	<p>Ozone Sustainability Management Systems (OSMS)</p> <p>Procedure for Handling Complaints and Appeals</p>	<p>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 Ozone's certification and audit process**. This procedure covers the activities from the receipt of a verbal or written complaint or appeal, to the submission to OSMS.

This policy ensures that complaints & appeals are effectively addressed fairly, resolved and used for continuous improvement. It also includes compliance with scheme specific complaint & appeal requirements, reporting and trending.

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.
- Shall ensure that its functionality and available, review and updated.
- Shall ensure that It should be monitored in scheduled Internal audits of OSMS.

Head 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.

The Impartiality committee is responsible for handling appeals submitted by appellant through written, verbal and online modes. The impartiality committee acknowledges the receipt of the appeal and ensures that is is resolved fairly and within scheme specific time frames.

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 stakeholders (Internal & External) who are related to OSMS's

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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.

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.

Time lines to be followed:

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

Communication of Result of Investigation to appellant= within 1 month , Variation of time depends on case to case basis.


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. This ensures impartiality, Independence and fairness in decision making.

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.

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4.6 Trending & Continuous Improvement : OSMS shall analyse the complaints included scheme specific KPIs and trends, is used for continuous improvement efforts within OSMS. Root cause analysis and corrective action helps address the identified issues and enhance process and services. Such analysis are included on annual basis:

- Number of complaints received.
- Identified and non identified source of complaints.
- Breakdown by type of complaints and its related certification process.
- Complaints with evidences and without evidences.
- Nos & Types of Actions taken and

Whistle blowing

Scheme manager will be responsible for recording any alerts on it and initiate investigation. He may make team of 03 people (Internal/External) and authorize them to undertake investigation. Once investigation completes within time frame within 1 month, investigating team shall report to Scheme Manager. During all processes including investigation, Confidentiality shall maintain at all levels.

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.

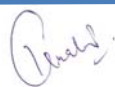
No retaliation


Ozone is committed to handling complaints without discrimination or retaliation against the complainant., regardless of the decision.

5.0 Appeals

5.1 Upon receipt of the appeal, the impartiality committee acknowledges the receipt of appeal and confirms whether the appeal relates to certification process and audit process of OSMS. The appeal process shall be addressed promptly if it is within OSMS's scope.

Scheme manager or other personnel including individuals not involved in the certification activities related to the appeal.



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The appeal shall be reviewed and resolved by the Impartiality committee members to ensure objectivity, transparency and impartiality.

5.2 The Scheme Manager shall take any subsequent action needed to resolve the appeal effectively within time frame. This may include corrective measures, communication with appellant, or adjustments to the certification & audit process.

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 communicated to appellant and recorded. It may include formal notice or letter or email of the outcome and end of appeal process. In case the appellant is not satisfied with the appeals panel decision has the option of making a complaint to the concerned accreditation body.

5.5 At appropriate stage, Scheme Manager shall report/communicate all the appeals to the client

5.6 Non Retaliation

Submitting an appeal will not result in any form of retaliation against the appellant. OSMS is committed to ensure that appeal process remains fair and unbiased.

6.0 Review, updates and Records:

This policy will be periodically reviewed and updated to ensure the alignment with scheme specific and applicable standard requirements. All records shall be kept till 4 years after once it get resolved.

Amendment Record Sheet

S. No.	Amendment dates	Sections	Page no.	Details	Approved by