

## **Lunarline, Inc.**

# **Complaint and Appeals Process**

© Lunarline, Inc. All rights reserved.  
All printed copies, and all electronic copies and versions except the one accessible on the  
Lunarline site are considered uncontrolled copies used for reference only.

## Table of Contents

---

|   |   |
|---|---|
| 1. Overview .....                                 | 3 |
| 1.1 Purpose .....                                 | 3 |
| 1.2 Scope .....                                   | 3 |
| 1.3 Background .....                              | 3 |
| 2. Contacts and Escalation Hierarchy .....        | 4 |
| 3. Process .....                                  | 4 |
| 3.1 Complaints .....                              | 4 |
| 3.2 Appeals.....                                  | 4 |
| 3.1 Confidentiality.....                          | 5 |
| Attachment A – Complaint Form .....               | 6 |
| Attachment B – Formal Closure Notice Example..... | 7 |

## 1. Overview

---

### 1.1 Purpose

The purpose of this procedure is to outline the process in the event that a complaint or appeal is received from customers, organizations, candidates, certified persons, and other parties in regard to the rules, policies, procedures, certification decisions, or overall Lunarline operations.

### 1.2 Scope

It is the goal of all Lunarline to continually improve and provide excellent service to its customers. Lunarline has implemented a well-delineated complaint and appeals process for situations when a customer is unsatisfied with the efforts provided by the Lunarline so that Lunarline may formally identify, document, investigate and resolve issues thoroughly.

Note: Individual reports of product or service nonconformity shall be recorded and processed in accordance with contractual requirements, customer/government reporting requirements and/or the Lunarline procedure for control of nonconformity (Section 8.3 of the Quality Manual). The Lunarline Improvement Opportunity System may be used to report and resolve trends related to these problems, in order to escalate the resolution.

### 1.3 Background

Lunarline has established an ISO 9001 Quality Management System and was first certified in 2008. The company has implemented software design / development, project planning & monitoring, and other processes to ensure customer requirements, industry standards, and process improvement model guidelines are met.

As an accredited 3PAO, Lunarline has met the requirements based on ISO/IEC 17020:2012 for performing security assessments and has integrated quality control steps into each process. The company has implemented a corrective and preventative process, referred as the Improvement Opportunities (IO) process. The IO process meets all the requirements for ISO 9001's corrective and preventive action clauses as well as control of nonconforming material requirements. The process uses a database, referred to as the IO System, which tracks defects and issues at the individual product level all the way up to company process or system level. The IO System ensures that every issue is investigated, root cause analysis performed, resolution activities performed, verification conducted and approved, and trend data captured and analyzed.

As a part of the company's Quality Management System, Lunarline performs internal process, project and work product audits. These audits ensure compliance to customer requirements, quality standards and other process requirements, particularly those of the Federal Risk and Authorization Management Program (FedRAMP). Trained and qualified auditors perform objective evaluations of work performed in cooperation with the company's ISO Management Representative's audit schedule. The results of audits are recorded in the company's audit records. Non-compliances are processed through the company's IO System and follow-up is performed to ensure resolution was effective. Quality assurance, verification, validation, testing and other applicable records are available to a customer, or external auditing organizations, to demonstrate the compliance of work products and the inspection results.

Investigation and decision on appeals will not result in any discriminatory actions.

## 2. Contacts and Escalation Hierarchy

---

Customers have access to the Lunarline Program Manager, Director and company Executives if they believe Lunarline efforts are sub-standard. Lunarline seeks ongoing evaluation of products and services through customer performance surveys and has established its quality management system to foster a high level of customer satisfaction.

At any time that a customer wishes to comment on Lunarline's performance, the following individuals may be contacted with the detailed deficiencies or where improvements can be suggested. In escalation order:

- Bobbie Cordle, Director of Certifications and Quality/Compliance (ISO Management Representative), [bobbie.cordle@lunarline.com](mailto:bobbie.cordle@lunarline.com)
- Waylon Krush, Chief Executive Officer (CEO), [waylon.krush@lunarline.com](mailto:waylon.krush@lunarline.com)

*Corporate Mailing Address: 3300 N. Fairfax Drive, Suite 212, Arlington, VA 22201 | Phone: 571-481-9300*

## 3. Process

---

### 3.1 Complaints

All complaints are reviewed by the Managing Director and/or a designated employee assigned by him or her. The designated employee shall not be part of the staff involved in the assessment against which a complaint or appeal is being issued.

