

Appeals

An appeal panel shall be constituted by the Board of Directors of the TPL. The appeal panel shall consist two members initially who comprise one TPL director/CEO and one impartial committee member (***refer Annexure TPLA06 for impartial committee details***). In case, if the impartial committee member is not competent for the particular IAF sector and/or scheme(s) then a competent auditor (not previously involved in the subject of the appellant) shall assist the impartial committee member in appeals process. TPL Management is responsible for all decisions at all stages of the appeal handling process.

An applicant, a certified company or any interested party may appeal against a decision of TPL. The matter is referred to the Appeals Panel whose decision is final and for the decision of the Appeal Panel the TPL is responsible. This Process is also publicly available on TPL website.

TPL is responsible for gathering and verifying all necessary information to validate the appeal. TPL also ensures that submission, investigation and decision on appeal shall not result in any discriminatory actions against the appellant.

Appeal Process to receive, evaluate and make decision on appeal

1. Any aggrieved party can file the appeal within 30 days against the decision of TPL by giving a notice in written or by mail to TPL.
2. M-MC will acknowledge the receipt of the appeal and the same shall be entered in the appeal register (refer TPLF42). M-MC will gather and verify all necessary information to validate appeal.
3. The appeal shall be forwarded to the appeal panel for investigation. Appeal Panel also considers that what decision has been taken already in the similar previous appeals.
4. The appeal panel can ask the information from the aggrieved party and from TPL and both of the parties are bound to furnish the information within time limit as provided by the Appeal panel.
5. TPL will provide the information to the appellant about the progress, Action undertaken to resolve appeal, ensure of appropriate correction and corrective action has taken and same to be entered in the appeal register.
6. TPL also provides the formal notice to the appellant that appeal panel decision and appeal handling process is completed.
7. The whole process of appeal shall be finished within 60 days of the filing the appeal. In case of delay, TPL shall justify the delay.
8. Ensures that the decision communicated to the appellant is made, reviewed and approved by the individual(s) not previously involved in the subject of the appellant.

Complaints

TPL is responsible for all decisions at all levels of the complaints handling process.

Initially the Manager-Management Certification (M-MC) will investigate that the complaint received is a valid complaint and all the evidences has been provided by the complainant along with the complaint which is satisfying to M-MC. Once it is validated that complaint is genuine then it shall be recorded in the complaint register with its nature. Submission, investigation and decision on complaints shall not result in any discriminatory actions against the complainant. The tracking and recording complaints, including actions undertaken in response to them is maintained by M-MC (Refer TPLF43).

If the valid complaint relates to the certification activities of TPL:

- a) M-MC ensures that the complaint is recorded in the register (TPLF43).
- b) If the complaint is against an officer of TPL including M-MC then it will be investigated by the chairman of the Impartial Committee.
- c) After root cause analysis, method to eliminate the cause of complaint would be arrived at and suitable corrective and preventive measures instituted.

If the complaint is about certified client management system:

- a) M-MC must ensure that the effectiveness of the certified management system is checked by competent auditor(s)/person(s) who were not involved with the client previously.

- b) The letter in question is sent to certified client within 30 days of receiving of complaint and recorded in the complaint register. The tracking and recording complaints, including actions undertaken in response to them is maintained by M-MC (Refer TPLF43).
- c) The concerned auditors may be summoned to confirm the facts if it relates to certification activity.
- d) After root cause analysis, method to eliminate the cause of complaint would be arrived at and suitable corrective and preventive measures instituted.
- e) The complaint shall be closed within 60 days of the receiving of the complaint.

M-MC will act as below:

- a) The entire process to be followed meets the requirement of confidentiality as it relates to the complainant and to the subject of the complaint. The complaints are recorded in the complaint register.
- b) Ensures that the acknowledgement of receipt of the complaint is sent to the complainant and is informed about the progress and outcome of the result in writing every month till its closure.
- c) Gather and verify all necessary information to validate the complaint. TPL is responsible for gathering & verifying all necessary information to validate the complaint.
- d) Ensures that any appropriate correction and corrective action are taken and also suitable preventive action is taken to avoid recurrence of such cases.
- e) Verify the promptness and effectiveness of the actions taken in respect of the complaint received and ensure its prompt disposal.
- f) All complaints, after redressal & disposal, shall be closed through a closing note / closing call by the M-MC. Where applicable, certification will be restored as quickly as possible.
- g) Give formal notice of the end of the complaints-handling process to the complainant.
- h) Ensure that the complainant is advised of the result of the investigation within 60 days of the receipt of the complaint.
- i) Ensures that the decision communicated to the complainant is made, reviewed and approved by the individual(s) not previously involved in the subject of the complaint.
- j) Ensures with the client and the complainant to the extent to which complaint may be made publicly available.
- k) Ensure that Effectiveness of the measures adopted is covered during the Management Review Meeting.

Ensure that the complaint has been closed within the 60 days of the receiving of the complaint. In case Complainant is not satisfied with the decision of the TPL then complainant can make an appeal or can escalate of the complaint to Accreditation Board.