

## **1.0 PURPOSE and SCOPE:**

Evaluating written or verbal customer complaints/requests related to Unicert audit, certification, realization of operational activities and suppliers (such as the use of documents and logos) according to the Certification Procedure and other relevant standards.

## **2.0 DEFINITIONS**

### **Complaint**

At all stages from receipt of the application to certification; Negative applications, written or verbal, from natural or legal persons about Unicert policy, procedures, regulations, activities, performance, permanent and contracted personnel, and certification bodies.

### **Appeal**

Applications made by the relevant parties against the decisions taken by Unicert in its certification activities.

## **3.0 REFERENCE DOCUMENTS**

## **4.0 IMPLEMENTATION**

### **4.1 Evaluation of complaints**

All kinds of complaints and appeals within the scope of Unicert; In terms of impartiality, it is essential to deal with situations that may cause a conflict of interest, measures to be taken to prevent them from occurring, and possible sanctions, in a way that does not make any distinction according to the qualifications of real and legal persons, and within the framework of objective evidence.

#### **4.1.1 Evaluation of complaints about Unicert activities**

The process of evaluating complaints at Unicert is defined on the website, and complaints about Unicert service quality can be received in writing or verbally as a result of customer surveys. The personnel receiving the complaint notifies the situation to the Management Representative. All complaints are recorded and evaluated by the Management Representative in the Complaint and Objection Registration Form as expressed by the customer. The result of the evaluation is completed within a maximum of fifteen (15) days and the customer is definitely notified in writing.

<b>No</b>	<b>Complaint type</b>	<b>Management Representative decision</b>
1	Complaint about Unicert office services; Inability to reach relevant persons, Bidding is late, Insufficient or inaccessible documents that the customer needs to know, Such as the late period of issuing and sending the document, etc.	It is finalized and answered to the customer within a maximum of one week, corrective action is initiated to prevent recurrence and to eliminate the root cause, and its effectiveness is measured.
2	Audit committee and audit-related complaints that may affect audit objectivity, impartiality and efficiency; The attitude and behavior of the supervisory board, Unethical behavior of the supervisory board, Failure to use appropriate methods in auditing, Failure to comply with the audit plan, Control does not provide added value, etc.	It is finalized and answered to the customer within a maximum of one week, corrective action is initiated to prevent recurrence and to eliminate the root cause, and its effectiveness is measured.

#### 4.1.2 Evaluation of complaints about the documented customer

Complaints / appeals to suppliers; Failure to comply with the Certification Procedure and Logo Usage Instruction. The personnel receiving the complaint notifies the situation to the Management Representative. After the Management Representative records the situation, it leaves it to the evaluation and decision of the Certification Manager.

Complaints / appeals may arise regarding suppliers within the scope specified below;

No	Complaint type	Certification Manager decision
1	The use of the logo and the right to use the document outside the specified scope.	
2	The use of the logo in a way that may cause misunderstanding, such as a product certificate. For example, the use of the logo on the product.	Corrective action is requested within a maximum of 10 days, if the result is negative, the certificate is suspended for a month, if it is negative, the certificate is cancelled.
3	Misuse of the accreditation body's logo,	
4	Complaints / appeals and feedbacks from the relevant chambers or professional groups to which the suppliers are affiliated or a member	Corrective action can be requested within a maximum of 1 month, if the result is negative, the certificate is suspended for one month, and if it is negative, the certificate is cancelled.
5	Complaints / appeals and feedbacks from interested parties benefiting from the supplier's product.	If it is a justified complaint, based on the continuation of customer satisfaction;  Special audit can be done within one month,  Corrective action can be requested within a maximum of 1 month. If the result is negative, the certificate is suspended for one month, and if it is negative, the certificate is cancelled.  Consideration in the next audit (such as surveillance, document renewal).
6	Inappropriate news about suppliers in the written and visual media.	Special audit can be done within one month,  Corrective action can be requested within a maximum of 1 month. If the result is negative, the certificate is suspended for one month, and if it is negative, the certificate is cancelled.  To be taken into account in the next audit (such as surveillance, document renewal).

