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| UNIVERSAL – Certification Services |  |
| APPEALS and COMPLAINTS PROCEDURE | Document No: UPR.06 |

1. OBJECTIVE

The objective of this procedure is determination of the handling methods for the appeals and complaints about the system certification activities being implemented by *UNIVERSAL* together with the complaints and disputes about the certificated organizations.

2. DEFINITIONS

Appeal: The state of disagreement in spite of the decisions of *UNIVERSAL* in the case of dispute and complaint.

Complaint: The negative expressions of the organizations or other interested parties about the performance, procedures and policies related to the certification activities of *UNIVERSAL*, the employees serving in the name of *UNIVERSAL*, the organizations certificated by *UNIVERSAL* and their activities within the scope of the related certificates.

3. RELATED DOCUMENTS

UFR.32 Complaint Evaluation Form

4. APPLICATION

The complaints-handling process includes at least the following elements:

- a) an outline of the process for receiving (from web site, phone, mail, fax etc) , validating (asking certified client or audit team etc) , investigating the complaint (Complaint Evaluation Committee) , and for deciding what actions need to be taken in response to it;*
- b) tracking and recording complaints with UFR.32 Complaint Evaluation Form, including actions undertaken in response to them;*
- c) ensuring that any appropriate correction and corrective action are taken by Management Representative.*

4.1. The Complaints about The System Certification Activities of *UNIVERSAL*

The complaint about the certification activities, such as reports, audit teams, audit scope, etc. can be forwarded in writing or orally.

UNIVERSAL is responsible for all decisions at all levels of the complaintshandling process.


Submission, investigation and decision on complaints shall not result in any discriminatory actions against the complainant.

Upon receipt of a complaint, UNIVERSAL confirms whether the complaint relates to certification activities that it is responsible for and, if so, shall deal with it. If the complaint relates to a certified client, then examination of the complaint considers the effectiveness of the certified management system.

The complaints are recorded to The Complaint Evaluation Form and forwarded to The Management Representative by the personnel who receive the complaints.

The complaints received by *UNIVERSAL* are evaluated by the related department manager and The Management Representative in (7) seven working days. The owner of the complaint is informed beforehand

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in writing and the complaint may be forwarded to The Complaint Evaluation Committee, depending to its content.

The complaints about audit reports, audit teams, audit scope, etc. are evaluated by The Complaint Evaluation in the first The Complaint Evaluation meeting.

The required corrective/preventive actions are initiated in accordance with the decisions made in the meeting or following the evaluation of The Management Representative.

The owner of the complaint is informed in writing about the results of the actions taken in (1) one month following the complaint dated.

For personnel certification activities; Complaints against a person certified by Universal GmbH or approved educational institutions must be submitted in writing to the office of Universal GmbH within a period of 4 weeks after discovery. The complainant receives written feedback within 2 weeks. Within a reasonable time, he will receive the result of the review and the opinion on the complaint.

4.2. The Complaints about The Certificated Organizations

The written or verbal complaints about the certificated organizations sent to *UNIVERSAL* web address or *UNIVERSAL* head office are recorded to The Complaint Evaluation Form and forwarded to The Management Representative by the personnel who receive the complaints.

Any valid complaint about a certified client shall also be referred by the certification body to the certified client in question at an appropriate time.

The complaints arising from the nonconformities in the quality systems of the organizations are forwarded by The Management Representative in writing to the related organization and the organization is requested to give written information about the actions taken or to be taken in relation with the complaints about herself.

The arriving information is evaluated by The Managements Representative. Depending on the importance of the complaint, an audit may be conducted in the organization or it may be checked in the audit conducted in the regular period if the records related to the complaints made are regularly maintained or not.

The information received from the organization is forwarded to the complained organization for her information.

All of the corrective or preventive actions are followed by The Management Representative.

4.3. The Appeals About The System Certification and Certificated Organizations Activities

The organization can forward her appeals about the decisions of *UNIVERSAL* to The Courts of Germany.

In cases *UNIVERSAL* receives appeals to its decision; the owner of the appeal is informed that she can forward her appeal to a higher official level.

When UNIVERSAL receives the appeal, UNIVERSAL is responsible for gathering and verifying all necessary information to validate the appeal.

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UNIVERSAL shall acknowledge receipt of the appeal and shall provide the appellant with progress reports and the result of the appeal.

For personnel certification activities; Appeals against the decision (s) of the Certification Body Universal GmbH must be submitted to the office of Universal GmbH within a period of 4 weeks after receipt of the corresponding notification. The appellant will receive a written response within 2 weeks. Within a reasonable time, you will receive the result of the review and the decision.

4.4. Informing The Related Parties

UNIVERSAL determines, together with the certified client and the complainant, whether and, if so to what extent, the subject of the complaint and its resolution is made public.

All the complaints, appeals and disputes received by *UNIVERSAL* are kept as top secret and never be communicated to third parties.

If considered necessary, only the accreditor body that accredited *UNIVERSAL* is let to know. In case that a legal informing occurs *UNIVERSAL* the related client is informed of this.

| REVISION INFORMATION | | |
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| Rev. No | Revision Date | Revision Explanation |
| 0 | 23.06.2008 | Procedure is re-established because of passing ISO/IEC 17021 standard. |
| 1 | 09.11.2013 | Grammatical and editorial amendments have been done. Manual's fonts have been changed from "Tahoma" to "Calibri". |
| 2 | 20.01.2014 | The company name and the logo corrected as "UNIVERSAL AG" |
| 3 | 05.06.2014 | The company name and the logo corrected as "UNIVERSAL " |
| 4 | 04.01.2016 | Transition to ISO/IEC 17021-1:2015 standard |
| 5 | 01.11.2017 | Addition of Personnel certification requirements |

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| PREPARATION | APPROVAL |
| MANAGEMENT REPRESENTATIVE | MANAGING DIRECTOR |

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