 EAGLE Certification Group <small>SERVICE • INTEGRITY • VALUE</small>	Title: Appeals and Complaints		Page No. 1 of 3
	Document No: 9		Version 13
Owner Role: Chief Technical Officer (EAGLE)		Effective Date: 08/28/2019	
<i>EAGLE Certification Group includes EAGLE Registrations Inc. and EAGLE Food Registrations Inc.</i>			

1.0 PURPOSE


The purpose of this document is to provide for the fair and equitable handling of appeals, complaints of an interested party. Appeals and complaints brought before EAGLE by clients or other parties shall be subject to EAGLE procedures.

2.0 SCOPE

Appeals and complaints brought before EAGLE by clients or other parties.

3.0 CONTENT / CONTEXT

- A. Submission, investigation and decision on complaints or appeals shall not result in any discriminatory actions against the complainant/appellant.
- B. Complaint is a complaint against EAGLE or against an EAGLE client. A complaint can be submitted by any interested party. A complaint may be logged through contacting the EAGLE office via either phone or email.
 - 1) Once received, the item will be entered into EAGLE's complaints handling process. Information, data and evidence should be provided to the best of the complainant's ability to support the investigation process.
 - 2) A competent reviewer will be assigned, based on the nature of the complaint, and an investigation will be conducted to determine actions that are required.
 - a. If it applies to EAGLE certification activities, EAGLE will address it, and if it applies to a certified client, then examination will consider the effectiveness of the certified management system.
 - b. Any valid complaint against a certified client will be communicated to the organization at an appropriate time.
 - c. Confidentiality will be applied as appropriate as it relates to the complainant and to the subject of the complainant.
 - 3) EAGLE is responsible for the gathering and verifying all needed information to validate the complaint.
 - 4) EAGLE may choose to address investigation with a corrective action request or a special audit.
 - 5) As appropriate, EAGLE will acknowledge the complaint and provide progress reports to the complainant.
 - 6) The decision to be communicated to the complainant shall be made by, or reviewed and approved by, individuals not previously involved in the subject of the complaint.
 - 7) EAGLE will confirm with interested parties as to whether (and to the extent in which) the complaint is resolved and the resolution shall be made public information.
 - a. If a Complaint comes in from a Certification Program Owner (CPO) or Scheme Owner, be sure to email the CPO or Scheme Owner to get the information of the complaintive that put in the formal complaint.
 - b. The closure notes in EMIS should include what date the final email was sent to the complaintive about the appeal with a copy of the email attached under complaint evidence.
- C. An Appeal is a request for review and evaluation of a decision/output of an audit result, usually an NCR that was written and not agreed upon by the client and the auditor.
 - 1) The appeals process shall not impact the timings to nonconformity management or the certificate decision process.
 - a. An appeal cannot be submitted after the required closure date or certification decision has been made
 - b. Reference EAGLE Document 5, or program specific documents for timing requirements of closure.

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- 2) An appeal must be submitted by completing the attached Form and sent to the EAGLE office for processing.
- 3) EAGLE is responsible for gathering of needed information and all decisions at all levels of the appeals handling process. Persons engaged in the process are those different than those who carried out the audits and made certificate decisions.
- 4) EAGLE will acknowledge receipt of the appeal and will provide progress reports to the appellant.
- 5) The decision to be communicated to the appellant shall be made by, or reviewed and approved by persons not previous involved in the subject of the appeal.
- 6) EAGLE will give formal notice to the appellant of the end of the appeal handling process.
- 7) EAGLE's appeal process has 2 levels which occur if an auditor leaves the site with the issue unresolved.
 - a. Appeal Level-Office Review: any complaint dealing with the registration process or interpretation of any standard, or the registration decision shall be directed to a Level 2 by completing the attached form. The review will be responded to within 30 days of the date of the appeal submittal.
 - b. Appeal Level-Committee Review: If the appellant is not satisfied with the response from the Office Review the next step is for the appellant to appeal the President for Committee Review. The President shall appoint an Appeals Committee. No individual may consider an appeal if that person was involved in the initial registration assessment or has any other conflict of interest.
 - i. The Appeals Committee shall be at least one person and shall be an odd number of members. The appellant has the right to agree to the composition of the Appeals Committee and may challenge its composition.
 1. Person(s) assigned should be member with appropriate scheme competence.
 - ii. The Appeals Committee shall meet and make its decision before the next regularly scheduled Board of Governors (BOG) meeting. It shall report its decision to the BOG at the next regularly scheduled BOG meeting. The President shall notify the appellant of the decision within seven working days of the meeting where the final decision was reported.

4.0 RESPONSIBILITIES

Top Management and the BOG all have management and compliance responsibility to the appeals process.

5.0 RECORDS AND REFERENCES

- A. Document 5 – addresses short notice audits/special audits
- B. Document 7 – Control of Records, will define the general requirements of records.
- C. Work Instruction 405 - EAGLE Issues references the Issues/Complaint Program.
- D. Attachment A - Appeal Form

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ATTACHMENT A

APPEAL FORM

A. APPELLANT: Name/Affiliation/Address/Telephone Number:
B. Decision Being Appealed: NCR #, Nature of Nonconformance/Decision:
C. Client Appeal Response (please include evidence as appropriate): SIGNATURE: APPEAL DATE: / /
D. Office Review: SIGNATURE: DECISION DATE: / /
E. APPEAL COMMITTEE DECISION (if needed): Date of Panel Review: / / SIGNATURE(s): DATE OF BOG REPORT: / / DATE OF RESOLVED: / /