



Procedure for Complaints & Appeals

Global Systems Compliance (Pvt.) Ltd.

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Table of Contents

List of Copy Holders.....3

1. Purpose:4

2. Scope:.....4

3. References:4

4. Definitions:.....4

5. Procedure:.....4

6. Appeal Handling:4

6.1 ToRs of Appeal Handling Committee:5

7. Complaints Handling6

8. Quality Records:.....7

9. Revision History:7



List of Copy Holders

Sr. #	Designation
1	Chief Executive Officer
2	Quality Management Representative
3	Deputy Management Representative
4	Shariah Expert
5	Manager Certification



Procedure for Complaints & Appeals

HCB-P-05, Issue # 01, Rev # 00
18th Feb, 2019

1. Purpose:

To define the manner in which Complaints & appeals against GSC Pakistan and GSC Pakistan registered clients or sites are recorded and processed. All complaints will be dealt with locally.

2. Scope:

All appeals and complaints received by GSC Pakistan in relation to its recognised activities and certificated customers & all complaints against GSC Pakistan registered organisation/sites related to their activities.

3. References:

Clause 9.7 of PS 4992-2016, Appeals
Clause 9.8 of PS 4992-2016, Complaints

4. Definitions:

None

5. Procedure:

6. Appeal Handling:

i. The Appellant address the appeal on Appeal Form (FMP05/01) to MR through any suitable means (email, fax, letter, registered mail etc) as per appeal, complaint handling process (Annex 1 Appeal Process, Annex 2 Complaint Process) available upon request of a client/ on the website on GSC. The appeal, should address the following information as relevant;

- a. Name, designation of the Appellant
- b. Name of Organization/Institute
- c. Valid mailing Address and location.
- d. Contact numbers
- e. E-mail/Fax (if any)

ii. In case of verbal query regarding Appeal the MR request the Appellant to address Appeal in writing on FMP05/01. Anonymous Appeals is not entertained by GSC. However the identity of the Appellant, on his request, may not be revealed to the concerned.

iii. MR is overall responsibility for the appeal handling process. MR ensures that the persons engaged in the Appeals handling process are different from those who carried out the audit of the client or involved in the certification decision. MR is responsible to look after the whole process to make the Appeal handling process impartial, non-discriminatory and transparent so that submission, investigation and decision on Appeals Complaints do not result in any discriminatory actions against the Appellant.

iv. On receipt of appeal e.g. Appeal Form the following process is followed:

- a. The MR in consultation with CEO nominates a person on Appeal Handling Form (FMP05/03) for handling appeal process.

- b. The receipt of appeal is acknowledged and logged in the Appeal Log (FMP05/02) by the MR generating appeal number that is incremental for each appeal. The MR is responsible to communicate to the appellant about the on-going progress on the appeal process by any means. Time scales for completion of the appeal process is largely dependent on the nature of the appeal. The time scale is communicated to the client on receipt of the appeal and informing all concerned
- c. MR enters the appeal number on Appeal Handling Form (FMP05/03) and forwards the Appeal Handling Form to Appeal Handling Committee.
- d. In case of conflict of interest in a particular appeal, the Appeal Handling Committee may be reconstituted. The committee may give the opportunity to the appellant to present his/her appeal in person.
- e. The committee analyzes (on Appeal Handling Form FMP05/03) the nature and details of appeal, validates, investigates the appeal and decides the actions/decision to be taken in response to it taking into account results of previous similar appeals during the evaluation.
- f. The Head Appeal Handling Committee gives his approval on recommendations/decisions established by the Appeal Handling Committee and forward to MR for further action.
- g. The MR informs the progress and outcome to appellant and takes the correction and corrective actions if any.
- h. MR verify the recommended actions if required.
- i. MR communicates the Progress report and outcome to applicant through any suitable means. MR forwards the Appeal Form (FMP05/03) to Chairman Impartiality Committee for their record.
- j. MR gives formal notice to the Appellant at the end of the appeal handling process.

