

 <b>IQMCINDIA</b> CERTIFICATION PVT. LTD. A KARSHAK GROUP OF COMPANIES	<b>Complaint Handling and Appeals Policy</b>	Issue date: 01.04.2024 Rev no: Rev00 Revision date:00 Approved by: Managing Director
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## 1. Purpose

This policy outlines the procedures and responsibilities for handling complaints and appeals at IQMCINDIA Certification Pvt Ltd. It aims to ensure transparency, fairness, and prompt resolution of complaints and appeals related to audit processes and services.

We shall put our best efforts to address and resolve the appeals and complaints from our clients and interested parties. Adequate transparency shall be maintained without compromising confidentiality regarding the appeals and complaints arising from the activities of service delivery.

We shall take a customer-focused approach, remain objective and impartial, and be accountable throughout the resolution process. We are committed to complying with all applicable local laws and regulations related to complaints and appeals. Access to raise appeals and complaints will be made available at the highest level of the organization to ensure visibility and responsiveness.

Through continual analysis and review, we strive to improve the effectiveness of our complaints and appeals handling process. No charges shall be levied on any client or interested party for submitting a complaint or an appeal.

## 2. Scope

This policy applies to all employees, contractors, and third-party representatives involved in audit activities and complaint handling processes at IQMCINDIA Certification Pvt Ltd.

## 3. Complaint Handling Procedure (ref Clause 9.8 in ISO/IEC 17021-1:2015) and (IQMCINDIA Procedure: IQMC-PR12)

### 3.1 Designation of Complaints Representative

- IQMCINDIA Certification Pvt Ltd have a designate a qualified representative responsible for managing the complaint handling process.

### 3.2 Documented Complaint Process

- IQMCINDIA Certification Pvt Ltd have established and maintained a documented, publicly accessible process for receiving, validating, and investigating complaints. This process shall include:
  - Procedures for initial receipt and acknowledgment of complaints.
  - Validation of complaints to determine relevance and credibility.

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- Investigation procedures, which may involve the retention of third-party investigators as needed, in compliance with applicable requirements.
- Decision-making on appropriate actions based on investigation findings.

### 3.3 Recording and Tracking

- IQMCINDIA Certification Pvt Ltd track and record all complaints received, including actions taken and outcomes.

### 3.4 Fair Management of Investigations

- Complaint investigations shall be conducted impartially, ensuring fairness to all parties and avoiding conflicts of interest.
- When potential negative consequences exist for the subject of investigation, they shall be provided an opportunity to be heard.

### 3.5 Corrective and Preventive Actions

- IQMCINDIA Certification Pvt Ltd shall ensure that appropriate corrective and preventive actions are implemented in response to complaints found to have merit.

### 3.6 Analysis of Complaints

- IQMCINDIA Certification Pvt Ltd will conduct periodic analysis of complaints to identify systemic issues and develop suitable solutions to prevent recurrence.

### 3.7 Annual Summary

- An annual summary of complaint handling activities shall be developed, including:
  - Number of complaints received alleging violations of the Code or Standards.
  - Sources of complaints, including the percentage of anonymous complaints.
  - Breakdown by type of complaints.
  - Percentage of substantiated and unsubstantiated allegations.
  - Types and numbers of disciplinary actions taken.

## 4. Appeals Handling (ref- clause 9.7 in ISO/IEC 17021-1:2015)

### 4.1 Procedure for Appeals

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- IQMCINDIA Certification Pvt Ltd have a documented procedure in (IQMC-PR12) to receive, evaluate, and make decisions on appeals by auditees or other interested parties.
- Personnel engaged in the appeals handling process shall be different from those who conducted the audit(s) and audit reviews.

#### 4.2 Reporting of Appeals

- All appeals shall be promptly reported to the client or audit requestor, ensuring transparency and compliance with established procedures.

### 5. Compliance and Review

#### 5.1 Compliance

- This policy shall be periodically reviewed and updated to align with evolving industry standards, regulatory requirements, and best practices.
- All employees are responsible for familiarizing themselves with this policy and adhering to its procedures to ensure effective complaint and appeals handling.

### 6. Implementation and Enforcement

- Management shall oversee the implementation of this policy and allocate necessary resources to support its effective implementation.
- Non-compliance with this policy may result in disciplinary action, up to and including termination of employment or contract.

By adhering to this policy, IQMCINDIA Certification Pvt Ltd ensures a systematic and fair approach to handling complaints and appeals, thereby enhancing stakeholder confidence and maintaining integrity in audit processes and services.

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