

UV Procedure UV000-P051

Complaints – Appeals – Disputes Management

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1.0 Objective

United Verifiers Ltd. (UV) has introduced and implemented the documented procedure, UV000-P050 "Complaints - Appeals - Disputes" (CAD) as part of its Quality Management System. The objective of this procedure is to provide any intended user, stakeholder or interested person or party with the required information on how to submit a related Complaints - Appeals – Dispute and how it is processed in case of a

- **Customer complaint:** The customer is not in agreement with the behaviour of the assessor, auditor or personnel either internal or contracted external individual of United Verifiers Ltd. or the way in which performance of the order was organised: or
- **Third party complaint:** Complaints made by a third party regarding a customer certified by United Verifiers Ltd. or the customer's products
- **Customer appeal:** The customer is not in agreement with the audit, assessment, validation, verification, certification decision:
- **Customer dispute:** The customer of United Verifiers Ltd. disagrees with UV's recommendation and/or opinions/decisions made at various stages in the course of its assessments:

2.0 Scope

This documented procedure applies for United Verifiers Ltd. (UV) its personnel and internal or external assessment or auditing individuals auditors throughout the world which make use of UV accreditations, approvals, notifications etc. and/or when delivering UV services. It applies also to international subsidiaries or outsourced entities (if any) when complaints/appeals/disputes relate to proceedings that have been performed under an accreditation or appointment held by United Verifiers Ltd. (UV). Complaints within the company regarding employees of UV or processes/procedures within UV are considered as internal events and are not processed according to this Procedure.

3.0 Definitions

Complaint:

A complaint is a formal expression of dissatisfaction, made verbally, electronically or in writing, regarding the performance of UV in relation to its services, from any source, such as clients, accreditors, the public or its representatives, government bodies, non-governmental organization, etc.

The investigation and resolution of complaints must not lead to disadvantages.

Appeal:

An appeal is a request made by a client for a formal review of a decision taken by UV in respect of its decision making in the context of certification, assurance, validation, verification or related.

Investigation and decision on appeals must not lead to disadvantages. The investigation of an appeal will not suspend ongoing assessments or issued certificates.

Dispute:

A dispute is a disagreement between UV and its clients regarding UV's recommendation and/or opinions/decisions made at various stages during its assessments.

Confidential content:

Complaint regarding a person, such as for example, behaviour as regards the customer or the quality of service from the point of view of specialist knowledge.

Confidentiality shall also cover the complainant.

Internal event:

Complaints regarding internal processes of UV or regarding the behaviour of employees inside the company.

Customer satisfaction:

The degree to which a customer's expectations of a product or service are met or exceeded. It reflects the customer's overall contentment with the quality, performance, and experience provided by UV. High customer satisfaction indicates that UV has successfully fulfilled or surpassed customer needs and expectations, which often leads to customer loyalty and positive word-of-mouth.

4.0 Roles & Responsibilities

The table below outlines the roles and responsibilities of the interested parties in relation to this procedure and the processes it represents.

Role	Responsibility
Head of Certification (HoC)	- The Head of Certification is responsible for collecting and verifying the information necessary for a validation of the appeal. - When handling appeals, the HoC has to ensure i. the persons involved in the process of dealing with appeals are different from those who conducted the audits and took the certification decisions ii. when deciding on the appeal, the requirements for the competent decision are demonstrably met
Quality Management Representative	- Introduction, control, management and further development of complaint and appeal management in UV - Support in the handling of complaints and appeals in individual cases and when required by the company management - Analysis of the complaints and appeals with regards to weaknesses within UV and potentials for improvement - Initiation of corrective actions and improvements - Checks to ensure that the rules of complaint and appeal management are followed, including during internal audits - Quality assurance for completed complaints and appeals - Escalation of complaints and appeals

Management	• Release of the rules regarding complaint and appeal management • Ensuring good functioning of the complaint and appeal management and its evaluation in the management review • Contact and information flow to interested parties (company shareholders, the general public, the Impartiality Committee, the customer) • Confidential handling of complaints that relate only to persons • Initiating involvement of the legal advisory, insurer or public relations work if these should prove necessary.
Admin staff	Support Directors and Head of Certification in managing, organising, recording the complaint, appeal or dispute case.
Employees	• to receive complaints and appeals and to enter them into the CAD database system. If the complaints relate to persons, they are not entered into the system • to cooperate in the processing of complaints and appeals, when these are delegated to them.
Programme Head	Handling, processing and managing complaint, appeal or dispute cases which are related to the respective programme appointed to.
Assessment Team Leader	Provide information on the complaint, appeal or dispute case.
Audit Team	Support Team leader and generally to cooperate in the processing of complaints and appeals by providing related information on the case.
Independent Reviewer	Provide information on the complaint, appeal or dispute case. Rereview cases on revised decisions.

