	<p style="text-align: center;">Ozone Sustainability Management Systems (OSMS)</p> <p>Procedure for Handling Complaints and Appeals</p>	<p style="text-align: right;">OP-06-Rev. 01, Issue 01, 02.09.2022</p>
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1.0 Purpose & Scope

The purpose of this procedure is to clearly outline the steps related to **the handling of** complaints and appeals by clients **against Lead Auditor's Recommendations and audit process**. This procedure covers the activities from the receipt of a verbal or written complaint or appeal, to the submission to OSMS.

3.0 Responsibility

Scheme Manager

- Shall ensure that Complaints and appeals process shall be followed and all complaints and appeals shall be recorded in register
- Shall do communication with the appellant and the impartiality committee.


Head of Impartiality Committee

- Shall select at least two members for the panel to resolve complaints and appeals.
- Shall ensure that meeting takes place within 15 days from the receipt of complaint and appeals and In case of presence requirement of the appellant to be given at least 10 days' notice of meeting venue and agenda.

4.0 Complaints

4.1 Any Client, Supplier or other parties wants to raise a complaint against the services provided by OSMS or its certified clients should, in the first instance, indicate their intention in writing to the concerned OSMS office located in country.

If any stakeholder (Accreditation boards, OSMS staff, OSMS External resources, Clients and facility workers and any other who are related to OSMS's Services & activities) is having any concerns, He/She must report it to top management of OSMS through available communication channels. These available channels are directly contact to OSMS Top Management (+91-9711002728), Hotline number (+91-9711002728) and thru email ID "Integrity@ozonesustainability.com" and also from website. If He/She is still concerned, after having spoken with management, or feel uncomfortable speaking with them, He/She must contact Scheme Specific accreditation board. For SAAS/SAI, Contact at Email: info@sa-intl.org, Phone: +1 (212) 684-1414.

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Time lines to be followed:

Acknowledging and respond to the complaint on email/website = within 48 hours.

Communication of Result of Investigation = within 1 month , Variation of time depends on nature of complaint and Investigation.

Any one submitting an alert through the whistle blowing channel will be protected from retaliation, any harassment, discriminatory behavior. Moreover, every call, written communication and/or email will be dealt with confidentiality unless it is absolutely necessary to share such information in order to address the matter appropriately.

In case of complaint relates to a certified client, the complainant shall provide evidence that they had previously attempted to resolve the matter directly with certified client and is not satisfied with the actions taken / decision provided by the certified client. The Scheme Manager shall gather all necessary evidence and provide a written acknowledgement of the complaint received and seek additional information if required in order to analyses the complaint.

4.2. All complaints will be recorded by the receiving OSMS office. Where required, the concerned Scheme Manager shall liaise with client in order to try to resolve the complaint.


4.3 During the process of investigation of complaint, the persons involved in the investigation shall be independent of the subject of the complaint. The Scheme Manager shall also provide complainant with progress reports and outcome.

4.4 The result of the complaint handling process shall be communicated to the complainant. The Scheme Manager shall ensure that that the investigation and decisions shall not result in any discriminatory actions against the Complainant.

4.5 The Scheme Manager, together with the client and the complainant, shall determine whether and to what extent, the subject of the complaint and its resolution shall be made public. The complaint handling process shall be subject to the provisions of confidentiality as per the agreement with the certified client.

5.0 Appeals

5.1 Upon receipt of the appeal, the Scheme Manager, shall determine if he/she has been involved in the original process: ·

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If yes, he/she shall not be involved in the appeals resolution process. The appeal shall be reviewed and resolved by a team of internal persons to ensure objectivity and impartiality. In case of no consensus internally, prepare a report and send the documentation along with the report to the Impartiality Committee of OSMS for a decision by electronic mail or in the next available meeting scheduled.

If NO, the Scheme Manager shall carry out the investigation and present the report to Impartiality Committee at the next planned interval.

5.2 At appropriate stage, the Scheme Manager shall refer the appeal to the concerned manager or client for justification and / or necessary actions.

5.3 . It should be noted that the appeals committee decision is absolute and final which can be overturned only by the impartiality committee, if necessary. This will be accompanied by a formal notice to the appellant of the end of the appeals / complaint handling process. The Scheme Manager shall determine any necessary corrections and corrective actions.

5.4 The actions undertaken in response to complaint and appeals shall be recorded. In case the appellant is not satisfied with the appeals panel decision has the option of making a complaint to the concerned accreditation body.

6.0 Records:

All records shall be kept till 4 years after once it get resolved