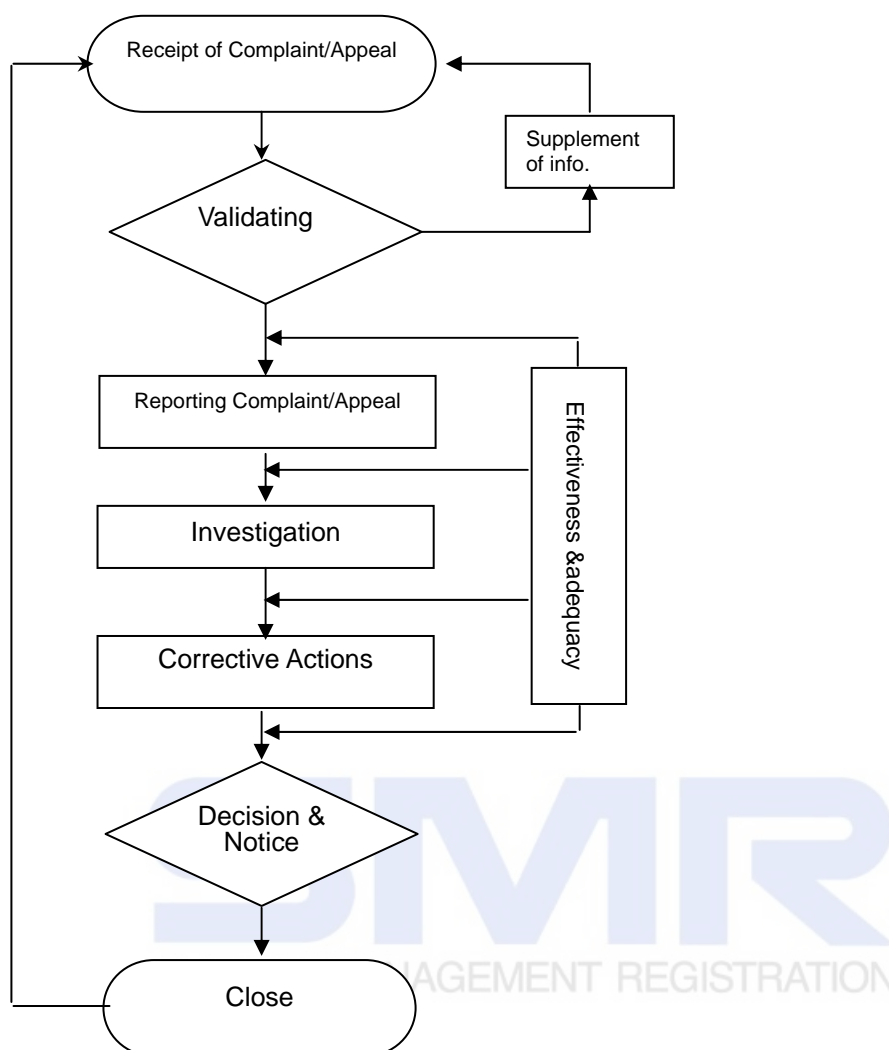


Figure1. Flow chart of handling Complaint/Appeal

5. Process Requirements

5.1 GENERAL

5.1.1 SMR will endeavor to action any claim of dissatisfaction that is brought to its attention by any interested party. e.g. certified organization, customer of certified organization , etc. Expressions of dissatisfaction have been categorized as follows; Complaint and Appeal

5.1.2 The description of the SMR Complaint/Appeal-handling process is publicly accessible at the SMR website (www.smr.co.kr). [ISO/IEC 17021 (9.7.2 & 9.8.1)]

5.1.3 SMR are responsible for all decisions at all levels of the complaint/appeal-handling process. SMR ensure that the persons engaged in the complaint/appeal-handling processes are different from those who carried out the audits and made the certification decisions. [ISO/IEC 17021 (9.7.3)]

5.1.4 Complaint/Appeal Handling process is subject to requirements for confidentiality, as it relates to the complainant/appeal and to the subject of the complaint/appellant. [ISO/IEC 17021 (9.8.4)]

5.1.5 Submission, investigation and decision on complaint/appeal shall not result in any discriminatory actions against the complainant/appealant. [ISO/IEC 17021 (9.7.4)]

- 5.1.6** The complaint/appeal-handling process shall include at least the following elements and methods:
- an outline of the process for receiving, validating, investigating the complaint/appeal, and for deciding what actions are to be taken in response to it;
 - tracking and recording complaint/appeal, including actions undertaken in response to them;
 - ensuring that any appropriate correction and corrective action are taken.

[ISO/IEC 17021 (9.7.5 & 9.8.5)]

NOTE ISO 10002 provides guidance for complaint handling.

5.1.7 Where SMR receive, investigate and take actions on complaint/appeal, SMR provide a notice of each handling complaint/appeal process to the complainant/appellant and the complainee immediately or as early as possible. (Ref. form MSP-80-003) [ISO/IEC 17021 (9.7.6, 9.8.3 & 9.8.7)]

6. Complaint/Appeal

6.1 Receipt and Validity of a complaint/appeal

6.1.1 All complaint/appeal shall be directly submitted to the SMR Head Quarter. The submission shall include sufficient objective evidence to substantiate the claims. Dissatisfaction based on hearsay will not be considered as a complaint/appeal. The complaint/appeal received shall be entered to Complaint/Appeal Register. (Ref. Form MSP-80-001, MSP-80-002)

Note1 Where a complaint is with an organization certified by SMR, the complainant shall be required to demonstrate that the complainee has had ample opportunity to rectify the situation.

