

Appeals and Complaints Process

PR-011

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Revision History

Revision Status	Revised Section (s)	Description of Revision	Reason for Revision
0	All	New Procedure	Original Document – Compliance with ISO 17024:2012

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1. Purpose

The purpose of this procedure is to define the required processes to handle appeals against decisions on certification and to handle complaints.

2. Scope

This procedure applies to all processes related to receiving, evaluating and making decisions on appeals and complaints to ensure they are handled and processed in a constructive, impartial and timely manner.

3. Definition

CMVA – Canadian Machinery Vibration Association

ACVM – L'Association Canadienne en Vibrations de Machines

Appeal – Request by applicant, candidate or certified person for reconsideration of any decision made by CMVA / ACVM related to her/his desired certification status.

Appellant – Individual or organization initiating an appeal.

Complaint – Expression of dissatisfaction, other than appeal, by any individual or organization to CMVA / ACVM relating to the activities of CMVA / ACVM or a certified person, where a response is expected.

Complainant – Individual or organization initiating a complaint.

Impartiality – Presence of objectivity.

4. References

4.1. International Standards

The following referenced international standards are indispensable for the application of this document. The latest edition of the referenced documents (including any amendments) applies.

- ISO 17024 Conformity assessment – General requirements for bodies operating certification of persons.
- ISO 17000 Conformity assessment – Vocabulary and general principles.
- ISO 18436-1 Condition monitoring and diagnostics of machines – Requirements for qualification and assessment of personnel, Part 1: Requirements for assessment bodies and the assessment process.
- ISO 18436-2 Condition monitoring and diagnostics of machines – Requirements for qualification and assessment of personnel, Part 2 – Vibration condition monitoring and diagnostics.
- ISO 18436-3 Condition monitoring and diagnostics of machines – Requirements for qualifications and assessment of personnel, Part 3 – Requirements for training bodies and the training process.
- ISO 13372 Condition monitoring and diagnostics of machines – Vocabulary

4.2. CMVA / ACVM Documents

The following referenced CMVA / ACVM documents are indispensable for the effective implementation and operation of this Certification Scheme and its processes.

- Appeals Form, FM-011-1
- Feedback Form, FM-011-2
- Survey, FM-011-3
- Feedback Log, FM-011-4
- Improvement Log, FM-005-1
- Corrective and Preventive Actions Procedure, PR-005

5. Responsibility

5.1. Executive Director

The Executive Director or designate is responsible for ensuring this procedure is written to meet the latest requirements for appeal and complaints as stated in the ISO 17024 standard for Conformity Assessment.

The Executive Director is also responsible for the appeal and complaints processes and for communicating the requirements of this procedure to all staff, Board of Directors, volunteers and other interested parties, as applicable. This communication should be in a format where all affected personnel understand their roles and responsibilities as it relates to this procedure.

5.2. National President

The CMVA / ACVM National President in office or designate is responsible for reviewing and approving this procedure for adequacy prior to release.

5.3. Appeals and Complaints Committee

The Appeals and Complaints Committee are responsible for the appeals and complaints process if the Executive Director has determined a potential conflict of interest exists. This Committee is also responsible for investigating any trends related to appeals and complaints. This includes taking or recommending actions to be taken to resolve any related issues.

5.4. Board of Directors

The CMVA/ ACVM National Board of Directors are responsible for reviewing information related to appeals and complaints during the management review process. This includes taking necessary actions to improve processes as needed.

5.5. Staff/ Volunteers/ Document Users

As applicable to their role within the CMVA/ ACVM, all Staff, Volunteers and Document Users are responsible for following the processes required by this procedure and for reporting any nonconformity or opportunity to improve this procedure or the processes described within it.

6. Process Requirement

Individuals wishing to appeal any decision made by CMVA / ACVM regarding any part of the certification process are required to complete the Appeals Form, FM-011-1. The Appeals form and a description of the appeals process are publically accessible on the CMVA / ACVM website, www.cmva.com. Any CMVA

/ ACVM staff or member who receives an appeal request must direct the individual to the website to ensure confidentiality and impartiality.

For all stages of the appeals process, there shall not be results that are in any way discriminatory against the appellant. The appellant will be provided with progress reports and the outcome of their appeal.

6.1. Appeals Handling

6.1.1. Receiving Appeals

When an individual completes the online Appeals Form, FM-011-1, it is submitted to the Executive Director. The Executive Director will review and validate the completed appeals form. This includes making sure all information is clear and complete, and gathers supporting documentation, as applicable to the situation. In a timely manner, the Executive Director will then respond to the Appellant to acknowledge receipt of the Appeal and will clarify any information at that time.

If the Executive Director identifies any potential conflict of interest regarding the appeal, the appeal is forwarded to the Appeals and Complaints Committee to follow up and resolve. The Committee is responsible to identify any of its members who may have made decisions related to the situation being appealed. If this is the case, this member must be excused from that particular appeal situation.