6.1 ToRs of Appeal Handling Committee:

MR in consultation with CEO nominates the Appeal Handling committee, and forwards them a formal email regarding their approval/ concerned appeal to be handled. The Appeal Handling Committee consists of 3 members. The committee members decide the Head Appeal Handling Committee among themselves. The committee may seek the advice of shariah expert depending upon the nature of the appeal. The Appellant Committee is derived from the members of the Impartiality Committee, thus the competence of members of the Appellant Committee is the same as Impartiality Committee, as defined in the Procedure for Safeguarding Impartiality. However if there is any appeal against CEO, he is not a part of the appellant committee and neither chairs the Impartiality Committee. The Committee is responsible for:

1. Receiving the appeal
2. Validating the appeal
3. Conducting necessary investigation over the dispute that became the source of appeal
4. Deciding the response of the appeal
5. Taking appropriate corrective actions

7. Complaints Handling

In case of Complaint the following process is followed;

- i. MR decides whether the complaint is related to Certification activities of GSC or its clients. If the complaint is related to the Certification activities of GSC, MR in consultation with CEO appoints any person on Complaint Handling Form (FMP05/06) to validate, investigate and make recommendation as per clause iv above. If the complaint is related to Client, CEO appoints MR to validate, investigate and make recommendations on complaint. If the complaint is related to client, it is referred to the respective client within one week after validation by the MR.
- ii. The complaint handling process is subject to confidentiality requirements as per GSC Pakistan Confidentiality Policy.
- iii. The DMR is responsible to acknowledge to receipt and log the complaint in the Complaint Log (FMP05/05) enter the complaint number and inform the complainant about progress on report and outcome on regular basis. Time scales for completion of the complaint process are largely dependent on the nature of the complaint. The time scale is communicated to the client on receipt of the complaint and informing all concerned.
- iv. The complaint is validated by the MR. If the Complaint is found vague, false, irrelevant or its validity is not confirmed then the MR gives his findings on Complaint Handling Form (FMP05/06) to CEO for formal disposal of the Complaint and Complainant is informed through any suitable mean (email, notice, letter etc).
- v. For valid complaints MR also takes into account the results of previous similar complaints, going through the nature and details of the complaint.
- vi. MR/NR presents their recommendations on the Complaint Handling Form (FMP05/06) to CEO for his approval.
- vii. The recommendations upon approval of the CEO are communicated to the complainant by MR.
- viii. If the complaint is related to the client, the client is requested to take corrective actions or may be asked that correction and corrective actions is verified depending upon the nature of complaint MR/ scheme owner reviews the effectiveness of the corrective and preventive actions and inform the concerned.
- ix. If the Client fails to take corrective actions within agreed time the suspension and withdrawal process may be initiated.
- x. MR gives formal notice via email to the Complainant at the end of the complaint handling process.
- xi. In case the complaint is raised against the Certification activities and complainant is not satisfied against the result of complaint, the complainant may appeal to CEO against the communicated decision of the complaint.
- xii. The complaints raised internally by GSC personnel are handled as per Procedure for Corrective and Preventive Actions (HCB-P-04).

The GSC Pakistan doesn't not put the complaint in public domain without the consent of the Client & complainant unless it is legally required or as per GSC Pakistan Confidentiality Policy to make it available in public domain.



Procedure for Complaints & Appeals

HCB-P-05, Issue # 01, Rev # 00
18th Feb, 2019

8. Quality Records:

Quality Record Number	Quality record Title:	Retention Time
FMP05/01	Appeal Form	05 years
FMP05/02	Appeal Log	05 years
FMP05/03	Appeal Handling Form	05 years
FMP05/04	Complaint Form	05 years
FMP05/05	Complaint Log	05 years
FMP05/06	Complaint Handling Form	05 years

9. Revision History:

Issue #	Rev #	Date of Issue	Brief Description of change
01	00	18 th Feb, 2019	New Document



Procedure for Complaints & Appeals

HCB-P-05, Issue # 01, Rev # 00
18th Feb, 2019

Annex-I Appeal Process

- i. The Appellant address the appeal on Appeal Form (FMP05/01) to MR through any suitable means (email, fax, letter, registered mail etc) as per appeal, complaint handling process (Annex 1 Appeal Process, Annex 2 Complaint Process) available upon request of a client/ on the website on GSC. The appeal, should address the following information as relevant;
 - a. Name, designation of the Appellant
 - b. Name of Organization/Institute
 - c. Valid mailing Address and location.
 - d. Contact numbers
 - e. E-mail/Fax (if any)

- ii. In case of verbal query regarding Appeal the MR request the Appellant to address Appeal in writing on FMP05/01. Anonymous Appeals is not entertained by GSC. However the identity of the Appellant, on his request, may not be revealed to the concerned.