Any person may submit a complaint to online at <https://www.jotform.com/Lunarline/file-new-complaint> (preferred) or via email at [quality@lunarline.com](mailto:quality@lunarline.com). When emailing, Lunarline recommends using the **Complaint Form** (Attachment A) to ensure rapid and accurate responses to complaints. However, the form is not mandatory.

*A phone call to the individuals listed above is acceptable. If this method is used, Lunarline suggests that organizations read from written notes to ensure a complete description of the complaint is discussed.*

Upon receipt, Lunarline will confirm whether the complaint relates to activities for which it is responsible. A response will be arranged within 30 days of receipt of the written complaint.

Whenever possible, Lunarline will provide formal notice of the decision and end of the handling process to the complainant. The decision to be communicated to the complainant is made by, or reviewed and approved by, individual(s) not involved in the original activities in question.

### 3.2 Appeals

If the person filing the complaint is not satisfied with the review and the decision made upon the complaint, he or she may consider filing an appeal. Any appeal must be put in writing. Lunarline will accept appeals via email at [quality@lunarline.com](mailto:quality@lunarline.com). The letter of appeal must contain the grounds for appeal and should be lodged within 10 days of receipt of the formal notice of decision.

A response will be arranged within 30 days of receipt of the appeal letter.

Whenever possible, Lunarline will provide formal notice of the decision and end of the handling process to the appellant. The decision to be communicated to the appellant is made by, or reviewed and approved by, individual(s) not involved in the original activities in question.

### **3.1 Confidentiality**

The complaint and appeal handling process are private matters between Lunarline and the members involved. No details of the decision will be communicated to any third party by any member involved, unless where required by law or contractual obligation.



## Attachment A – Complaint Form

---

|                      |       |
|----------------------|-------|
| Complainant Name     | _____ |
| Complainant Company  | _____ |
| Complainant Position | _____ |
| Complainant Address  | _____ |
|                      | _____ |
| Complainant Email    | _____ |
| Complainant Phone    | _____ |
| Project Name/Nature  | _____ |

### Sources of Information (and corresponding contact information)

### Detailed Description of Complaint (use as much space as needed)

Please attach all supporting evidence and email to [quality@lunarline.com](mailto:quality@lunarline.com).

Thank you again for your feedback. We appreciate the time you have taken and will actively use it to improve our services to you.



## Attachment B – Formal Closure Notice Example

|  |  |  |                |
|--|--|--|----------------|
| Complainant Name                               |  | Contract Number  |                |
| Address  |  | City   | State/Province |
|  |  |  | Postal Code    |
| Phone  |  | E-mail   |                |
|  |  |  |                |
| Complaint Taken By (Lunarline Employee)        |  |  |                |
|  |  |  |                |
| Date Complaint Received                        |  | Invoice Number   |                |
|  |  |  |                |
| Product/Service Description                    |  |  |                |
|  |  |  |                |
| Complaint:                                     |  |  |                |
|  |  |  |                |
| Description of Service Fault, if any:          |  |  |                |
|  |  |  |                |
| Lunarline Corrective Action (include POC):     |  |  |                |
|  |  |  |                |
| Has the problem been resolved?                 |  | <input type="checkbox"/> Yes <input type="checkbox"/> No |                |
| If no, to whom was the problem transferred?    |  |  |                |
| How will the problem be avoided in the future? |  |  |                |
|  |  |  |                |

\_\_\_\_\_  
Customer Signature

\_\_\_\_\_  
Lunarline Signature

\_\_\_\_\_  
Print/Typed Customer Name

\_\_\_\_\_  
Print/Typed Employee Name

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date

**Revision History Table**

| Revision | Approval Date | Description  |
|----------|---------------|--|
| 1.0      | 9/18/2014     | Initial Release.   |
| 1.1      | 10/5/2015     | Minor update to formatting with cover page, including copyright and version language, revision history table, table of contents, and headers; updated hierarchy POCs; addition of appeals language |
| 1.2      | 5/30/2016     | Minor update to reference Quality Management System without ISO 9001 and CMMI, previously addressed/redundant (section, Background and Process)  |
| 1.3      | 6/13/2016     | Include addition of non-discriminatory language; consolidated all appeal language  |
| 1.4      | 5/4/2018      | New header/footer, font changed, Appendix A updated  |
| 1.5      | 5/21/2018     | Cover page updated; Heading number style changed; Footer updated; Revision table format updated; added table of contents   |
| 1.6      | 2/22/2019     | Addition of purpose statement, updated details on POCs; confidentiality statement; minor edits throughout  |
| 1.7      | 3/14/2019     | Update to include online methods of submission; updated POCs; updates to appendix forms; add approver of revisions below this table  |

*\*Director of Quality and Compliance provides final approval for all revisions.*