 <small>UNIVERSAL CERTIFICATION AND MANAGEMENT PVT. LTD.</small>	UNIVERSAL CERTIFICATION AND MANAGEMENT PRIVATE LIMITED		Doc. No.	UCMPL-QP-06
			Rev. No.	00
	TITLE: COMPLAINT HANDLING MANAGEMENT		Rev. Date	01.11.2024


Purpose: The purpose of this procedure is based documented guidelines for managing complaints made by our client organization and other interested parties.

Scope: This procedure covers Complaints received by UCMPL clients or UCMPL or against UCMPL's staff related to its working and behavior.

Responsibility: Managing Director

Authority: This procedure is authorized by the Managing Director and can be amended only by him.

Sec.	Sub Sec.	Description
1.		An applicant, a certified company or any interested party may lodge a complaint. This procedure is also publicly available on UCMPL website. UCMPL gives utmost importance to complaint resolution, whether it is from our clients or from elsewhere. Complaints may arise due to dissatisfaction from- <ul style="list-style-type: none"> a. UCMPL and its working b. UCMPL's Staff c. UCMPL's Clients
2.		Administration of Complaints Any complaint received by UCMPL in writing or by e-mail or telephone in respect of its functions as a certification body or a company certified by it, shall be recorded in the complaint register within 8 working hours Acknowledgement of receipt of the complaint shall be provided to complainant with 2 working days from receipt of the complaint is reviewed by the Managing Director. If the complaint is found meaningful, it is investigated by the MD and conclusion is recorded in the complaint register within 3 months. If the complaint is related to the existing client- <ul style="list-style-type: none"> a. Managing Director must ensure that the effectiveness of the certified management system is checked by competent auditor(s), who were not involved with the client previously. b. The Response has been sent to certified client within 14 days of receiving of complaint and recorded in the complaint register. The tracking and recording complaints, including actions undertaken in response to them is maintained.
3		Investigation
	3.1	The complaint is investigated to assess its meaningfulness. The Managing Director assigns responsibility of investigation to only those persons who are not involved in the complaint related activities. If the complaint is found frivolous, the conclusion is recorded in the Complaint record and the complaint is closed and the complainant is informed.
	3.2	If the received complaint is about audit team's decision, it is transferred to Appeals register and dealt with as per Quality Procedure for Appeal Management.
	3.3	If the complaint is about our assessment and certification process or staff behavior the same is looked after by the Managing Director/Quality Manager . The involved personnel are not involved in investigation or resolution process.
	3.4	If the received complaint is about actual or perceived impartiality of our audit or certification process, the complaint is looked after by the Managing Director and the information is provided to the Impartiality committee . The Impartiality committee monitors the complaint resolution process.
	3.5	If the received complaint is about our registered and certified clients, the complaint is looked after by the Managing Director, and it is followed up with the Client. Appropriate corrective action is taken. UCMPL determine, together with the client and the complainant, whether and, if so to what extent, the subject of the complaint and its resolution shall be made public <u>so no discrimination will occur</u> . Audit and certification process are reviewed to identify any weakness in our audit and certification process, and appropriate corrective or preventive action is taken.
4		If the complaint is found to be correct and of such magnitude that might affect our reputation as well as of ISO standard's reputation, the client is issued verbal notice to justify or rectify its deficiency within 14 days. In case the dispute is not resolved, a written notice of suspension of certificate is issued stating all the facts and requesting resolution of issue within one month. When the deficiency is not eliminated within the agreed time, the suspension of the certificate is extended for 6 months or till next surveillance audit, whichever is earlier. If the deficiency is not removed by the due date, the certification is withdrawn and information is posted

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		on the website. <u>The Complainant is kept updated about the action taken subsequent to their complaint. Relevant information is provided to the accreditation body.</u>
5	5.1	Resolution of Complaint All complaints are initially looked by the Managing Director or who assigns responsibilities of investigation and resolution to appropriate employees or empaneled personnel. Summary of action taken to resolve complaint, is recorded in the Complaint disposal register. The complainant is updated about action taken.
	5.2	After addressing the complaint, a formal notice of the end of the complaints-handling process is forwarded to the complainant.
	5.3	In case the client or the complainant, desires that the result of complaint investigation and action taken should be made public, UCMPL makes the information available to the public to the extent that does not infringe any confidential information of the involved parties.
	5.4	In case the complaint closure takes more than the 3 months, the issue shall be brought to the notice of the Accreditation body, if applicable.
	5.5	In case the complainant is not satisfied with the result of the complaint handling process the issue will be brought to the knowledge of the impartiality committee. Complaints are not closed out within a timeframe as prescribed then agreed with the complainant shall be escalated to the UCMPL's top management to ensure that the complaint receives the appropriate priority.
Reference: <ul style="list-style-type: none"> ✓ UCMPL-F-13-Complaint Record Register including Resolution ✓ UCMPL Website 		