	<b>ASTRALEUS SERVICES PVT. LTD.</b>	<b>Doc. No.</b>	ASPL-QP-06
		<b>Rev. No.</b>	01
	<b>TITLE: COMPLAINT HANDLING MANAGEMENT</b>	<b>Rev. Date</b>	01.10.2024


**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 from ASPL **stakeholders\***, ASPL or against ASPL'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, client, entity holding inspection or any interested party may lodge a complaint. This procedure is also publicly available on ASPL website. ASPL 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"> <li>a. ASPL and its working</li> <li>b. ASPL's Staff</li> <li>c. ASPL's Clients</li> </ul>
2.		<b>Administration of Complaints</b> Any complaint received by ASPL in writing or by e-mail or telephone in respect of its functions as a Inspection/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"> <li>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.</li> <li>b. Managing Director must ensure that the effectiveness of the Inspection is checked by competent auditor(s), who were not involved with the client previously.</li> <li>c. The Response has been sent to complainant within 14 days (whether Complaint is related or not to CB/IB) of receiving of complaint and recorded in the complaint register. The tracking and recording complaints, including actions undertaken in response to them is maintained.</li> </ul>
3		<b>Investigation</b>
	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 or not valid, 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 inspector's decision or certification related decisions, it is transferred to Appeals register and dealt with as per Quality Procedure for Appeal Management.
	3.3	If the complaint is about our Inspection/certification process or staff behavior the same is looked after by the <b>Managing Director/Quality Manager</b> . The involved personnel are not involved in investigation or resolution process. If Complaint is against the Managing director, then same forward to Impartiality Committee.
	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 <b>Impartiality committee</b> . The Impartiality committee monitors the complaint resolution process.
	3.5	If the received complaint is about our registered and certified clients or entity holding Inspection, the complaint is looked after by the Managing Director, and it is followed up with the Client. Appropriate corrective action is taken. ASPL 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 <b><i>so no discrimination will occur</i></b> . 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		In case of certification, 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 written notice to justify or rectify its deficiency within 14 days. In case the deficiency 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

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		<p>eliminated within the agreed time, the suspension of the certificate is extended for 6 months or till next surveillance audit, whichever is earlier.</p> <p>If the deficiency is not removed by the due date, the certification is withdrawn and information is posted on the website. <b><i>The Complainant is kept updated about the action taken subsequent to their complaint. Relevant information is provided to the accreditation body.</i></b></p>
5	5.1	<p><b>Resolution of Complaint</b></p> <p>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.</p>
	5.2	After addressing the complaint, a formal notice of the end of the complaints-handling process is forwarded to the complainant.
	5.3	All findings are confidential - express approval of client needed if going to make public
	5.4	In case the complainant is not satisfied with the result of the complaint handling process the issue will be review to discuss why complainant was not happy
<p><b>Reference:</b></p> <ul style="list-style-type: none"> <li>✓ ASPL-F-13-Complaint Record Register including Resolution</li> <li>✓ ASPL Website</li> </ul>		

<p><b>Note: -*</b></p> <p><b>The stakeholders of a certification/inspection body typically include:</b></p> <ol style="list-style-type: none"> <li>2. Certified Organizations: Organizations that have already obtained certification.</li> <li>3. Regulatory Authorities: Government agencies responsible for enforcing laws and regulations related to the certification body's scope.</li> <li>4. Industry Associations: Trade associations and industry groups representing the sectors served by the certification body.</li> <li>5. Accreditation Bodies: Organizations responsible for accrediting certification bodies, ensuring they meet international standards.</li> <li>6. Auditors and Assessors: Individuals conducting audits and assessments for the certification body.</li> <li>7. Employees and Contractors: Staff and contractors working for the certification body.</li> <li>8. Suppliers and Partners: Organizations providing goods and services to the certification body.</li> <li>9. Consumers and End-Users: Individuals and organizations using products or services certified by the certification body.</li> <li>10. Government and Public Institutions: Entities relying on certification bodies for public policy, procurement, or regulatory purposes.</li> </ol> <p>Reference:</p> <ol style="list-style-type: none"> <li>a. ISO 17021-1:2015</li> <li>b. ISO17020:2015</li> </ol> <p><b>Records:</b></p> <ol style="list-style-type: none"> <li>a. Client file</li> <li>b. ASPL-F-15-Appeal Record Register including Resolution</li> <li>c. Record of MOM of the impartiality committee of ASPL</li> </ol>
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