



UMS CERTIFICATIONS PRIVATE LIMITED
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PROCEDURE
03



UMS PROCEDURE

P-03 - PROCEDURE FOR COMPLAINTS HANDLING

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Address: J-5, 3RD FLOOR, JANAKPURI EAST,
NEW DELHI – 110018, INDIA

Prepared by: General Manager
Approved by: Chief Executive Officer



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This Management System Manual describes the policies, structure, procedures and methodologies for operating and maintaining effective Management Systems Certification activities which are in line with International Standard ISO/IEC 17021-1:2015.

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REVISION HISTORY

Revision Date	Description	Clause Affected	Revised By	Approved By
09-06-2023	Additional of Cl. 9.8.2 of ISO/IEC 17021	4.2.14	General Manager	CEO
09-06-2023	Additional of Cl. 9.8.6 b) of ISO/IEC 17021	4.2.10	General Manager	CEO
09-06-2023	Additional of Cl. 9.8.7 of ISO/IEC 17021	4.2.7	General Manager	CEO
09-06-2023	Additional of Cl. 9.8.8 of ISO/IEC 17021	4.2.1	General Manager	CEO



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1. PURPOSE

The procedure defines the process for the handling of complaints received by UMS and to ensure that the appellants' complaints are dealt with in the most effective manner.

2. SCOPE

Complaints received by UMS CERTIFICATIONS PVT. LTD.

3. RESPONSIBILITY

CEO/GM

4. PROCEDURE

4.1. INTRODUCTION

An applicant, a certified company or any interested party may raise complaints related to certification activities of UMS or related to certified clients. The matter is referred to the Investigating Panel constituted by Joint Director and whose decision is final.

4.2. COMPLAINTS HANDLING PROCESS

- 4.2.1. CEO upon receipt of a complaint will first confirm whether the complaint pertains to its certification activities or it pertains to its certified client. UMS shall acknowledge receipt of the complaint, and shall provide the complainant with progress reports and the result of the complaint.
- 4.2.2. If the complaint pertains to its certification activities, then it will be dealt with by UMS and will be fully investigated by the CEO. He shall ensure the prompt disposal of the complaint and the complainant being advised of the result of the investigation within six weeks of the receipt of the complaint. All complaints, after redressed & disposal, shall be closed through a closing note.
- 4.2.3. If the complaint pertains to any certified client, then examination of the complaint will be carried out through the effectiveness of the certified management system and it will be referred to the certified client to seek his clarification on the complaint and appropriate action against the certified client.
- 4.2.4. Where applicable, certification will be restored as quickly as possible. Suitable preventive action will be taken to avoid recurrence of such cases. Any recurrence will be prevented. Effectiveness of the measures adopted will be assessed during the Management Review Meeting and necessary information is gathered and verified to validate the complaints.
- 4.2.5. Unsatisfactory performance recorded on the "Client Satisfaction Form" by any UMS client in respect of the audit conducted by UMS auditors shall be treated as a complaint and dealt with accordingly.
- 4.2.6. Each complaint received by UMS is acknowledged (whenever possible), initially evaluated by CEO/QM for further decisions. The entire process is required to be followed by meeting the requirement of confidentiality as it relates to the complaint and to the subject of the complaint. The complaints are recorded in the complaint register. A description of the complaints-handling process is publicly available on UMS website and the progress is tracked by CEO/QM including actions undertaken in response to them.
- 4.2.7. Responsibility of UMS for gathering and verifying all necessary information to validate the complaint.



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- 4.2.8. Complaint against an officer of UMS including CEO/QM will be investigated by the Joint Director or someone who is not involved in the process.
- 4.2.9. The decision shall be made by or reviewed and approved by individuals not previously involved in the subject of the complaint and it is communicated to the complainant.
- 4.2.10. Process of tracking and recording complaints, including actions undertaken in response to their complaint.
- 4.2.11. Whenever possible UMS shall give formal notice of the end of the complaint handling process to the complainant.
- 4.2.12. UMS shall 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.
- 4.2.13. Any complaint about the certified client will be kept confidential.
- 4.2.14. Submission, investigation and decision on complaints shall not result in any discriminatory actions against the complainant.
- 4.2.15. If the complainant is dissatisfied with UMS response for the lodged complaint outcome or the process, the complainant may refer to the accreditation body i.e., XXX.