In the above-mentioned cases, the certification manager evaluates the objective evidence within a maximum of one week and conveys the results and the decision taken to the supplier in writing.

The stages of certification of the organization concerned with the complaint are reviewed retrospectively and constitute data for corrective action if there are any misapplications or issues that need improvement.

Compliance with the principle of confidentiality is essential in the evaluation of such complaints. Unicert is responsible for how and in what detail it will be announced in special cases where the issue needs to be announced to the public, and it will act in accordance with legal requirements.

In complaints, Unicert only forwards this to the committee when there is a situation that it cannot resolve on its own. As stated above, there is no need to send the complaint to the committee when it resolves itself.

Unicert determines, together with the customer and the complainant, the subject of the complaint and whether and to what extent its solution will be given to the public. Evidence of joint determination is the correspondence with the customer and the complainant. (e-mail, mail, fax, etc.)

## **4.2 Appeals**

### **4.2.1 Appeals against the decisions taken on the audit result**

Such clearings, whether written or verbal, are reported to the Management Representative and Certification Manager by the personnel who received the appeal. It is recorded by the Management Representative and forwarded to the Complaints and Objections Committee, together with the Certification Manager, without wasting any time.

Complaints and Appeals Committee is completely independent from audit and certification processes. It is evaluated by the committee in a maximum of one week.

In the evaluation;;

Certification standards such as ISO 17021-1, ISO/TS 22003, and related guides are based on issues such as impartiality and independence.

If necessary, detailed information about the certification conditions is requested from the certification manager.

The decision taken as a result of the evaluation, together with its justifications (referring to the relevant standard or procedure, sending a copy if necessary) is communicated to the relevant parties in writing.

### **4.2.2 Appeal to the major/minor nonconformity, observation or recommendation written by the assessor team as a result of the audit**

Any major/minor non-conformities or observation written by the assessment team is not accepted and signed by the auditee.

In this case, the lead auditor explains to the auditee that they have the right to object. He then prepares a report. The subject is stated in the report and it is emphasized that the auditee refrains from signing. The auditee is asked to sign the report, if he does not, a unilateral report is signed.

The Certification Manager examines the appeal and sends the decision in writing to the relevant parties with detailed reasons within 5 days at the most.

The Certification Manager can take the following types of decisions according to the evaluation result;

Approval of the audit team recommendation,

Changing the audit team, re-audit in whole or in part,  
As the audit team decides to the contrary.

The audited firm also has the right to object to the decision of the Certification Manager. In this case, the evaluation is carried out according to article 4.2.

#### **4.2.3 Appeal to the audit team**

The CVs of the auditors appointed to perform the audit, together with the Audit Plan, are sent to the company by mail, e-mail or fax before the audit. The auditee has the right to appeal to one or all of the auditors from the audit committee.

The appeal is forwarded to the Certification Manager in writing or verbally with its justification. The Certification Manager evaluates this situation in a way that does not hinder or delay the audit process. Evaluation is made in a way that does not jeopardize the impartiality, independence and consistency of the audit.

If the appeal is found to be justified, it is requested from the Certification Manager to make a change in the audit team. The information of the new audit team is sent to the company for confirmation.

If the appeal is not justified; This situation is communicated to the company in writing and a reconfirmation regarding the audit is requested. If the firm insists on its appeal, the situation is conveyed to the Complaints and Appeals Committee.

#### **4.2.4 Appeal to the decision taken regarding supplier complaints**

It is processed according to Article 4.1.

### **4.3 Establishment of the Complaints / Appeals Committee**

Unicert in order to ensure impartiality in its activities and to improve service quality; formed the complaint and appeal committee, which is completely independent from the audit and certification processes such as the acceptance of the applications, the appointment of the auditors, the performance of the audit, the reporting and the certification decision.