Note 2 SMR accept and treat a notice of a complaint from regulators (i.e. government and its agency etc) as a formal complaint raised to SMR.

6.1.2 Upon receipt of a complaint, SMR confirm whether the complaint relates to certification activities that it is responsible for and, if so, deal with it. If the complaint relates to a certified client, then examination of the complaint consider the effectiveness of the certified management system.

[ISO/IEC 17021 (9.8.2)]

6.1.3 SMR receiving the complaint are responsible for gathering and verifying all necessary information to validate the complaint. *[ISO/IEC 17021 (9.8.6)]*

6.2 Investigation activities

6.2.1 Investigation activities shall be carried out by

- **Complaint about SMR**

Where the complaint involves SMR directly, the SMR CEO shall appoint an appropriate person for investigation and recommendations to the CEO on all issues relevant to SMR. If the complaint directly relates to a specific SMR person (including staff with the exception of the CEO), the person can not be appointed as an action officer. In the case where the complaint is in relation to the CEO, the office shall be the Impartiality Committee.

- **Complaint About certified organization**

SMR shall ensure that the action officer is different from those who carried out the audits and made the certification decisions. The action officer shall formally request the complainee to respond to SMR, within (10) days, giving comments on the complaint and detailing the actions the organization proposes or has taken to investigate and resolve the matter.

6.2.2 There may be a need for several rounds of correspondence between SMR and interested parties, and on-site follow-up action with SMR. When the action officer considers that on-site follow-up action with SMR is required, the action officer pass the correspondence to SMR and the interested parties and carry out the on-site follow-up action.

6.2.3 The action officer shall provide SMR with progress report and the outcome within (30) days. SMR shall provide the complainant/appellant with progress report and the outcome. The outcome shall include possible corrective action and recommendation to SMR. (Ref Form MSP-80-004, MSP-80-005)

[ISO/IEC 17021 (9.7.6 & 9.8.7)]

6.3 Actions and Notice

6.3.1 Where the action officer considers that the complaint has not been adequately addressed at the lowest/appropriate level, the complainant be advised that they need to refer the complaint to the appropriate level; e.g. between complainant and complaine, auditor, staff etc, or the complaine be advised to take actions in the immediate and long term aspects.

6.3.2 Where the complaint involves SMR directly, the action officer shall investigate and make recommendations to the SMR CEO on all issues relevant to SMR. In resolving all the issues, the action officer shall consider both immediate and long term action required by all parties concerned.

6.3.3 The decision to be communicated to the complainant/appellant shall be made by, or reviewed and approved by, individual(s) not previously involved in the subject of the complaint/appeal.

[ISO/IEC 17021 (9.7.7 & 9.8.8)]

6.3.4 Where the consequence of complaint/appeal-handling process requires SMR internal action, the action shall be taken in accordance with Management Review and Internal Audit (Doc. No. MSP-90)

6.4 Appeal against SMR decision on issue of complaint/appeal

If the complainant and complaine are dissatisfied with the SMR's decision on issue of the complaint, the appeal shall be lodged to SMR within (5) working days. (Ref. form MSP-80-002)

6.5 End of Complaint/Appeal-handling process

6.5.1 SMR shall give formal notice of the end of the complaint/appeal-handling process to the complainant/appellant. (Ref. Form MSP-80-003). *[ISO/IEC 17021 (9.7.8 & 9.8.9)]*

6.5.2 SMR shall determine, together with the client and the complainant, whether and, if so to what extent, the subject of the complaint and its resolution shall be made public. *[ISO/IEC 17021 (9.8.10)]*

6.6 Notice to Accreditation Body

If a complaint that is not closed out within 3 months of that agreed timeframe or is dissatisfied with the outcome of the SMR's complaint-handling process, shall be brought to the attention of JAS-ANZ.

[JAS-ANZ Procedure No.11 Clause 6.1 (n)]

7. TRACKING and ANALYSIS

Tracking progress and analyzing trends associated with complaint/appeal is conducted by the Certification Manager. The Certification Manager will provide an exception report to the CEO more than once a year, where applicable. A more formal report may be required for management review meetings and meetings of the Certification Committee. The report will provide an update on all open complaint/appeal and a graphical presentation of trends and where appropriate recommendations as to what action might be taken to address adverse trends.

8. Documents and Record

Once identified as a complaint by SMR, the complaint shall be entered into the appropriate Complaint/Appeal Register, store the document(s) to the file. The complaint register shall be maintained kept up to date by SMR. All incoming and outgoing correspondence, including a brief summary of the correspondence, shall be logged in the complaint register and stored in the appropriate file.

- a) Investigation of the cause of the issue
- b) Selection of the main cause and the basis of evaluation and selection
- c) Prevent measures of recurrence of non-conformance
- d) Confirmation of the effectiveness of corrective action