5.0 General

5.1 Interested parties

A description of the Complaints, Appeals and Disputes procedure is hereby made available to any interested party requesting the related information by any means either verbally, via email or telephone or written mail.

The person, employee, receiving the request shall forward this procedure UV000-P051 to the requesting person the way the requesting person wishes to receive this document. It is recommended to forward this procedure UV000-P051 as a pdf-file via email to the requesting person.

The Head of Certification and the QMR shall be put in CC to the email to the requesting person.

The person may include the link to the related UV webpage in the response where this procedure is publicly available to any interested party: <https://united-verifiers.com/services/complaints/>.

5.2 Gathering of information

In general, UV is responsible for gathering all necessary information to determine whether the complaint, appeal or dispute is substantiated. The responsibility for gathering the information within UV is indicated in the related chapters below.

The investigation, gathering of information and resolution of complaints, appeals and disputes shall not result in any discriminatory actions.

5.3 Impartiality during complaints, appeals and disputes

In General, for any appeal, complaint or dispute received, impartiality and any conflict of interest situation has to be avoided. Please refer also to procedure UV000-P030 for further details on Col situations on personal and company level and how to mitigate them. For complaints, appeals and disputes specifically the following is to be observed and applied w.r.t impartiality:

- The resolution of complaints and disputes shall be made by, or reviewed and approved by, individuals not involved in the complaint in question. Where resources do not permit this, any alternative approach shall not compromise impartiality.
- The decision on the appeal shall be made by, or reviewed and approved by, individuals not involved in the decision which is the subject of the appeal in question.

6.0 Process description

1. The complainant has to send the complaint/appeal/dispute in written form to his/her usual contact at United Verifiers Ltd. (UV) or to the central contact address
United Verifiers Ltd. (UV),
7 Bell Yard, London,
United Kingdom,
WC2A 2JR,

complaint@unitedverifiers.com.
2. The person at United Verifiers Ltd. who is the first to receive a complaint / an appeal / a dispute has the duty to enter the complaint/appeal/dispute into the digital complaint / appeal / dispute management tool. The digital CAD management tool will send an email confirming receipt of the complaint/appeal/dispute (providing the complainant/appellant has given information regarding an email address).
3. The Head of accreditation has the duty to oversee processing of the complaint / appeal / dispute.
4. The complaint / appeal / dispute is to be handled as follows: the complaint / appeal / dispute must be completely understood and corrective action(s) which are acceptable

from the technical point of view and with regards to the facts must be proposed and implemented.

5. If necessary, the complaint / appeal / dispute should be processed in cooperation with persons involved, the relevant programme head, administrative staff and, if appropriate, the senior management of the company and the head of accreditation. If needed, the person responsible for handling the complaint/appeal/dispute contacts and communicates with the party making the complaint/appeal/dispute.
6. The party complaining / appealing / disputing receives a written response regarding the case on receipt of the CAD and the result of the investigation and, if applicable, ongoing updates.
7. If the party making the complaint is not in agreement with the response, the party can first contact the senior management, Directors, of
United Verifiers Ltd.,
7 Bell Yard, London,
United Kingdom,
WC2A 2JR.
8. If this does not lead to a satisfactory solution, the complainant has the right to apply to the impartiality committee of United Verifiers Ltd. as the arbitration body. However, due to accreditation requirements, this is only permitted in case of complaints. The complaint should be addressed in writing to the impartiality committee via@

impartiality@unitedverifiers.com

or to the

Chair of the impartiality committee,
c/o to Head of Accreditation
United Verifiers Ltd.,
7 Bell Yard, London,
United Kingdom,
WC2A 2JR.

The Impartiality committee will consider the case at the latest during their next meeting. The party making the complaint receives a written statement regarding the result.

9. The complainant/appellant has the right to directly contact the related accreditation body, standard or scheme owner and/or competent authority.

7.0 Standard or scheme specific amendments

As of now, no standard or scheme specific issues have to be considered.

8.0 Revision History

Revision No.	Changed Items	Date of Effectiveness
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1.0	Initial adoption	19/11/25
1.1	Adoption to updates of UV000-P050	27/07/26