

Standard Operating
Procedures
For IAPMO Uniform Evaluation Service (IAPMO UES)

No: ES-008

Title: Complaints Procedure

By: RB

Appr. By: OD

Date: 03/15/2015

1.0 Scope: This policy covers complaints directed at IAPMO UES, from persons external to it or its own employees, contractors and committee members. Complaints cover all manner of communications with IAPMO UES including, but not limited to: telephone calls, letters, faxes, E-mails, and personal visits to the UES office for the purpose of communicating a problem. External persons directing a complaint toward an IAPMO UES client should first contact that client and attempt to resolve their issue directly with the client, however, IAPMO UES staff have the right to forego this requirement depending on the nature of the complaint and its sensitivity.

2.0 Responsibility: The Vice President of IAPMO UES is ultimately responsible for the expeditious resolution of all complaints, their documentation and dissemination among appropriate departments and/or staff persons within IAPMO UES. IAPMO UES typically attempts to resolve a complaint within six months from the receipt of the complaint. However, it is not possible to do so on all complaints received due to various circumstances, such as delay in receiving additional information from the complainant, time it takes to complete testing, etc. The underlying goals of the IAPMO UES complaint system are; the mutually satisfactory resolution of problems between IAPMO UES and its customers, the overall strengthening of the service provider/customer relationship, and the improvement of IAPMO UES's internal policies and procedures.

3.0 Procedures:

Complaint is processed in accordance to section 4.0 "Complaint Process Flowchart". Depending on the nature of the complaints, additional information such as proof of failure of a product testing conducted by an ISO/IEC 17025 compliant testing laboratory, photograph/document providing evidence of the complaint, etc. may be requested. Complaint Committee referred in the flowchart-consists of at least 3 (three) staff members in the Managerial or Engineer level, who have not been involved in the certification activities related to the complaint, to discuss this complaint. A complaint can only be closed if the majority votes to close the complaint. Depending on the nature of the complaints and/or staff availability, the votes may be collected through a meeting, a conference call, or balloting. The steps to document a complaint in the complaint database (intranet)-is are as follows:

- a) Complaint Form. All complaints are to be documented using the IAPMO UES Complaint Form on the UES Intranet. The complaint form has ample room for documenting all communications and actions pertaining to the case. All key information and decisions shall be documented.
- b) All customer correspondence must be attached to the form for the record.
- c) All complaint forms documenting resolved issues should be marked "Closed". Evidence of committee approval for closure is to be uploaded in the appropriate complaint record.
- d) All complaints are considered a high priority action and the goal should be to resolve the issues as quickly as possible and to properly document the case consistently throughout its life cycle.
- e) If the complaint results in a corrective action for IAPMO UES, ES-016 is followed accordingly. Complaint log is to reference the corrective action number.
- g) All complaints shall remain confidential in the following manner:

IAPMO UES shall not disclose the identity of the complainant to the client the complaint was served. Any data generated during the investigation of the complaint including the results of the investigation shall not be shared with the complainant and be kept confidential as per Licensing Agreement para 34.

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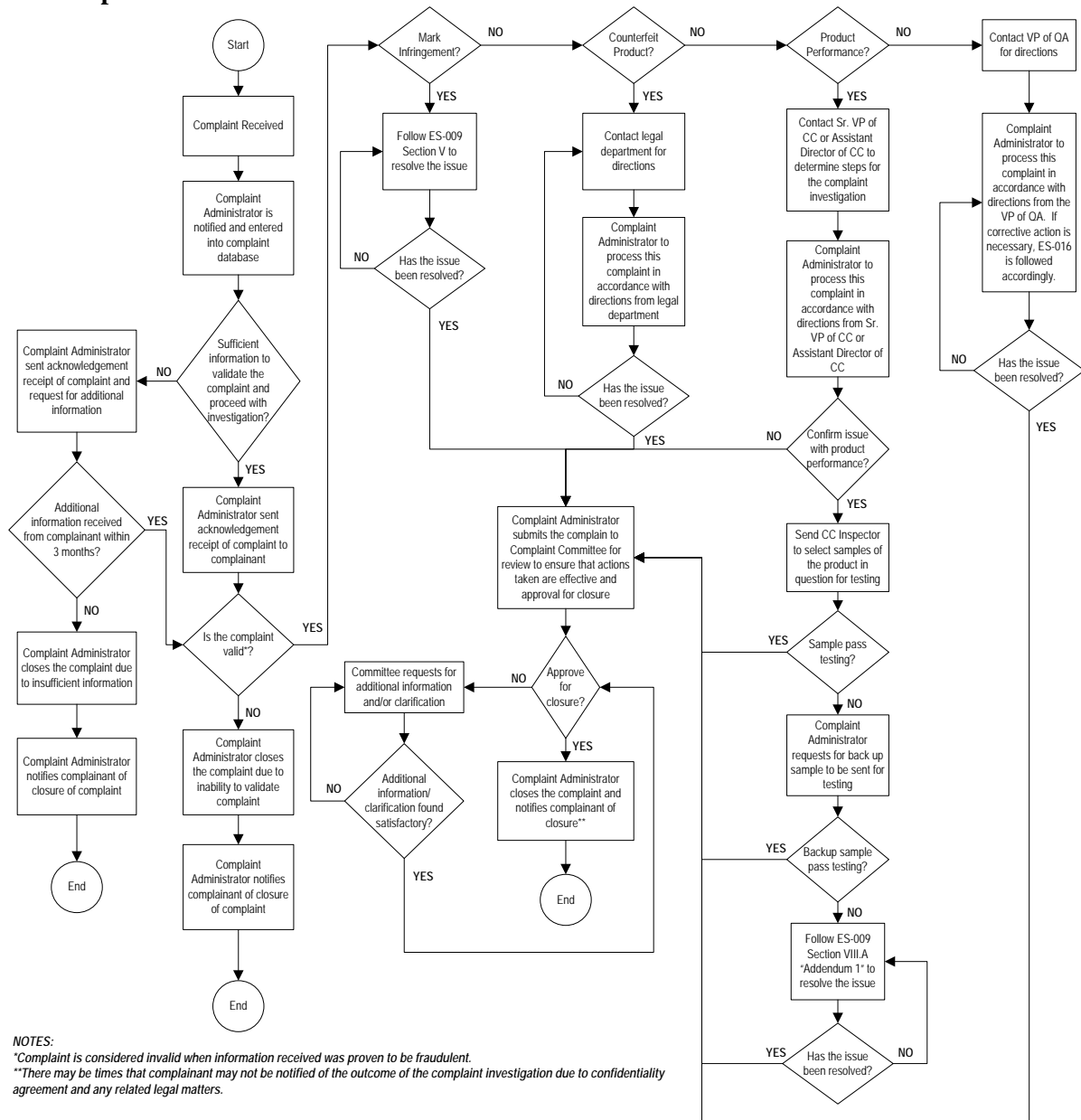
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When possible, IAPMO UES will give formal notice of the outcome and the end of the complaint process to the complainant without disclosing any confidential information.

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4.0 Complaint Process Flowchart:



NOTES:
 *Complaint is considered invalid when information received was proven to be fraudulent.
 **There may be times that complainant may not be notified of the outcome of the complaint investigation due to confidentiality agreement and any related legal matters.