ASSURION SERVICES LLC

Address: - 42 Guy Lombardo Ave, Freeport, NY 11520.

ASSURION PROCEDURE

P-03: PROCEDURE FOR COMPLAINTS HANDLING

ISSUE NO: 1

DATE OF ISSUE: 15/03/26

REVISION HISTORY

Revision Date	Description	Clause Affected	Revised By	Approved By

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Assurion	ASSURION SERVICES LLC		
	Procedure for Complaints Handling		
	PROCEDURE: P-03	Issue No.: 01	Date: 15/03/2026

1. PURPOSE

The procedure defines the process for the handling of complaints received by Assurion and to ensure that the appellant's complaints are dealt with in the most effective manner.

2. SCOPE

This procedure applies to all complaints received by Assurion from any party, including certified clients, their customers, governmental bodies, or the public. The complaints can be related to the performance of Assurion and its personnel or the certified client's management system.

3. RESPONSIBILITY

CEO

4. PROCEDURE

INTRODUCTION

An applicant, a certified company or any interested party may raise complaints related to certification activities of Assurion or related to certified clients. The matter is referred to the Investigating Panel constituted by the Joint Director and whose decision is final.

4.1 Outline of the Process (a)

4.1.1 Receiving the Complaint

- Complaints may be submitted in writing (via email, letter, or a dedicated form on the CB's website).
- The complaint must contain sufficient detail to enable an investigation, including:
  - Complainant's contact information (Name, Organization, Email, Phone).
  - Nature of the complaint.
  - Details of the party being complained against (e.g., specific auditor, audit team, or certified client).
  - Supporting evidence, if available.
- Upon receipt, the Complaints Coordinator shall immediately log the complaint in the Complaints Register (refer to Section 4.2).
- The Complaints Coordinator shall send a formal acknowledgment to the complainant within [e.g., 5 business days], confirming receipt and providing an estimated timeline for the investigation.

4.1.2 Validating the Complaint

- The Complaints Coordinator will conduct an initial review to validate the complaint. This includes:
  - Confirming the complaint is within the scope of the CB's activities.
  - Determining if the complaint contains sufficient information for investigation.
  - Assessing if the complaint is a duplicate of a previously resolved issue.

- If the complaint is not valid or lacks sufficient information, the Complaints Coordinator shall inform the complainant and request further details. The complaint will be held in a pending status until a response is received or for a maximum of [e.g., 30 days], after which it will be closed.

4.1.3 Investigating the Complaint

- A Complaints Handling Panel will be appointed for each valid complaint. The panel will consist of individuals with relevant technical knowledge but who have not been involved in the specific audit, certification decision, or other activity that is the subject of the complaint.
- The Complaints Coordinator will provide the panel with all relevant information.
- The investigation may include:
    - Reviewing audit reports, records, and other relevant documentation.
    - Interviewing the auditor, audit team, or other personnel involved.
    - If the complaint is against a certified client, the CB will inform the client and require them to provide a response and evidence of their investigation. The identity of the complainant will be kept confidential unless required by law or explicit permission is granted.
- The Complaints Handling Panel will analyze the findings and determine the root cause of the complaint.

4.1.4 Deciding on Actions

- Based on the investigation, the Complaints Handling Panel will recommend an appropriate course of action. This may include:
    - If the complaint is unfounded, a detailed explanation for the decision.
    - If the complaint is valid, a plan for correction and corrective action.
- Top management shall review the panel's recommendation and make the final decision on the complaint. This decision shall be documented.

4.2 Tracking and Recording Complaints (b)

- The Complaints Coordinator shall maintain a formal **Complaints Register** (or equivalent electronic database).
- Each complaint shall be assigned a unique identification number.
- The register shall track and record, at a minimum, the following information for each complaint:
    - ID Number.
    - Date of receipt.
    - Complainant details.
    - Date of acknowledgment.
    - Summary of the complaint.
    - Status (e.g., Received, Investigating, awaiting client response, awaiting panel decision, Closed).
    - Details of the investigation.
    - Actions taken (correction and corrective action).
    - Date of closure.
    - Final decision and justification.

- All communications and records related to a complaint shall be filed and retained as per the CB's document control procedures.

4.3 Correction and Corrective Action (c)

- If the complaint is deemed valid, the Complaints Handling Panel will identify the necessary **correction** (action to eliminate the detected nonconformity) and **corrective action** (action to eliminate the cause of the nonconformity).
- For complaints against the CB's own activities, the Complaints Coordinator will be responsible for ensuring that the corrective action is implemented and its effectiveness is verified.
- For complaints against a certified client, the client will be required to provide evidence of correction and corrective action. The CB will verify the effectiveness of these actions, which may include a special on-site audit.
- Once the effectiveness of the corrective action is verified, the Complaints Coordinator will formally communicate the resolution to the complainant in a timely manner. The communication shall state the action taken and explain the final decision.
- The complaint will be officially closed in the Complaints Register only after the complainant has been notified and any required follow-up is complete.