The Complaints and Appeals committee is appointed by the General Manager and Management Representative for a period of 3 years. Appointment of the members of the Complaints and Appeals Committee; It is carried out when there is a complaint or appeal concerning the relevant sector and/or the subject served. Appointment criteria for complaints and appeal committee members;

- Having at least 1 year of work experience in the sector it represents,
- University, vocational high school or college graduate,
- To have knowledge about Unicert Certification procedures (1-day information training),
- Having general knowledge or experience about the relevant standard
- Having the ability to make professional decisions away from financial pressures,
- Being completely expert and professional,
- Being able to follow the sector.

Appointed members are written on the "Complaint and Appeal Committee list".

The chairman of the complaints and appeal committee is elected by the committee members with a majority of votes.

At the end of the 3-year working period of the complaints and appeal committee, it is renewed for the following three years unless otherwise decided by the general manager.

#### **4.4 Work of the Complaints and Appeals Committee**

The scope of work of the committee is to evaluate the complaints / appeals received at any stage of the Unicert certification and audit processes in accordance with the principles of impartiality and confidentiality.

All complaints / appeals received in writing, verbally or via the internet are recorded by the Management Representative and forwarded to the complaint and appeal committee together with their own recommendation evaluation opinion.

All information must be collected in order for the complaints / appeals submitted to the complaints and appeals committee to be valid. This responsibility belongs to the committee.

The Chairman of the Committee appoints the sub-committee responsible for the complaints /appeals.

If necessary, the sub-committee responsible takes the opinion and information from the relevant parties and makes an evaluation and conveys the result to the committee.

The decisions of the Complaints and Appeals Committee are made unanimously. The result is communicated to the client. In cases where the complaint / appeal continues or the resolution of the complaint / appeal requires a legal evaluation, the issue is submitted to the Istanbul Courts.

If there is a deficiency caused by Unicert as a result of the evaluation, corrective action is requested from the certification manager.

The decision for the complaint is made, reviewed and approved by the person(s) who had no previous relationship with the complaint.

The follow-up of the decision is made by the chairman of the committee. Negative results require new corrective action. In case Unicert does not comply and insists on not complying with the decision taken by the Complaints and Appeals Committee as a result of the shortcoming caused by Unicert, the Complaints and Appeals Committee may notify the situation in writing to the accreditation body to which Unicert is accredited.

The decision of the committee members cannot be concluded with any discriminatory action against the appellant. All members must be at the same distance from the objecting persons, institutions and organizations and maintain their impartiality. The person(s) elected to this committee must read and understand this procedure. This item must be mentioned in the trainings to be given to the committee.

While the committee is evaluating, Unicert's;

- Complying with accreditation standards,
- Adhering to the principle of impartiality and confidentiality,
- Auditors are competent,
- Audits will measure whether the supplier system is capable of meeting and maintaining customer requirements and continuously improving the system,
- Audits are of a nature that will add value to the supplier system,
- The supplier's easy access to services regardless of the membership of any group or association and the number of certified suppliers,
- Implementation in accordance with policies and procedures,
- Use of document and logo,

Such criteria are taken into account. The procedure for the evaluation of complaints and Appeals has been opened to the information of the relevant parties on the Unicert website..

**4.5 Confidentiality and Impartiality**

Unicert Management takes all necessary measures to ensure the confidentiality of the information obtained regarding the examination of complaints or appeals. Legal requests by those making a claim or accusation regarding a complaint to be disclosed or kept confidential are taken into account. Regarding complaints and appeals, persons appointed from outside Unicert and Committee members sign a Confidentiality and Impartiality agreement regarding impartiality and confidentiality. Confidentiality measures are taken in correspondence with a person or a third party regarding complaints and appeals. In case of a conflict of interest with the organization subject to the complaint / appeal, one of the members does not attend the meeting by stating the reason. In this case, the decision is taken unanimously by the other members attending the meeting. In the absence of unanimity, the Chairman's vote counts as two votes. In this case, the decision is taken by majority vote.

**5.0 Related documents**

- Certification Procedure
- Logo Usage Instruction