



**CERTIFICATION PROCEDURE (CER/OP/02)**

**Title: PROCEDURE FOR HANDLING ENQUIRIES, COMPLAINTS AND APPEALS**

**AUTHORIZATION:**

This Certification Procedure is issued under the authority of:

NAME:

CAROLINE OUTA

TITLE/POSITION:

HOD - CERTIFICATION BODY

SIGNATURE:

DATE:

2015-11-30

**DOCUMENTATION CONTROL**

**Controlled issue of this procedure may not be copied**

ISSUED BY:

PURITY WANGAI

ISSUE DATE:

2015-11-30

## 0. CONTENTS AND RECORD OF CHANGES

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### 0.2 Record of changes

N o	Date	Details Of Change		Authorization
	<i>dd-mm-yyyy</i>	Page	Clause/sub-clause and comment	Name and signature
1	21-10-2009	ALL	Review and update for clarity and removal of appendices	C. Outa
2	2010-01-26	2	Addition of table of contents and record of changes	C. Outa
3	30-11-2015	ALL	General revision to be in line with ISO 17021-1	C.Outa-Ogweno

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## 1. PURPOSE

To ensure that customer enquiries, complaints and appeals received by KEBS Certification Body are appropriately addressed within the stipulated period.

## 2. SCOPE

This procedure applies to all compliments, enquiries, complaints and appeals received by the Kenya Bureau of Standards Certification Body (KEBS CB)

## 3. TERMINOLOGY

### 3.1 Enquiry

Request for information

### 3.2 Complaint

Any expressed dissatisfaction, written or verbal, with any service offered by the KEBS CB or by a certified client of the KEBS CB

### 3.3 Complainant

The originator of the complaint

### 3.4 Appeal

A request by client of the KEBS CB for further consideration(s) or change in the decision(s) of the CB on any issue concerning certification

### 3.5 Appellant

Client of the KEBS CB making an appeal to the CB

### 3.6 KEBS Kenya Bureau of Standards

### 3.7 CB Certification Body

### 3.8 HOD Head of Department – Certification Body

## 4. REFERENCES

**ISO/IEC 17021-1** Conformity assessment – requirements for bodies providing audit and certification of management systems

## 5. PRINCIPLE RESPONSIBILITIES

5.1 The respective certification manager, shall be responsible for ensuring that this procedure is effectively implemented in their area

5.2 The HOD shall be responsible for verifying corrective action

## 6. PROCEDURE

### 6.1 Enquiries

6.1.1 Enquiries shall be received by any officer of the CB and dealt with immediately.

6.1.2 Where the enquiry needs further information that is not immediately available or requires investigation, it shall be documented on Form CER/F/10 and forwarded to the relevant officer for onward completion. All relevant sections of CER/F/10 shall be completed for the enquiry.

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## **6.2 Complaints on activities and services of the CB**

- 6.2.1 Complaints received by phone shall be recorded on CER/F/10 by the officer receiving the complaint and forwarded to HOD.
- 6.2.2 For written complaints, the appropriate section of CER/F/10 shall be completed and attached to the complaint and forwarded to the HOD
- 6.2.3 The complaint shall be assigned a complaint number and filled into the complaints register at the HOD's office.
- 6.2.4 The HOD shall ensure that all complaints are acknowledged, in writing, within 7 days
- 6.2.5 The HOD shall appoint an investigating officer for each complaint received and indicate the officer's name on CER/F/10 and in the register
- 6.2.6 The investigating officer shall carry out the investigations and then detail the investigations carried out in the appropriate section of CER/F/10
- 6.2.7 The proposed correction, corrective and/or preventive actions shall then be indicated by the investigating officer on CER/F/10
- 6.2.8 The HOD shall verify the corrective and/or preventive actions
- 6.2.9 The investigating officer shall then respond to the complainant in writing and ensure that the complaint is closed out
- 6.2.10 Turn around time for resolution of complaints shall not be more than 30 working days

## **6.3 Complaints concerning a certified client**

- 6.3.1 Complaints on a certified client shall be dealt with as indicated in clause 6.2 above except that after acknowledgement of the complaint (see 6.2.4), the HOD shall inform the certified client in writing concerning the received complaint
- 6.3.2 Any feedback received from the client on the complaint shall be taken into account during the investigation process
- 6.3.3 Once correction, corrective and/or preventive actions have been completed and verified (see 6.2.7 and 6.2.8), the HOD shall also inform the certified client in writing of the resolution of the complaint.

## **6.4 Appeals**

- 6.4.1 CB clients may appeal any decision of the KEBS CB. These decisions may include decisions not to award certification, decisions to suspend or to withdraw certification, or decisions to reduce the scope of certification.
- 6.4.2 All appellants shall be advised to file a written appeal. This may be in the form of a letter or by completing the appropriate section of CER/F/10.
- 6.4.3 The written appeal shall be forwarded to the HOD who shall validate it and if necessary appoint an investigating officer/team
- 6.4.4 Once the investigations are complete, the investigating officer shall prepare a report and complete the proposed correction, corrective and/or preventive actions on CER/F/10. The report and the completed form shall then be presented to the HOD for verification.
- 6.4.5 The HOD shall then communicate the decision of the CB to the appellant, in writing, and give formal notice of the end of the appeal handling process.
- 6.4.6 If the appellant does not agree with the outcome of the appeal process, the dispute resolution mechanism (detailed in the certification contract) shall come into effect.

## **6.5 Tracking of enquiries, complaints and appeals**

- 6.5.1 All enquiries, Complaints and appeals shall be tracked and records kept in the appropriate sections of CER/F/10 and filed in CB Complaints file at HOD's office.
- 6.5.2 Complaints in both hard and soft copy registers shall be tracked by indicating dates of actions taken consistent with section II of CER/F/10.
- 6.5.3 The HOD shall update the complaints records on the CB server using the information in the filled CER/F/10

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## 6.6 Impartiality

Any individual or team involved in the resolution of complaints or appeals shall:

- (a) not be persons named in the subject of the said complaint or appeal
- (b) be independent of the audit and/or certification process that is the subject of the complaint of the appeal

## 7. APPENDICES.

None

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