

<b>BUREAU OF INDIAN STANDARDS MANAGEMENT SYSTEMS CERTIFICATION</b>		<b>OPERATING PROCEDURE</b>	
<b>TITLE: PROCEDURE FOR DEALING WITH COMPLAINTS</b>			
<b>DOC: MSC-P6.9-01</b>	<b>ISSUE: 01</b>	<b>DATE: DEC 2004</b>	<b>PAGE: 1 OF 6</b>
<b>PREPARED BY: HEAD (MSCD)</b>		<b>APPROVED BY: ADG/DDG</b>	

## 1. PURPOSE

1.1 This operating procedure is to ensure uniform norms for receiving and dealing with complaints or disputes relating to all activities under Management Systems Certification

## 2. SCOPE

2.1 This procedure is limited only for complaints or disputes pertaining to BIS Management Systems Certification including certified management systems of licensees. All disputes shall be dealt in a similar manner as the complaints are dealt.

2.2 In this procedure, wherever the word 'complaint' occurs, it also means dispute for all purpose of its redressal.

## 3. DEFINITIONS

3.1 **Complaint or Dispute** - Any communication received against the functioning of BIS Management Systems Certification, BIS management system certification personnel, sub-contractor and activities/products/services/processes undertaken at sites/addresses covered under applicant's/licensee's certified management systems. Communication for disputes may be received at the first instance or some of the complaints may result into a dispute during its redressal.

3.2 **Complainant** - The person/organization who signs the complaint. The complainant can be a firm or public.

3.3 **MSCO(R)** - The Management Systems Certification Officer of the Regional Office, appointed as the coordinator for all Management Systems Certification activities in the region.

3.4 **DDGR** - The Deputy Director General of the Region responsible for the operations of MSC activity in the region.

3.5 **MSCD** - Management Systems Certification Department of BIS.

3.6 **Head (MSCD)** - Head (Management Systems Certification Department) and Management Representative responsible for operations of MSC activity in BIS.

3.7 **ADG/DDG - INCHARGE**- Additional Director General/Dy. Director General in charge of MSC activity.

3.8 **DG** - Director General of Bureau of Indian Standards

**3.9 MSCS Committee** - The Management Systems Certification Scheme Committee of BIS.

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#### 4. REFERENCES

- 4.1 Doc: MSC-P6.7-01 Procedure for surveillance and renewal
- 4.2 Doc: MSC-F6.9-01 Complaints Register
- 4.3 Doc: MSC-F6.9-02 Format of letter acknowledging complaint
- 4.4 Doc: MSC-F6.9-03 Complaint Form
- 4.5 Doc: MSC-F6.9-04 Investigation Report
- 4.6 Doc: MSC-F6.9-05 Processing of complaint
- 4.7 Doc: MSC-F6.9-06 Format of letter informing the decision on complaint
- 4.8 Doc: MSC-F6.9-07 Form for closure of complaint
- 4.9 Doc: MSC-F6.9-08 Format of letter informing closure of complaint

#### 5. RESPONSIBILITIES

- 5.1 **MSCO(R)** - Responsible for registering, processing, investigation and follow-up of complaints received under the region and its coordination with complainant till the complaint is redressed.
- 5.2 **DDGR** - Responsible for closing of the complaint and also for processing the complaint.
- 5.3 **ADG/DDG In-charge** - Responsible for processing the complaint if conflict of interest exists with DDGR or Head (MSCD).
- 5.4 **DG** - Responsible for processing the complaint if conflict of interest exists with ADG/DDG in-charge of MSC activity.
- 5.5 **MSCS Committee** - The MSCS Committee is responsible for deciding on complaints against MSC.

#### 6. PROCEDURE

	<b>TASK</b>	<b>RESPONSIBILITY</b>	<b>RELATED DOC.</b>
6.1	Receive the complaint from the complainant and take details.	RO/BO/Any other Deptt./	

**6.2** Forward the complaint to MSCO(R) of the region, along with all details.

BIS person

RO/BO/Any  
other Deptt./  
BIS person

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	<b>TASK</b>	<b>RESPONSIBILITY</b>	<b>RELATED DOC.</b>
<b>6.3</b>	Examine, consult DDGR, if required, and register the complaint	MSCO(R)	MSC-F6.9-01
<b>6.4</b>	Acknowledge complaint and confirm all the details	MSCO(R)	MSC-F6.9-02 MSC-F6.9-03
<b>6.5</b>	Keep records of details in file.	MSCO(R)	
<b>6.6</b>	Arrange a visit to the applicant/ licensee, complainant and within BIS for investigation of complaint in case the complaint is against *product/services/ activities undertaken at sites/addresses covered under certified management system of the applicant/licensee or complaint is against management system of applicant/licensee Examine the report and give observations.	MSCO(R)	MSC-F6.9-04

\* IS/ISO 9001:2000; **IS/ISO 14001:2004**; IS 18001:2000; and IS 15000:1998 Certification are not product certification or guarantee. This should be brought to the notice of the complainant.

**NOTE 1:** Only BIS personnel are **authorized** to investigate any complaint or dispute. BIS personnel are not involved in any activity in relation to consultancy or in other areas of conflict of interest with the organization or any other party involved in complaint or dispute.

