



TIC Quality Control Pvt. Ltd. COMPLAINT AND APPEAL HANDLING

1.0 Purpose

To ensure the satisfaction of all who are concerned about the final results through the handling of their complaints and appeals.

2.0 Scope

This procedure shall be applied to all forms of complaints and appeals given to TIC QC. Complaints and appeals shall be handled through the established complaint and appeal process by competent, impartial and independent personnel/committees, as applicable.

3.0 References:

- ISO/IEC 17065, Conformity Assessment - Requirements for bodies certifying Products, Processes and services.

4.0 Definitions & abbreviations

4.1 Abbreviations

QAM: Quality Manager

P: Procedures

MR: Management Representative

QM: Quality Manual

QMS: Quality Management System

IC: Impartiality Committee

DML: Document Master List

F: Format

4.2 Definition

Complaint - is defined as a statement that something is wrong or not good enough. In addition, it is a general indicator of low customer satisfaction, but its absence does not necessarily mean high customer satisfaction.

Appeal: defined as request by the person or organization that provides the object of conformity assessment to a conformity assessment body for reconsideration by that body of a decision it has made relating to that object

5.0 Responsibility

- The Quality Manager, TIC QC Top Management, designated competent personnel, Complaint/Appeal Committee and Impartiality Committee, as applicable, shall be responsible for implementing this procedure.
- The Quality Manager shall be responsible for receiving, registering, coordinating the investigation and ensuring the appropriate handling and closure of complaints and appeals.
- The Complaint/Appeal Committee shall be responsible for the impartial and objective review and resolution of complaints and appeals assigned to it.
- The Impartiality Committee shall be responsible for reviewing and deciding appeals against certification decisions made by the certification decision-maker, where applicable.



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- All personnel involved in handling complaints and appeals shall maintain impartiality, confidentiality and independence and shall not participate where a conflict of interest exists.

6.0 Procedure for Complaints and Appeal

6.1 Complaints and appeal committee

The Complaint and Appeal Committee shall ensure that complaints and appeals concerning certification decisions or program operations are handled in a fair, impartial and transparent manner. The committee shall ensure that all concerns are reviewed objectively and resolved in accordance with documented procedures, while maintaining confidentiality and avoiding conflicts of interest.

Where a complaint or appeal requires committee review, the committee shall be constituted on an ad hoc basis based on the nature and complexity of the complaint or appeal.

6.2 Selection of Complaints/Appeal Committee

A minimum of three competent personnel with appropriate experience and/or expertise in the relevant certification/scheme requirements shall be involved, as applicable. The committee shall be constituted on an ad hoc basis, considering the nature of the complaint or appeal, competence, impartiality, confidentiality and absence of conflict of interest. Where applicable, the composition of the Committee shall also meet the competence requirements specified in the relevant certification scheme.

6.3 Roles & Responsibilities

The Complaint/Appeal Committee shall:

- Evaluate complaints and appeals assigned to the Committee and make or recommend a decision, as applicable, in accordance with this procedure and applicable certification scheme requirements.
- Operate independently of those involved in the subject of the complaint or appeal to ensure impartiality.
- Ensure that all cases are handled in accordance with the established documented procedures, including applicable requirements for recordkeeping, communication and timelines.
- Conduct an objective evaluation of relevant documentation, information and evidence before reaching a conclusion.
- Where applicable, identify the need for corrective or subsequent actions and ensure that the underlying causes and measures to prevent recurrence are appropriately addressed.
- Maintain transparency and records by ensuring that the outcome is appropriately communicated to the complainant/appellant and that detailed records of complaints and appeals are maintained.
- Maintain confidentiality of all information obtained during the handling of complaints and appeals.
- Ensure that no member of the committee participates in the handling or decision-making where an actual, potential or perceived conflict of interest exists.

6.4 Complaints

6.4.1 The company deals with all complaints and/or appeals received from customers or any other party.

6.4.2 Upon receipt of a complaint, the appointed staff shall confirm whether the complaint relates to certification activities for which the CB is responsible, and if so, shall deal with



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it in accordance with this procedure.

