



Complaints and Appeals Procedure

Scope of Procedure

Response to general queries; the complaints process, and the processing of appeals arising from the audit process, recommendations and decisions, and the outcome from the complaints process.

Complaints and Appeals Policy

ICA Risk treats complaints, queries and appeals seriously and aims to deal with matters of concern swiftly and effectively. It is the policy of ICA Risk to:

- Communicate the process for handling complaints and appeals to interested parties
- Respond to all complaints and appeals in a timely manner
- Proactively obtain feedback from clients
- Investigate all complaints and appeals, responding appropriately as detailed in the procedure set out below
- Treat all complaints and appeals confidentially, in line with the Confidentiality Policy
- Safeguard impartiality by ensuring there is no conflict of interest, in line with the Impartiality Policy
- Keep records of all complaints and appeals

For the purpose of this policy, complaints, appeals and queries shall be defined as follows:

- a complaint is a statement of dissatisfaction that something is unacceptable or unsatisfactory
- a query is a question or statement that requires a response to give clarification or an explanation.
- an appeal may be formal or informal and is asking ICA Risk to reconsider a decision that has been made in relation to a certification decision or the outcome of an audit.

Submitting a Complaint or Appeal

Submission, investigation and decision on complaints and appeals shall not result in any discriminatory actions against the client.

A member of the CAB team shall try to address any complaints informally in the first instance. Where a complaint cannot be dealt with informally, the complaint shall be escalated formally by submitting in writing to risk@int-comp.org. All complaints and appeals shall be responded to in writing by the CAB team.

Appeals may be submitted where the client does not agree with the certification decision, or the outcome of a complaint. The Appeal shall be submitted no later than 90 days after receiving the certification or complaint decision.

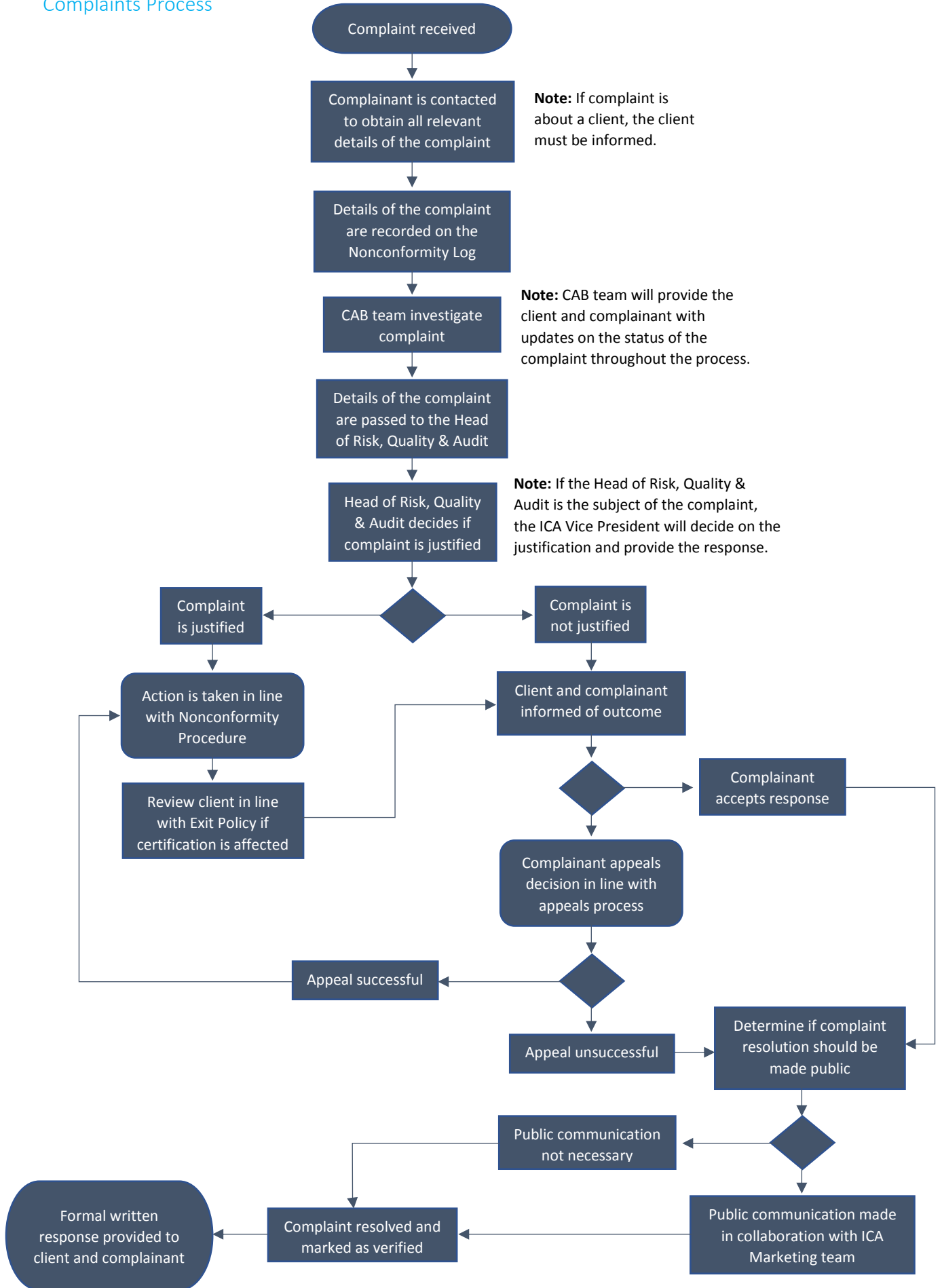
ICA Risk's certification committee will act as an appeal board in charge of the appeal process. As the decision maker in the certification process, the Head of Risk, Quality & Audit will not take part in the decision making on the appeals board.