- iii. MR is overall responsibility for the appeal handling process. MR ensures that the persons engaged in the Appeals handling process are different from those who carried out the audit of the client or involved in the certification decision. MR is responsible to look after the whole process to make the Appeal handling process impartial, non-discriminatory and transparent so that submission, investigation and decision on Appeals Complaints do not result in any discriminatory actions against the Appellant.

- iv. On receipt of appeal e.g. Appeal Form the following process is followed:
 - a. The MR in consultation with CEO nominates a person on Appeal Handling Form (FMP05/03) for handling appeal process.

 - b. The receipt of appeal is acknowledged and logged in the Appeal Log (FMP05/02) by the MR generating appeal number that is incremental for each appeal. The MR is responsible to communicate to the appellant about the on-going progress on the appeal process by any means. Time scales for completion of the appeal process is largely dependent on the nature of the appeal. The time scale is communicated to the client on receipt of the appeal and informing all concerned

 - c. MR enters the appeal number on Appeal Handling Form (FMP05/03) and forwards the Appeal Handling Form to Appeal Handling Committee.

 - d. In case of conflict of interest in a particular appeal, the Appeal Handling Committee may be reconstituted. The committee may give the opportunity to the appellant to present his/her appeal in person.

 - e. The committee analyzes (on Appeal Handling Form FMP05/03) the nature and details of appeal, validates, investigates the appeal and decides the actions/decision to be taken in response to it taking into account results of previous similar appeals during the evaluation.

 - f. The Head Appeal Handling Committee gives his approval on recommendations/decisions established by the Appeal Handling Committee and forward to MR for further action.



Procedure for Complaints & Appeals

HCB-P-05, Issue # 01, Rev # 00

18th Feb, 2019

- g. The MR informs the progress and outcome to appellant and takes the correction and corrective actions if any.
- h. MR verify the recommended actions if required.
- i. MR communicates the Progress report and outcome to applicant through any suitable means. MR forwards the Appeal Form (FMP05/03) to Chairman Impartiality Committee for their record.
- j. MR gives formal notice to the Appellant at the end of the appeal handling process.



Annex-II Complaint Process

In case of Complaint the following process is followed;

- i. MR decides whether the complaint is related to Certification activities of GSC or its clients. If the complaint is related to the Certification activities of GSC, MR in consultation with CEO appoints any person on Complaint Handling Form (FMP05/06) to validate, investigate and make recommendation as per clause iv above. If the complaint is related to Client, CEO appoints MR to validate, investigate and make recommendations on complaint. If the complaint is related to client, it is referred to the respective client within one week after validation by the MR.
- ii. The complaint handling process is subject to confidentiality requirements as per GSC Pakistan Confidentiality Policy.
- iii. The DMR is responsible to acknowledge to receipt and log the complaint in the Complaint Log (FMP05/05) enter the complaint number and inform the complainant about progress on report and outcome on regular basis. Time scales for completion of the complaint process are largely dependent on the nature of the complaint. The time scale is communicated to the client on receipt of the complaint and informing all concerned.
- iv. The complaint is validated by the MR. If the Complaint is found vague, false, irrelevant or its validity is not confirmed then the MR gives his findings on Complaint Handling Form (FMP05/06) to CEO for formal disposal of the Complaint and Complainant is informed through any suitable mean (email, notice, letter etc).
- v. For valid complaints MR also takes into account the results of previous similar complaints, going through the nature and details of the complaint.
- vi. MR/NR presents their recommendations on the Complaint Handling Form (FMP05/06) to CEO for his approval.
- vii. The recommendations upon approval of the CEO are communicated to the complainant by MR.
- viii. If the complaint is related to the client, the client is requested to take corrective actions or may be asked that correction and corrective actions is verified depending upon the nature of complaint MR/ scheme owner reviews the effectiveness of the corrective and preventive actions and inform the concerned.
- ix. If the Client fails to take corrective actions within agreed time the suspension and withdrawal process may be initiated.
- x. MR gives formal notice via email to the Complainant at the end of the complaint handling process.
- xi. In case the complaint is raised against the Certification activities and complainant is not satisfied against the result of complaint, the complainant may appeal to CEO against the communicated decision of the complaint.
- xii. The complaints raised internally by GSC personnel are handled as per Procedure for Corrective and Preventive Actions (HCB-P-04).

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