



## COMPLIANT AND APPEAL PROCESS

AJA Europe take client and client user complaint/appeal very seriously. To this end, if you are a Certified Client of AJA Europe, or a user of one of AJA Europe's Certified Client's products or services and you feel the need to register a complaint/appeal then please contact the Accredited Office by email ([k.bashar@ajaeurope.eu](mailto:k.bashar@ajaeurope.eu)) , who will provide with details of AJA Europe's complaints & appeal process.

Please fill in out complaint/appeal form before and we will respond quickly:

### Complaint/Appeal process Form

Company	
First Name	
Last Name	
Email	
Phone	
Details of complaint/ Appeals	
How would you prefer to be contacted	



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All AJA Europe' clients are advised of their right to appeal or make a complaint against any certification decisions, staff members or sub-contract auditors through the issue of the Codes of Practice (documenting client rights and the window of time for appeals to be made). Also, the Appeals and Complaints Information Page is issued to a client as part of the AJA Europe Reports. The first point of appeal is to the lead auditor at the closing meeting. If the client is not satisfied with the response or does not feel able to discuss the specific issue with the lead auditor, then an appeal may be made directly to either the non-accredited AJA Europe office or the accredited AJA Europe office.

Any appeal, complaint or dispute is required to be made in writing on a Complaint Form or an Appeals Form, to allow a full investigation. If the company/person raising the issue will not document the appeal/complaint, then the issue can go no further.

Records of the handling of appeals and complaints must be clear and complete at all times, to allow tracking and to allow later review by the AJA Europe Impartiality Committee/ Members and, as appropriate, Accreditation Bodies.

Complaints or appeals may be received from (or about) AJA Europe' clients at any time and shall be transferred onto the correct Appeals Form or Complaints Form, as appropriate. Upon receipt of an appeal or complaint from a client, a letter of acknowledgement is sent, advising that the appeal/complaint has been received and is being investigated. A copy of the appeal/complaint is stored in the relevant client file.

The appeal/complaint is then passed to the correct personal for review and investigation of the causes. If any of the reviewing staff were involved in the audit of an appealing/ complaining client (or any other party involved in the appeal/complaint), then they would not be able to investigate this situation once it came to the attention of the non-accredited AJA Europe office or accredited AJA Europe office. If the outcome of the Compliance Manager's review and investigation shows that the appeal/complaint is justified (upheld), the Complaints and Appeals Register is updated accordingly.

In the case of a complaint against a client, AJA Europe shall confirm whether the complaint relates to certification activities that it is responsible for. If so, an unscheduled audit of the client may be necessary, or a note may be made for specific details to be reviewed during the next scheduled audit of the client. Any complaint about a certified client shall also be referred by AJA Europe to the certified client in question at an appropriate time. In the case of a complaint about a staff member or sub-contract auditor, a record is stored in the



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relevant personnel file and the appropriate training needs are identified, or disciplinary action may be taken.

All certified clients shall make available, when requested, all records of complaints and corrective actions taken, in accordance with the standards they are certified to or other normative reference documents. Communication regarding complaints made against EMS clients shall be immediately reviewed, to consider the environmental impacts regarding the complaint. If it is deemed necessary, an unscheduled visit shall be made, during which the actions taken to resolve the issue will be evaluated. If it is established that the action taken is not considered suitable, registration of the client may be suspended.

For all upheld appeals/complaints, investigations shall be conducted to develop the necessary corrective and preventive actions and assess the effectiveness of the corrective actions. The results of the investigations shall be passed to the accredited Compliance Manager, including any subsequent Document Change Requests (refer to Procedure

If the outcome of the Compliance Manager's review and investigation shows that the appeal/complaint is not justified (rejected), the Complaints and Appeals Register is updated accordingly. The Appeal Form or Complaint Form, and all investigation documentation, are sent to the accredited office Compliance Manager.

In the case of a complaint, the accredited office Compliance Manager shall review and record all the available documentary evidence and then pass this to the Impartiality Committee for review.

In the case of an appeal, the accredited office Compliance Manager shall review and investigate the documentary evidence. If the outcome of the Compliance Manager's review and investigation shows that the appeal is justified (upheld), the accredited office Compliance Manager shall liaise with the local Compliance Manager, and conduct an investigation to develop corrective and preventive actions and assess the effectiveness of the corrective actions, including raising or reviewing Document Change Requests if required. All the available documentary evidence shall then be passed to the Impartiality Committee for review.

If the outcome of the accredited office Compliance Manager's review and investigation shows that the appeal is not justified (rejected), the Appeals Form and all investigation documentation are sent to top level management.

If the outcome of the top level management review and investigation shows that the appeal is justified (upheld), the top level management shall liaise with the accredited office Compliance Manager, and conduct an investigation to develop corrective and preventive



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actions and assess the effectiveness of the corrective actions, including raising or reviewing Document Change Requests if required. All the available documentary evidence shall then be passed to the Impartiality Committee.

If the outcome of the top level management review and investigation shows that the appeal is not justified (rejected), the Appeal Form and all investigation documentation are sent to the Impartiality Committee.

The decision to be communicated to the appellant/complainant shall be made by, or reviewed and approved by, individuals not previously involved in the subject of the appeal. AJA Europe shall give formal notice wherever possible to the appellant/complainant of the end of the appeals/complaint handling process.

In the case of a complaint, AJA Europe 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.