Submitting a Query

All queries shall be directed to the CAB team at risk@int-comp.org. All queries shall be responded to within 72 working hours.



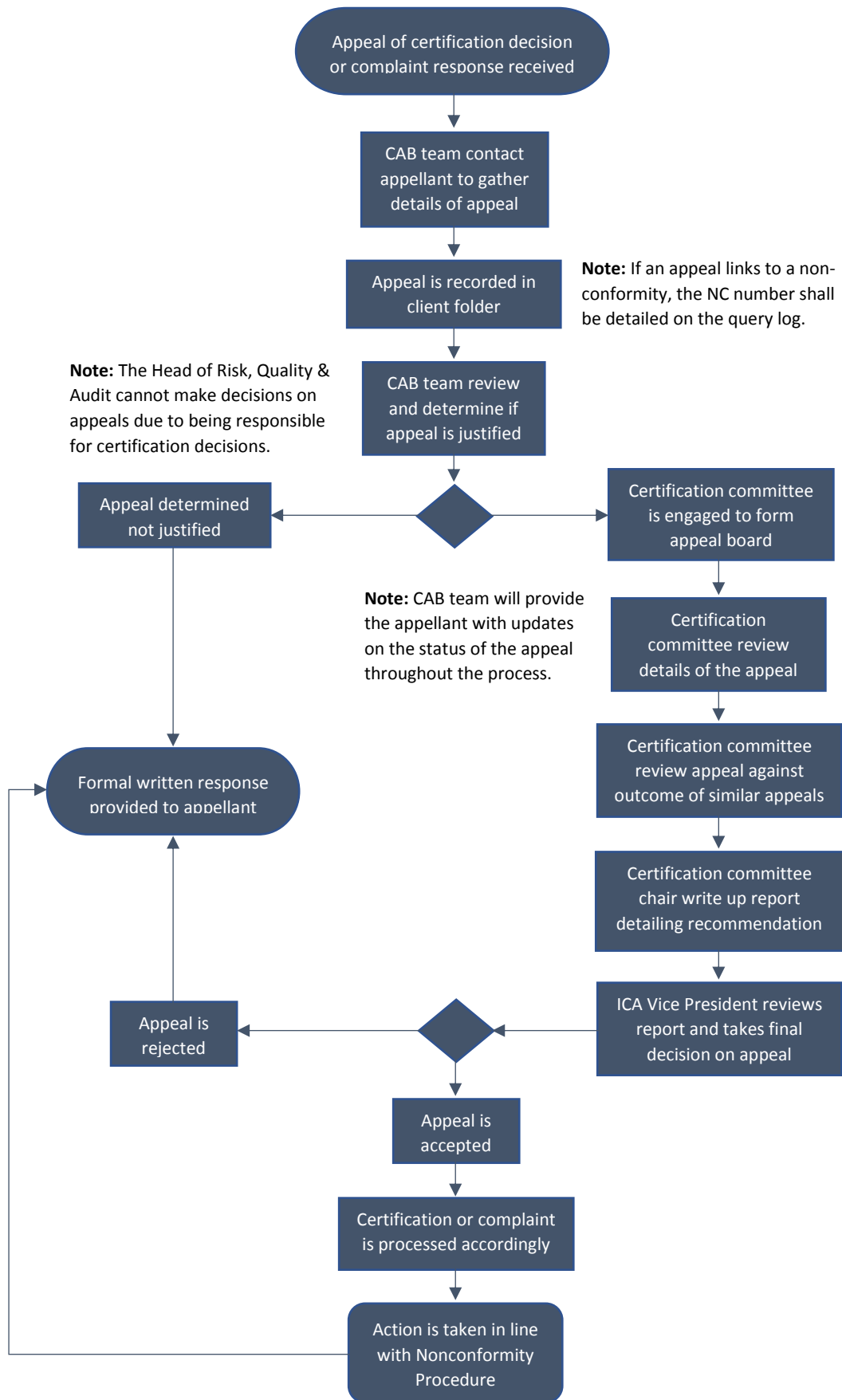
Complaints Process





RISK

Appeals Process

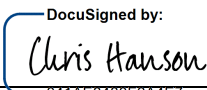
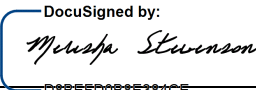




Version History

Date of Release	Summary of Changes
06/04/21	Document reviewed in line with change of management.
02/06/21	<ul style="list-style-type: none"> Removed charge for unsuccessful appeals. Expanded the process for investigation and decision making of complaints. Expanded the process for the investigation and decision making of appeals. Documented that the certification committee will form the appeals board and that Vice President will make decisions. Expanded complaints process to cover complaints made against clients. Updated notes about CAB providing updates throughout the process.
08/12/21	<ul style="list-style-type: none"> Added new logo.
17/02/22	<ul style="list-style-type: none"> Rebrand to ICA Risk.
October 18, 2022 14:09 BST	<ul style="list-style-type: none"> Updated email address to 'risk' instead of 'audit'. Removed reference to query log.

Review & Approval

Document Updated By	Document Approved By
Name: Chris Hanson	Name: Merisha Stevenson
Signature: 	Signature: 
Date: October 14, 2022 11:37 BST	Date: October 18, 2022 14:09 BST