

NUSTAR CERTIFICATION & INSPECTION PVT LTD	
Document name	SOP for Complaint Management
Document no	NCIPL/CM/SOP/03
Issue Date	15.04.2024
Review schedule	Annual
Revision no: 01	Revision date: 05/05/2025
Page 1 of 4	



STANDARD OPERATING PROCEDURE
FOR
Complaint Management

Approved by –Prepared by-
C E O

Tech. Manager

NUSTAR CERTIFICATION & INSPECTION PVT LTD	
Document name	SOP for Complaint Management
Document no	NCIPL/CM/SOP/03
Issue Date	15.04.2024
Review schedule	Annual
Revision no: 01	Revision date: 05/05/2025
Page 2 of 4	

1.0 Purpose:

To lay down documented guidelines for managing complaints made by our client organization and other interested parties.

2.0 Scope:

This covers all type of Complaints against NCIPL clients or NCIPL or against its staff related to its working and behavior. (except appeals made against audit team's conclusions & decisions)

3.0 Responsibility:

C E O

4.0 Authority: This procedure is authorized by the C E O and can be amended only by him.

4.1 Policy:

- NCIPL has established a policy that allows full freedom to its clients to Submit complaints against the behavior of the audit team. Investigation and decision on complaints is considered a positive step towards building the credibility and reputation of NCIPL, and therefore complaints and subsequent actions do not result in any discriminatory actions against the complainant.
- The certification body receiving the complaint (against the audit team or against the certified client) shall be responsible for gathering and verifying all necessary information to validate the complaint, and take necessary action.

5.0 Procedure:

5.1 Complaint Management

NCIPL gives utmost importance to complaint resolution, whether it is from our clients or from elsewhere. Complaints may arise due to dissatisfaction from -

- i. NCIPL and its working
- ii. Staff of NCIPL
- iii. Clients of NCIPL

5.2 Receipt of Complaints: Complaints may be lodged in person, by phone, by E mail or by Post.

NUSTAR CERTIFICATION & INSPECTION PVT LTD	
Document name	SOP for Complaint Management
Document no	NCIPL/CM/SOP/03
Issue Date	15.04.2024
Review schedule	Annual
Revision no: 01	Revision date: 05/05/2025
Page 3 of 4	

As soon as any complaint is received, whether as letter, phone, orally or by E mail, the same is recorded in complaints register.

Ref: Record of complaint& disposal is maintained for 4 years or till it is resolved, whichever is more.

5.3 Acknowledgement of complaint: All Complaints are acknowledged within 3 working days.

Ref: Record of Complaint – disposal

5.4 Investigation: The complaint is investigated to assess its acceptability, if it relates to NCIPL activities or is against the NCIPL certified client’s activities, only then it is accepted for further investigation. If the complaint is against the audit team, the CEO assigns responsibility of investigation to only those persons who are not involved in the complaint related activities. If the complaint is found frivolous, the conclusion is recorded in the Complaint record and the complaint is closed and the complainant is informed. If the complaint is found prima facie meaningful, corrective action is taken and the complainant is updated about the action initiated.

5.4.1 If the received complaint is about audit team’s decision, it is transferred to Appeals register and dealt with as per SOP for Appeal Management& same is communicated to client.

5.4.2 If the complaint is about our assessment and certification process or staff behavior the same is looked after by the CEO / Director. The personnel against to whom was complaint lodged are not involved in investigation or resolution process.

5.4.3 If the received complaint is about actual or perceived impartiality of our audit or certification process, the complaint is looked after by the CEO and the information is provided to the Impartiality committee. The Impartiality committee monitors the complaint resolution process. **Ref:** MOM of the impartiality committee

5.4.4 If the received complaint is about our registered and certified clients, the complaint is looked after by the CEO, and it is followed up with the Client. Appropriate corrective action is taken. NCIPL determines, 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.

Approved by –Prepared by-
C E O

Tech. Manager

NUSTAR CERTIFICATION & INSPECTION PVT LTD	
Document name	SOP for Complaint Management
Document no	NCIPL/CM/SOP/03
Issue Date	15.04.2024
Review schedule	Annual
Revision no: 01	Revision date: 05/05/2025
Page 4 of 4	

6.0 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 verbal notice to justify or rectify its deficiency within two week.

In case the dispute is not resolved, a written warning of suspension of certificate is issued stating all the facts and requesting resolution of issue within one month. The client is warned that if the deficiency is not eliminated within the agreed time the certificate would be suspended.

If the Client does not eliminate the deficiency, client is suspended, client's status is published in suspension list on our website & communicated to client& complainant (Refer Website & client's file). Suspension remains applicable till elimination of the deficiencies or next surveillance audit whichever is earlier, failing which one month notice for "withdrawal of certificate" served to the client. The certificate is withdrawn and the status is published in our website, If the client does not submit satisfactory corrective action within the aforementioned time, the client & complainant kept updated (Refer Website & client's file).

5.5 Resolution of complaints:

All complaints are initially looked by the C E O, 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.

5.6 After addressing the complaint, a formal notice of the end of the complaints-handling process is forwarded to the complainant.

5.7 In case the client or the complainant, desires that the result of complaint investigation and action taken should be made public, NCIPL makes the information available to the public to the extent that does not infringe any confidential information of the involved parties.

Ref: Complaint – disposal Record

Note: papers related to complaint and action taken, if any, are kept in the concerned client's file.

-X-

Approved by –Prepared by-
C E O

Tech. Manager