The Executive Director or designate, will log the Appeal into the Improvement Log, FM-005-1. Depending on the situation, the Executive Director may initiate a corrective or preventive action in accordance with the Corrective and Preventive Action Procedure, PR-005. He/ She will also review the history of appeals and determine if there have been similar occurrences. If similar occurrences exist, this information and supporting documents must be forwarded to Appeals and Complaints Committee.

6.1.2. Evaluating Appeals

Upon receipt of an appeal, the Appeals and Complaints Committee review the appeal information. This information may include any or all of the following, depending on the decision being appealed.

- Completed Application Form
- Completed re-certification Form
- Examination Results
- Previous similar appeals

The Appeals and Complaints Committee will investigate and evaluate, in a timely manner, the appeal by reviewing all documented evidence and interviewing the appellant and applicable CMVA / ACVM staff and/or members as appropriate. Results from the evaluation and investigation are documented in the CMVA / ACVM section of the Appeals form.

6.1.3. Decisions on Appeals

After the appeal has been evaluated, the Appeals and Complaints Committee will make a decision(s) as to the actions that need to be undertaken to resolve the appeal. Decisions and resulting actions are recorded in the CMVA / ACVM section of the Appeals form.

The Appeals and Complaints Committee will forward their decision(s) and resulting action(s) to the Executive Director along with all associated documentation. The Executive Director will review the documents and decisions to ensure they are in accordance with the requirements of the CMVA / ACVM management system. He/ She then update the Improvement Log with appropriate information. The Executive Director will provide a formal notice to the Appellant

regarding the results of the appeal. All records related to the appeal are maintained and retained by the Executive Director.

As required by the actions resulting from the appeal decision, the Executive Director will initiate continuous improvement activities to ensure any deficiencies within the management system are corrected.

6.2. Feedback and Complaints Handling

All members and/or staff of CMVA / ACVM who hears of any type of feedback, especially a complaint, or receives written notification of a complaint and feedback are required to immediately notify the Executive Director either verbally or written, such as an email.

Individuals wishing to provide feedback or file a formal complaint are asked to complete the online Feedback Form, FM-011-2. The Feedback Form and a description of the complaints process are publically accessible on the CMVA / ACVM website, www.cmva.com. Any CMVA / ACVM staff or member who receives a complaint request must direct the individual to the website to ensure confidentiality and fairness.

For all stages of the complaints process, all parties shall be treated fairly and equitably. Where possible, the complainant will be provided with progress reports and the outcome of their complaint.

6.2.1. Receiving Feedback and Complaints

When an individual completes the online Feedback form it is submitted to the Executive Director. The Executive Director will review and validate the completed feedback form. This includes making sure all information is clear and complete, and gathers supporting documentation, as applicable to the situation.

In the case of a complaint, the Executive Director will then respond in a timely manner, to the Complainant to acknowledge receipt of their complaint and will clarify any information at that time.

The Executive Director will then log the Feedback into the Feedback Log, FM-011-4. If the feedback is a complaint, the Executive Director may initiate a corrective or preventive action in accordance with the Corrective and Preventive Action Procedure, PR-005. He/ She will make note of such on the feedback form and within the feedback log. A review of the history of complaints is completed to determine if there have been similar occurrences. If similar occurrences exist, this information and supporting documents must be forwarded to Appeals and Complaints Committee. The Appeals and Complaints Committee ensures none of their committee members were involved in the activities that resulted in the complaint.

If the feedback is not of a formal nature, for example, something overheard or given informally to CMVA / ACVM staff or member, it is still forward to the Executive Director who will document the feedback in the Feedback Log for trending.

6.2.2. Evaluating Complaints

Upon receipt of a complaint, the Appeals and Complaints Committee reviews information related to the complaint. This information may include any or all of the following, depending on the decision being appealed.

- Completed Application Form
- Completed re-certification Form
- Examination Results
- Previous similar complaints

The Appeals and Complaints Committee will investigate and evaluate, in a timely manner, the complaint by reviewing all documented evidence and interviewing the complainant and applicable CMVA / ACVM staff and/or members as appropriate. Results from the evaluation and investigation are documented in the CMVA / ACVM section of the Complaints form.

6.2.3. Decisions on Complaints

After the complaint has been evaluated, the Appeals and Complaints Committee will make a decision(s) as to the actions that need to be undertaken to resolve the complaint. Decisions and resulting actions are recorded in the CMVA / ACVM section of the complaints form.

The Appeals and Complaints Committee will forward their decision(s) and resulting action(s) to the Executive Director along with all associated documentation. The Executive Director will review the documents and decisions to ensure they are in accordance with the requirements of the CMVA / ACVM management system. The Executive Director will update the Feedback Log and/ or Improvement Log as appropriate. The Executive Director will provide a formal notice to the Complainant regarding the results of the complaint. All records related to the complaint are maintained and retained by the Executive Director.

As required by the actions resulting from the complaint decision, the Executive Director will initiate continuous improvement activities to ensure any deficiencies within the management system are corrected.

END OF PROCEDURE