

## COMPLAINTS PROCESS

This document outlines the processes to be followed by NCO when any person or organisation expresses dissatisfaction to NCO relating to its activities, the activities of certified operators, or the misuse of NASAA label.

### COMPLAINTS RECEIVED

Complaints received by NCO may be made by certified operators or the public and may be:

- i. regarding reference to NCO certification on a product, whether certified or not, which may be incorrect or misleading. This may also include the logo(s) of NCO's accreditations including JAS and USNOP
- ii. possible use of non-acceptable practices by a NCO licensee
- iii. regarding NCO's service, or about any aspect of NCO's certification system

#### 1. General:

- 1.1 Any complaint is to be treated as a serious matter.
- 1.2 Advice on complaints shall not be given by NCO staff until such time as a formal complaint is received, and has been processed in accordance with this procedure.
- 1.3 To be considered a complaint, any expression of dissatisfaction/issue of concern must be received in writing.
- 1.4 Therefore, to be accepted and classified as a complaint, it shall:
  - i. Be in writing (Refer to end of document for the NCO Complaint Submission Form).
  - ii. Include a detailed description of the complaint;
  - iii. Include evidence to substantiate any complaint.
- 1.5 Anonymous submissions will not be accepted.

#### 2. Timeframe and Monitoring:

- 2.1 The NCO General Manager or Certification Manager shall within 10 calendar days provide an initial response informing the complainant that the complaint submission is either:
  - a. Complete and provide an outline of NCO's proposed course of action to follow up on the complaint, or
  - b. Incomplete and provide an overview of missing information.
- 2.2 The relevant NCO Manager shall keep the complainant informed of the progress in evaluating the complaint and shall have investigated the complaint according to this procedure and inform about outcome of the complaint within three months of receiving the complaint.
- 2.3 In the event where a complaint cannot be closed within a period of three months, the complainant shall be informed about the delay and its corresponding reasons.
- 2.4 All complaints and resulting actions shall be recorded in the NCO Complaints register and where applicable, the NCO licensee file.
- 2.5 A summary of complaints will be reported to the Board at Board meetings.
- 2.6 The decision resolving the complaint shall be made by, or reviewed and approved by person(s) not involved in the certification activities related to the complaint.
- 2.7 Any persons for whom there is a conflict of interest (COI), or where there has been a COI with the client within the past two years in relation to the complaint shall exclude themselves or be excluded from the investigation and resolution of the complaint.

#### 3 Confidentiality

- 3.1 The details of the complainant will be kept confidential in the process of resolving complaints.
- 3.2 NCO shall inform the complainant promptly of the general outcome of the matter in a way that does not compromise the confidentiality of the parties concerned.



#### **4 Outcome and further course of action**

- 4.1 If the complainant is not satisfied with the outcome of the complaint investigation, the complainant may elevate the complaint to the NCO Board.

#### **5 Responding to use of its name or certification mark or certificates by uncertified parties:**

- 5.1 NASAA is responsible for protecting the NASAA label and/or reputation when used without authorization by a non-NCO certified operation. Therefore, complaints regarding use of NASAA label or Certificate of registration by uncertified parties shall be referred to the NASAA General Manager (GM). NASAA GM may follow the NCO Complaints procedure. The outcome of the investigation of these cases may result in legal action. If the outcome is relevant to any NCO certified operator NASAA GM will communicate with NCO.

#### **6 Matters arising from the consideration of a complaint**

- 6.1 NCO shall ensure that it addresses any structural or procedural inadequacy that becomes apparent from the consideration of a complaint.
- 6.2 Where the investigation of a complaint identifies the misuse of NCO Name, certificate information and/or NASAA label by a certified operator/applicant, this constitutes a non-compliance and sanctions will apply.



## NCO Complaint Submission Form

Name of the Complainant	
Organisation	
Phone Number	
Email	
Description of the complaint	
Name of the subject (e.g. If the complaint is about NCO Operator please specify the name and NCO Registration number)	
Include evidence to substantiate your complaint. Please attach any additional documentation to this form.	
State any steps taken so far, such as persons contacted, responses received, etc.	
Expected outcome Please state what you expect to achieve with this complaint.	
Additional information	

Signature:

Place and Date: