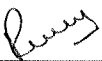
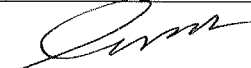


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Procedure
For
Appeals, Complaints and Disputes

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0.1 Approval and Issue

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Prepared and Reviewed by:



Head (Quality)

Approved by:



Chief Executive Officer / Head (Technical)

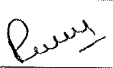
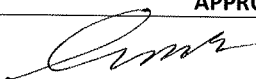
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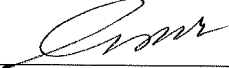
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0.3 Amendment Record

Revision No.	Date of Revision	Nature of Revision	Page Ref	Remarks
Issue 01	Jan 1, 2007	Nil	All	Original Issue
Issue 02	Nov 1, 2013	As per ISO 17065:2012	All	Original Issue
Issue 03	May 27, 2015	As per ISO17065:2012 & 17020:2012	All	a. Changes in Header b. Changes as per DRR of NABCB
Issue 03, Rev 01	Aug. 04, 2015	GM (Tech) added in the approving authorities	02	
Issue 03, Rev 02	Feb. 18, 2016	Text Revised	3, 4 & 5	Revised
Issue 03, Rev 03	March 21, 2017	Clause 0.2 (Distribution List) shifted from page no. 3 to page no.2	2 & 3	
Issue 03, Rev. 04	08.08.2019	Text Revision	3, 5 & 6	-Addition of Public document of ZED (CIS/PD 01) in 4.8 & 5.1 clause no. 4.8 & 5.1 -change format no. CII/F 01 to CII/F 02 -Change "records" to "form and formats used in this procedure".
Issue 03, Rev. 05	10.08.2024	Cl. 4.6	4	-CI IPL responsibility for tracking & recoding & action taken on the complaint.
		Cl. 4.8 & 5.1	5	-Text amended for availability of information.
		Cl. 5.3	5	-Text modified for inspection bodies responsibility for all decisions for handling complaints.
Issue 04	08.07.2026	Change in nomenclature	All	The term "General Manager" has been changed to "Head"

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Procedure for handling of Appeals, Complaints and Disputes

1.0 Purpose and Scope

1.1 The purpose of this document is to establish procedures for handling appeals, complaints and disputes about Services of Conformity India International Private Limited (CIIPL) or its clients. Where necessary, corrective / preventive actions and quality improvement actions are initiated following an analysis.

1.2 The scope of this document covers:

- Complaints/Appeals/raised against CIIPL of Certification / Inspection services.
- Complaints/disputes against the clients of Certification / Inspection services.

2.0 Responsibility

Director - Decision on Appeal based on analysis made by CEO
Head (Quality) / Quality Manager - To keep a log of all complaints for presentation in MR Meetings

3.0 Associated Documents

CII/QM/01 - Quality Manual
ISO/IEC 17065:2012 - Conformity assessment - Requirements for bodies certifying products, processes and services
ISO/IEC 17020:2012 - Conformity assessment - Requirements for the operation of various types of bodies performing inspection

4.0 Procedure:

4.1 Appeals: Any client shall make an appeal to the Head (Technical) / Director of CIIPL in respect of the following,

- (a) Non acceptance of client's application for certification
- (b) Granting, suspending, withdrawing or denying of certification
- (c) Appeal against decisions of Inspection services

4.2 CIIPL records all appeals and acknowledges the receipt of the appeal and complaint (**Refer CII/F 14**). All appeals are addressed within 30 working days from the receipt of the appeal and CIIPL provides the client with progress reports and the outcome.

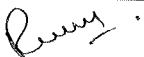
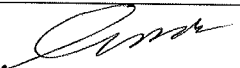
4.3 All appeals are reviewed by the appeal panel constituted by Head (Technical) / Director for each appeal. The appeal panel contains at least two members who are not involved in certification or inspection decision or involved in the subject of the appeal. For appeal against the decision of the Head (Technical) / Director, the matter is referred to the board of Head (Technical) / Directors for taking the decision.

4.4 The appeal panel investigates the appeal by looking into the records and/ or talking to the appellant and CIIPL takes a decision taking into account the results of any previous such appeals.

