

| ICV ASSESSMENTS PVT. LTD. | |
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| Document name | SOP for Complaint Management |
| Document no | ICV/CM/SOP/03 |
| Issue Date | 02.07.2019 |
| Review schedule | Annual |
| Revision no: 00 | Revision date : - |
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STANDARD OPERATING PROCEDURE
FOR
Complaint Management

Approved by
C E O

Prepared by
Tech. Manager

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1.0 Purpose:

To lay down documented guidelines for managing complaints made by our client organization and other interested parties.

2.0 Scope:

This covers all type of Complaints against ICV clients or ICV or against its staff related to its working and behavior. (except appeals made against audit team's conclusions & decisions)

3.0 Responsibility:

C E O

4.0 Authority: This procedure is authorized by the C E O and can be amended only by him.

5.0 Procedure:

5.1 Complaint Management

ICV gives utmost importance to complaint resolution, whether it is from our clients or from elsewhere. Complaints may arise due to dissatisfaction from -

- i. ICV and its working
- ii. Staff of ICV
- iii. Clients of ICV

5.2 Receipt of Complaints: Complaints may be lodged in person, by phone, by E mail or by Post.

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As soon as any complaint is received, whether as letter, phone , orally or by E mail, the same is recorded in complaints register.

Ref:- Record of complaint & disposal is maintained for 4 years or till it is resolved, whichever is more.

5.3 Acknowledgement of complaint: All Complaints are acknowledged within 3 working days.

Ref: Record of Complaint – disposal

5.4 Investigation: The complaint is investigated to assess its meaningfulness. The CEO 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.

If the complaint is found prima facie meaningful, corrective action is taken and the complainant is updated about the action initiated.

5.4.1 If the received complaint is about audit team’s decision, it is transferred to Appeals register and dealt with as per SOP for Appeal Management & same is communicated to client.

5.4.2 If the complaint is about our assessment and certification process or staff behavior the same is looked after by the Director. The personnel against to whom was complaint lodged are not involved in investigation or resolution process.

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5.4.3 If the received complaint is about actual or perceived impartiality of our audit or certification process, the complaint is looked after by the CEO and the information is provided to the Impartiality committee. The Impartiality committee monitors the complaint resolution process.

Ref: MOM of the impartiality committee

5.4.4 If the received complaint is about our registered and certified clients, the complaint is looked after by the CEO, and it is followed up with the Client. Appropriate corrective action is taken. ICV determines, 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.

Audit and certification process is reviewed to identify any weakness in our audit and certification process, and appropriate corrective or preventive action is taken.

6.0 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 two week.

In case the dispute is not resolved, a written warning of suspension of certificate is issued stating all the facts and requesting resolution of issue within one month. The client is warned that if the deficiency is not eliminated within the agreed time the certificate would be suspended.

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If the Client does not eliminate the deficiency, client is suspended, client's status is published in suspension list on our website & communicated to client & complainant (Refer Website & client's file). Suspension remains applicable till elimination of the deficiencies or next surveillance audit whichever is earlier, failing which one month notice for "withdrawal of certificate" served to the client. The certificate is withdrawn and the status is published in our website, If the client does not submit satisfactory corrective action within the aforementioned time, the client & complainant kept updated (Refer Website & client's file).

5.5 Resolution of complaints: All complaints are initially looked by the C E O, who assigns responsibilities of investigation and resolution to appropriate employees or empanelled personnel. Summary of action taken to resolve complaint is recorded in the Complaint disposal register. The complainant is updated about action taken.

5.6 After addressing the complaint, a formal notice of the end of the complaints-handling process is forwarded to the complainant.

5.7 In case the client or the complainant, desires that the result of complaint investigation and action taken should be made public, ICV makes the information available to the public to the extent that does not infringe any confidential information of the involved parties.

Ref: Complaint – disposal Record

Note: papers related to complaint and action taken, if any, is kept in the concerned client's file.