

The Lloyd's Register Management Systems Complaints and Appeals Process



Complaints and disputes

Overview

At various stages during assessment, validation, or verification activities, disputes over findings occasionally arise. These processes require the assessor, validator, or verifier to clearly define the documentary evidence on which findings are made. The assessor, validator, or verifier presents this evidence to the client both during and at the close of the assessment, validation, or verification. For visits undertaken at the client's premises, the assessor (or validator, or verifier) will do this while on site. Disputes that may arise during the assessment / validation / verification should be resolved at that time.

Other complaints, disputes, and feedback of dissatisfaction raised outside the assessment, validation, or verification process either by a Lloyd's Register (LR) client or a third party should be made as identified in the below section 'Contacting Lloyd's Register'.

Office review

However, if it proves impossible to resolve a matter during a visit, the client or the assessor (or validator, or verifier) can take the issue to the appropriate technical manager in the office that holds the assessment contract. This may result in discussions between the client and the staff of the office.

On receipt of a complaint, the appropriate technical manager will contact the third party to request more information and will start the investigation and resolution of the complaint in line with process described below.

Corporate technical review

In the unlikely event that such discussions fail to reach a satisfactory conclusion, the Area Operations Manager may call on additional advice from the Corporate Technical and Quality Department. If so, the local office conveys the views of the Corporate Technical and Quality Department back to the client. Most cases escalated to this level are resolved at this stage. However, if the case cannot be resolved at this level, the client has a right to an independent appeal.

Independent panel

In this case, the manager of the office holding the assessment contract presents the matter to the Management Systems Business Director, who contacts the LR Management Systems Technical and Advisory Board. This is a group of independent industry experts, drawn from interested parties across the world, with responsibility for monitoring the quality of service delivered by Lloyd's Register's Management Systems division.

The Chairman of the Technical and Advisory Board nominates three impartial members to act as an appeals

panel with one member as chairperson. The panel decides the date of a meeting to consider the issue and directly informs the appellant to ensure that they have an opportunity to attend and present their case. The panel may also call any other witness and consult with experts they deem appropriate to reach a final judgement.

Final decision

The manager of the office holding the assessment contract communicates the written findings of the appeals panel to the appellant. LR considers the judgement of the appeals panel to be the final decision.

Contacting Lloyd's Register

To formally initiate the complaints process, use the online Feedback form at <https://www.lr.org/en/contact-us/>, alternatively, write to the office manager at your local LR office.

When LR receives a complaint relating to one of our approved clients, this will be investigated by LR at the next visit to the client.

As a result of the visit and complaint investigation, one of the following is possible:

- a) if their management system is found to be ineffective in dealing with the complaint, LR will raise this issue with the company and will instigate a process that may result in suspension and even the eventual withdrawal of their certificate.
- b) if the complaint is found not to be justified, or acceptable corrective action has been taken, no further action will be taken.

We regret that we will not be able to tell you of the details of the investigation without our client's full consent as we have a confidentiality agreement in place with them.

Third party complaints

These fall into two categories:

- complaints received by LR against one of its clients
- complaints against LR.

If LR receives a complaint against a client, one of two courses of action may be adopted depending on the seriousness of the complaint.

If a minor concern, your assessor will raise it at your next visit. However, if the time to your next visit is considered too long taking into account the seriousness of the complaint, you will be contacted by LR with the details of the complaint and requested to provide an appropriate response.

It may be necessary for LR to undertake a short notice visit as part of the investigation of the complaint. This will be discussed with you to ensure clarity on the scope of the visit and those who need to be involved, both from LR and your organisation.

Appeals

If LR receives a written appeal for the reconsideration of a decision made by Corporate, an LR office, the Accreditation Manager immediately tells the Management Systems Business Director and collates the appeal, relevant documentation and findings of earlier investigations.

As soon as practical, the Management Systems Business Director contacts the Chairperson of the Technical and Advisory Board (TAB), who nominates three impartial members of the TAB to act as the appeals panel. The TAB Chairperson appoints one of the panel members as the chairperson for the panel.

The panel agree the location, date and time to hear the appeal. They communicate this information to the appellant and advise the appellant that they have the right to attend and formally present their case. The appeals panel have the right to hear witnesses and consult with experts they deem appropriate to reach a final judgement.

Final decision

The manager of the office holding the assessment contract communicates the written findings of the appeals panel to the appellant. LR considers the judgement of the appeals panel to be the final decision.

Accreditation Bodies

An individual or organisation that has raised a complaint against either LR or one of LR's clients has the right to communicate their complaint to the appropriate accreditation body at any point in the complaints and appeals process. As an accredited certification body LR will co-operate with such bodies with regards to the investigation of the complaint or appeal in accordance with the terms of our accreditation.



Get in touch

Please visit www.lr.org for more information

Care is taken to ensure that all information provided is accurate and up to date. However, Lloyd's Register accepts no responsibility for inaccuracies in, or changes to, information.

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