4.5 Based on the decision of the appeal panel CIIPL initiates appropriate correction and corrective action and the same recorded in (CII/F 14) register for complaints, appeals & disputes.

4.6 CIIPL shall be responsible for all decisions at all levels of the appeal handling process. The decision on the appeal is reviewed and approved by Director and is communicated to the client. This completes the appeal process and CIIPL also informs the appellant at this time about the closure of the appeal. CIIPL is responsible for tracking and recording including action taken on the complaint and appeal.

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4.7 CI IPL ensures that the submission, investigation and decision on appeals do not have result in any discriminatory action against the appellant.

4.8 Information about appeal handling process of CI IPL is made publicly available on request. (Document CCS/PD 01, CCS/PD 02, CCS/PD 03, CIS/PD 01 as relevant).

5.0 Complaints

5.1 Information about complaint handling process of CI IPL is made publicly available on request. (Document. (CCS/PD 01, CCS/PD 02, CCS/PD 03, CIS/PD 01) as relevant).

5.2 The complaint can be made to the Head (Technical) / Director by the client or any other interested party in writing giving details of the complaint. The complaint shall either relate to the certification or inspection activities of CI IPL or to the certified client and its activities.

5.3 The complaints received are recorded in (**Refer CII/F 14**) and is acknowledged to the complainant. The Head (Technical) / Director reviews the complaint to ascertain the seriousness and the genuineness of the complaint. CI IPL provides the complainant with progress reports and the outcome. The inspection body shall be responsible for all decisions at all levels of the handling process for complaints and appeals. Investigation and decision on appeals shall not result in any discriminatory actions.

5.4 The complaint redresses process:

5.4.1 Complaints about CI IPL from the client or third party

(a) Depending on the nature of the complaint, Head (Technical) / Director decides to conduct the investigation himself or appoint a complaint panel for each complaint. The complaint panel contains at least two members who are not involved in certification or inspection decision or involved in the subject of the complaint. Further, the complainant is given an opportunity to present the case to the panel in person if he so desires.

(b) The complaint panel investigates the complaint by looking into the records and/ or talking to the complainant and CI IPL takes a decision taking into account the results of any previous such complaints.

(c) The details of investigation and the correction and the corrective actions identified are recorded in the complaint register. Upon verification on the effectiveness of corrective action taken, CI IPL informs the complainant about the correction and corrective action taken and if the complainant is satisfied with the actions taken the complaint is treated as closed.

Complaints about the certified client from its customers or any other third party:

(a) CI IPL informs the client about the complaint received and asks the client to investigate the complaint and report the findings to CI IPL within two weeks from the date of receiving the complaint by the client.

(b) If CI IPL does not receive any response from the client or the action taken by the client is not found effective, CI IPL shall inform the client accordingly and ask for a special audit at the client site by CI IPL. On confirmation from the client, CI IPL conducts a special audit and investigate the complaint.

(c) If the complaint is of serious nature CI IPL initiates the special audit directly with the client.

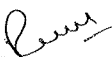
(d) As its policy, CI IPL does not disclose the identity of the complainant to the client.

(e) If any action is needed to be taken by the client CI IPL verifies the effectiveness of such action by suitable means appropriate to the gravity of the Areas for further improvement.

All the feedback received from the clients is analyzed and appropriate action taken if required.

The actions taken are recorded in CII/F 02.

A summary of feedback and the findings with corrective action taken are reviewed in MRM meeting.

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Disputes

Any dispute arising out of CIIPL's certification and inspection activities, are settled by private negotiations between the parties, and if this is not possible it shall be referred to arbitration as per the Indian Arbitration Act, 1996, subject to Delhi jurisdiction. The decision of the arbitration shall be binding for the both parties.

Records of all the disputes shall be maintained and reviewed by Head (Quality) in MRM meeting.

Forms and Formats used in this procedure

- (a) CII/F 14 - Customer Complaint / Appeal Register
- (b) CII/F 02 - Complaint form

References

- (a) CCS/PD 01, 02, 03 - Information Brochures for certification Schemes
- (b) CIS/PD 01 - Information brochure for ZED Certification Scheme

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