


## Complaints Handling Procedure

Revision history					
Revision	Made by	Date	Approved by	Date	Changes
1	C.A. Stedelaar	22-03-2011	S.R.R. Erdtsieck	22-03-2011	Final
2	S.R.R. Erdtsieck	01-04-2011	M.A. van der Zalm	01-04-2011	Internal Audit, March 2011
3	M.A. van der Zalm	01-11-2011	J.C.G. Jooren	01-11-2011	DAC document assessment
4	M.A. van der Zalm	01-10-2013	S.R.R. Erdtsieck	01-10-2013	Amendment ISO 17020 & schemes

 M.A. van der Zalm Quality Manager Date 01-10-2013	 S.R.R. Erdtsieck General Manager Date 01-10-2013	
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## **1 Scope and Purpose**

This procedure is applicable to all oral and written complaints received about the organisation and its employees.

To ensure that complaints are dealt with correctly and consistently, Applus RTD Certification adheres to the requirements set forth in Section 9 of the General Administrative Law Act. The procedure will be made available on request to the complainant and/or other stakeholders.

The purpose of this procedure is to receive, record, deal with and evaluate complaints such that:

- the complaint is dealt with as well as possible and to the satisfaction of the complainant and other stakeholders involved;
- corrective, restorative or preventive measures are taken;
- recurrence of the complaint is avoided;
- continuous improvement of services is pursued.

## **2 Responsibilities**

### **2.1 Employee**

All employees are responsible for:

- taking receipt of complaints;
- reporting the complaint to the Quality Manager ASAP;
- taking immediate corrective and, if applicable, restorative measures after consultation.

### **2.2 Quality Manager**

The Quality Manager is responsible for the recording (KMS.MP.400.F01) and monitoring of complaints and periodic drafting of reporting for management, which will serve as input for the Management Review and the report to the Ministry of Social Affairs and Employment.

### **2.3 General Manager**

The General Manager is responsible for recording the complaint using the complaints handling form (KMS.MP.402.F01), dealing correctly with the complaint and providing resources to facilitate corrective and restorative measures.

## **3 Dealing with Complaints**

### **3.1 Receipt and Recording**

When a complaint is received and reported by the organisation or an employee, the incident that is the subject of the complaint must be recorded in writing - either by email or letter - in consultation with the complainant. This is then sent or delivered to the Quality Manager, who records and assigns a unique tracking number to the complaint in the complaints register (KMS.MP.400.F01). The General Manager and the Technical Manager are then informed by the Quality Manager of the complaint.

### **3.2 Handling the Complaint**

#### **3.2.1 Designating a complaints officer**

The General Manager designates a complaints officer, i.e. an individual who is not directly involved in the incident that caused the complaint.

#### **3.2.2 Assigning the complaint to the complaints officer**

The Quality Manager specifies the complaints officer in the complaint report (KMS.MP.402.F01) and informs the complaints officer of the complaint in writing.

### 3.2.3 Admissibility of the complaint

The complaints officer decides, in consultation with the General Manager, as to whether the complaint should be accepted for investigation (declared admissible) based on the requirements in Section 9 of the General Administrative Law Act.

### 3.2.4 Informing the complainant

The complaints officer will acknowledge receipt of the complaint in writing.  
If a decision is made to dismiss the complaint, the complainant will be advised accordingly in writing within four weeks.

### 3.2.5 Dealing with the complaint:

The complaints officer is responsible for investigating the complaint and establishing the cause and consequences. If necessary, additional information will be sought from the parties involved.

- Incidental (one-time) complaint

If the complaint is related to an incident, the complainant will be so advised. The complaints officer puts forward a suggestion or finds, together with the complainant, a solution to resolve the complaint within three weeks of the filing of the complaint.

The solution discussed with the complainant will be recorded in the complaints report, thereby indicating that it is an incident.

- Structural complaint

If the complaint is of a structural nature (i.e. it occurs repeatedly) and requires an adjustment of the procedure, the complaints officer will develop an improvement proposal within 10 days and discuss it with the Quality, thereby involving the complainant in the process. The improvement proposal must include a structural improvement of the procedure and will be detailed in the complaint report.

The Quality Manager is responsible for ensuring implementation and announcement of the modified procedure.

The complaints officer must then inform the complainant in writing of the reasons underlying the decision as well as the results, findings, conclusions and measures taken or to be taken, and inform the complainant of his right to file an appeal with the National Ombudsman if he is dissatisfied with the handling of the complaint; all this in accordance with Section 9 of the General Administrative Law Act (Complaints Handling).

### 3.2.6 Follow-up investigation of complaints handling

If necessary, the Quality Manager will initiate a follow-up investigation into the implementation of the improvement proposal or the adjusted procedure shortly thereafter. This can take place during a regular audit.

## **4 Reporting**

The complaints officer will prepare a report (KMS.MP.402.F01) containing the following information:

- name, address and telephone number of the complainant;
- name of the recipient and the complaints officer;
- date of the incident and the notification;
- statements by the parties heard;
- description and analysis of the incident;
- description of measures taken immediately, including the names of the persons to do so;
- results and findings;
- corrective and restorative measures recommended and taken;

The complaint report including supporting documentation will be handed over to the Quality Manager.

The Quality Manager is responsible for the periodic reporting of complaints during the Management Review and, if necessary, providing input for the report to the Ministry of Social Affairs and Employment.

## **5 Normative References**

- General Administrative Law Act, Section 9 (Complaints Handling)
- Industry-Specific Document for Identification and Monitoring of Pressure Equipment - §3.3 and §4.7.9
- Industry-Specific Certification Scheme for Pressure Equipment - §4.22
- ISO 17020:2012 §7.5 and 7.6

## **6 Related KMS Documents**

- KMS.MP.102 (Registration and Archiving)
- KMS.MP.303 (Periodic Quality Management System Review).
- KMS.MP.404 (Corrective and Preventive Measures).
- KMS.MP.501 (Reporting Duties as Part of Supervision).
- KMS.MP.402.F01 (Complaints Report)
- KMS.MP.400.F01 (Record of Complaints, Objections, Appeals and Points-of-View)
- KMS.MP.404.F01 (KMS Action List)