- 6.4.3 TIC QC may receive complaints through written communication, verbal communication, e-mail, website/contact channels or any other appropriate communication channel, including complaints received indirectly.
- 6.4.4 The employee receiving the complaint shall inform the Quality Manager (QAM), and the complaint shall be acknowledged where contact information is available.
- 6.4.5 The received complaint is recorded in the complaints form, and complaints are numbered with a serial number according to their receipt within same year (the numbering process will start over with a new year). (Customer complaints register form)
- 6.4.6 The Quality Manager (QAM) adds new complaints to the complaints register (TIC-CA-F01).
- 6.4.7 The Quality Manager (QAM) shall forward the complaint to the designated personnel for investigation based on the nature of the complaint. The personnel assigned to investigate the complaint shall be competent, impartial and independent of the certification activity that is the subject of the complaint. The assigned personnel shall collect and verify the information necessary for evaluation of the complaint.
- 6.4.8 Where applicable, scheme-specific requirements shall be followed. In case a complaint is received for Halal certification, the Quality Manager (QAM) will forward the complaint to the employee responsible for gathering relevant information regarding the complaint and share it with a committee involving at least three (3) personnel, of which at least one person will be a Halal certification expert. This committee shall be established on a need basis, keeping impartiality and confidentiality into account.
- 6.4.9 For halal certifications, Complaints by consumers regarding a certified Halal product/service shall be evaluated by this committee. As a result of such evaluations, if the complaint is found to be justified then the certificate holder shall be required to compensate for the damage(s) caused under the relevant provisions of the contract.
- 6.4.10 To prevent any potential conflicts of interest, TIC QC shall not involve personnel who have provided consultancy to or been employed by a client, including those acting in a managerial capacity, in the resolution of a complaint for that client within two years of the conclusion of the consultancy or employment.
- 6.4.11 The designated personnel/Committee shall determine and implement, or recommend, an appropriate plan to address the complaint, as applicable.
- 6.4.12 The decision on the complaint shall be made by at least one person who has not been directly involved in the certification activity related to the complaint.
- 6.4.13 The designated personnel responsible for handling the complaint shall, where necessary:
 - a) receive and review the complaint; and
 - b) inform the complainant of the results of the complaint analysis and/or the actions taken to address the complaint, where appropriate.
- 6.4.14 Where necessary, a nonconformity and corrective action report shall be initiated immediately where the complaint is documented, supported by objective evidence and indicates a deviation from the requirements of the quality management system.
- 6.4.15 Complaints shall be discussed during management review meetings, where applicable. Complaints shall be periodically analyzed for trends, recurring issues and systemic problems. Where necessary, corrective action shall be initiated in accordance with the corrective action procedure.
- 6.4.16 TIC QC shall provide a formal response to the complainant regarding the conclusion and outcome of the complaint, where contact information is available. The nature of complaints may include, but is not limited to, the following:
 - a) Decision made on audit result
 - b) On NC observation
 - c) to change the auditor
 - d) against suspending/termination of the client's certificate



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6.4.17 TIC QC shall ensure that the investigation, decision and any actions taken in response to a complaint or appeal shall not result in any discriminatory action against the complainant or appellant.

6.5 Appeals

- 6.5.1 In the case of an appeal, the appellant shall lodge the appeal with the Quality Manager against any adverse certification decision taken by TIC QC within 20 calendar days after notification of the decision. The Quality Manager shall inform the Business Assurance Head/Country Head/CEO/Product/Scheme Manager, as applicable.
- 6.5.2 Upon receipt of an appeal, the appointed staff will confirm whether the appeal relates to certification activities for which the CB is responsible, and if so, will deal with it.
- 6.5.3 The responsible personnel shall obtain and verify all pertinent information to the extent possible and share it with the established Appeals Committee comprising at least three (3) competent personnel with appropriate expertise in the relevant certification process. The committee shall be established on a need basis, taking impartiality and confidentiality into account.
- 6.5.4 In case an appeal is received for Halal certification, the Quality Manager (QAM) will forward the appeal to the employee responsible for gathering relevant information on the appeal and share it with a committee involving at least three (3) personnel, of which at least one person will be a Halal certification expert. This committee shall be established on a need basis, keeping impartiality and confidentiality into account.
- 6.5.5 TIC QC will confirm the receipt of a formal appeal if contact information is provided.
- 6.5.6 The appointed personnel shall evaluate the verified information and supporting evidence and submit the findings to the appropriate Appeals Committee or Impartiality Committee, as applicable, for review and decision.
- 6.5.7 Where an appeal is against a certification decision made by the certification decision-maker, the appeal shall be reviewed and decided by the Impartiality Committee or another independent and competent body designated in accordance with TIC QC's established arrangements. The personnel involved in the original certification decision shall not participate in the appeal decision.
- 6.5.8 Where the appeal does not concern a decision of the certification decision-maker, the appeal shall be reviewed by a competent and impartial Appeals Committee comprising personnel who were not involved in the audit, evaluation, technical review or certification decision related to the appellant. The personnel involved in the original audit, evaluation, technical review or certification decision shall not participate in the resolution of the appeal.
- 6.5.9 Appeals shall be discussed during management review meetings, where applicable. Appeals shall be periodically analyzed for trends, recurring issues and systemic problems. Where necessary, corrective action shall be initiated in accordance with the corrective action procedure.
- 6.5.10 To prevent any potential conflicts of interest, TIC QC shall not involve personnel who have provided consultancy to or been employed by a client, including those acting in a managerial capacity, in the resolution of an appeal for that client within two years of the conclusion of the consultancy or employment.
- 6.5.11 The appellant shall receive formal notification from TIC QC regarding the conclusion and outcome of the appeal process.
- 6.5.12 To resolve the appeal, the nominated Committee/personnel shall be responsible for taking any necessary subsequent action. The nature of appeals may include, but is not limited to, the following:
 - a) Decision made on audit result



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- b) On NC observation
- c) to change the auditor
- d) against suspending/termination of the supplier's LOA/certificate

7.0 Format

Listed agreements, SOPs, Records related to this SOP as follows:

Complaints and Appeal Committee	TIC-CA-F01
Customer complaint register	TIC-CA-F02
Customer Feedback Form	TIC-CA-F03



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Revision History

The following is a summary of the recent revisions to this document.

Date	Revision No.	Amended By	Description of Changes
7/9/2026	1	Quality Manager	Added responsibility of Complaint and appeal committee