**NOTE 2:** The investigation report shall establish cause of complaint (complaint to be treated as possible non-conformity) and actions may be recommended for removal of cause of non-conformity including any action to be taken within BIS own Management Systems Certification activity. Corrective actions for preventing recurrence should also be established.

**NOTE 3:** For complaints as mentioned below, the complaint should be registered, acknowledged and records kept for the complaints, by the officer responsible for arranging/processing complaint and investigation.

**NOTE 4:** Any complaint received against the registered applicant/applicant's management system should be investigated during special visit, preliminary visit (pre-audit) and/or initial (certification) audit. MSCO(R)/concerned person to inform the nominated person. The report of

investigation shall be submitted by the auditor/team leader/nominated person and the decision on the complaint shall be considered by the competent authority before grant of licence.

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**NOTE 5:** Any complaint involving vigilance aspect shall be referred to Vigilance Department as decided by DDGR/ADG/DDG In-charge/MSCS Committee/DG.

- 6.6.1** In case of conflict of interest with auditor or sub-contractor or MSCO(R). Head (MSCD)  
Head (MSCD) to arrange investigation and decision to be taken by ADG/DDG in-charge for sub-contractors and by DG for BIS auditor and MSCO(R)..  
The person nominated for investigation shall be independent of the parties involved.
- 6.6.2** In case of conflict of interest with DDGR or Head (MSCD) Processing of investigation of case to be undertaken by ADG /DDG in-charge and decision to be taken by DG. The person nominated for investigation shall be independent of the parties involved. ADG/DDG in-charge or Nominated Person
- 6.6.3** In case of conflict of interest with ADG/DDG in-charge. Processing of investigation and decision on the case to be undertaken by DG. The person nominated for investigation shall be independent of the parties involved. DG or Nominated Person
- 6.6.4** If the complaint is against the Management System Certification activity/process of BIS, Head (MSCD) to put up the complaint to MSCS Committee who shall decide on the necessary action. The person nominated for investigation shall be independent of the parties involved. MSCS Committee
- 6.7** Receive the investigation report and examine (for complaints against product/services/activities undertaken at sites/addresses covered under certified management system of the applicant/licensee or complaint is against MSCO(R)

management system of applicant/licensee, follow the procedure as given below). Send a copy to Head (MSCD).



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TASK	RESPONSIBILITY	RELATED DOC.
<b>6.7.1</b> If the investigation and scrutinizing of a complaint results in a recommendation for suspension, process for suspension by DDGR DDGR to advise the actions to be taken by the firm restricting them to not to claim conformity with the relevant standard of management system. Send a copy of the orders to Head (MSCD).	MSCO(R)	MSC-P6.7-01 MSC-F6.9-05
<b>6.7.2</b> If the investigation of a complaint results in a recommendation for cancellation of the licence, process for cancellation by DDGR Send a copy of the orders to Head (MSCD). Accordingly, the name of the licensee will be deleted from the register of licensees.	MSCO(R)	MSC-P6.7-01 MSC-F6.9-05
<b>6.8</b> In the case of a complaint against any BIS Personnel (except DG and Head, MSCD) or Sub-contractor, obtain decision from the concerned persons. Inform PTO who shall take the necessary action and update files. For complaint against Head (MSCD), ADG/DDG In-charge shall inform PTO take necessary action and update files. Other actions against BIS personnel should be taken as per the other general applicable procedures of BIS.	<u>Head (MSCD)</u> ADG/DDG In-charge	

**Note:** In case, the matter relating to the complaint has been referred to a Court of Law or to a Consumer Redressal Forum (i.e., has become sub-judice) or has been referred for arbitration, the complaint could be processed for closure.

FOLLOWING PROCEDURES TO BE FOLLOWED FOR ALL COMPLAINTS I.E.  
AGAINST BIS MANAGEMENT SYSTEMS CERTIFICATION, BIS PERSONNEL,  
SUB-CONTRACTOR, APPLICANT'S/ LICENSEE'S MANAGEMENT SYSTEM

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- 6.9** Inform the decision on complaint to the complainant with copy to Head (MSCD). In case the complaint is against BIS personnel or MSC activity, independent person (s) may be nominated by the concerned authority to further process the complaint. MSCO(R) MSC-F6.9-06  
nominated person
- 6.10** Obtain letter of satisfaction from complainant, if possible. Send a copy to Head (MSCD)/nominated person. MSCO(R)  
nominated person
- 6.11** Recommend closure of complaint to concerned authority. Send a copy of the orders to Head (MSCD)/nominated person. MSCO(R) MSC-F6.9-07  
nominated person
- 6.12** Close the complaint MSCO(R)/nominated person to keep the record. DDGR MSC-F6.9-07  
nominated person
- 6.13** Inform the complainant Send a copy to Head (MSCD)/nominated person MSCO(R) MSC-F6.9-08  
nominated person
- 6.14** Enter the details in complaints register. Send a copy to Head (MSCD)/nominated person MSCO(R) MSC-F6.9-01  
nominated person
- 6.15** Review the complaints on a three monthly basis to look for trends or weakness within the MSC. MSCO(R)  
nominated person
- 6.16** The results of these reviews shall be informed to the Senior Management in the Management Review meeting and/or MSCS Committee. DDGR or the concerned MSCO(R)  
nominated person

authority in the event of an immediate problem  
being recognized.

