

Complaints and Appeals

WAU Certification Private Limited is committed to handling complaints and appeals in a fair, transparent, impartial, and timely manner.

How to Submit a Complaint

A complaint may be submitted by:

- an applicant or client under certification process
- a certified client's customer
- a consumer forum
- a legal or regulatory authority
- any other interested party

Complaints may be submitted through the official email address displayed on the WAU website.

To help WAU process the complaint effectively, the complainant should provide, where possible:

- name and contact details of complainant
- name of organization or person against whom the complaint is raised
- clear description of the complaint
- relevant dates, facts, and supporting evidence
- any documents or records supporting the complaint

Complaint Handling Process

1. Receipt and Registration

All complaints received through the official WAU email are recorded in the Complaint Register.

2. Acknowledgement

WAU acknowledges receipt of the complaint through email.

3. Validation

WAU reviews the complaint through appropriate sources to determine whether it is valid and relevant to WAU certification activities or to a WAU certified client.

4. Invalid Complaint

If the complaint is found invalid, unsupported, or outside the scope of WAU, the complainant is informed with reasons/justification, and the matter is recorded.

5. Formation of Action Team

If the complaint is found valid, WAU forms an Action Team to investigate and address the issue.

The members of the Action Team are independent from those who carried out the audit or made the certification decision related to the case.

6. Complaint Related to Certified Client

If the complaint relates to a certified client, WAU may require the client to:

- investigate the issue,
- submit correction and corrective action,
- provide evidence of implementation, and
- permit verification by WAU, including special audit if required.

7. Complaint Related to WAU

If the complaint relates to WAU activities, auditors, reviewers, decision makers, or certification process, WAU initiates investigation and, where necessary, interim containment action.

8. Investigation and Review

The Action Team investigates the complaint and reviews the available facts, records, and evidence. Investigation outcomes are independently reviewed by the competent authority within WAU.

9. Corrective Action and Effectiveness

Where the complaint is substantiated:

- correction and corrective action are defined,
- implementation is monitored,
- effectiveness is evaluated,
- similar risks may be reviewed for wider/systemic action.

10. **Communication of Outcome**

WAU communicates the complaint resolution or status update to the complainant through formal communication, subject to confidentiality requirements.

11. **Closure**

The complaint is closed only after review of investigation outcome and action taken.

Complaint Resolution Timeline

- WAU acknowledges receipt of the complaint after it is received and registered.
- WAU aims to resolve complaints within **30 days (1 month)** from the date of registration.
- If the matter requires more time due to complexity, evidence collection, or client response, WAU provides interim status updates to the complainant.

How to Submit an Appeal

An appeal may be submitted by an applicant or certified client against a certification-related decision made by WAU, including:

- refusal to proceed with certification
- refusal to grant certification
- suspension of certification
- withdrawal of certification
- reduction of scope
- other certification-related decisions

Appeals may be submitted through the official email address displayed on the WAU website.

The appellant should provide, where possible:

- name and contact details of appellant
- organization name
- reference to the certification decision being appealed
- clear reason for appeal
- relevant supporting documents and evidence

Appeal Handling Process

1. **Receipt and Registration**

All appeals received through the official WAU email are recorded in the Appeal Register.

2. **Acknowledgement**

WAU acknowledges receipt of the appeal through email.

3. **Validation**

WAU reviews the appeal to confirm that:

- it relates to a certification-related decision of WAU,
- it has been submitted by an eligible party,
- it contains sufficient information for review.

4. **Invalid Appeal**

If the appeal is found invalid or not admissible, WAU informs the appellant with reasons/justification.

5. **Independent Review Team**

If the appeal is valid, WAU forms an Action Team / Appeal Review Team.

The members of this team are independent from those who carried out the audit, technical review, or certification decision related to the appeal.

6. Investigation and Evaluation

The Action Team reviews:

- the original certification decision,
- supporting records,
- audit/review/decision documentation,
- relevant facts and evidence,
- whether similar appeals or issues have occurred previously.

7. Decision and Corrective Action

Where required:

- correction and corrective action are identified,
- the proposed action is reviewed and approved,
- implementation is monitored,
- effectiveness is verified.

8. Communication of Outcome

WAU communicates the final appeal decision to the appellant through formal communication.

9. Closure

The appeal is closed only after completion of review and issue of final decision.

Appeal Resolution Timeline

- WAU aims to acknowledge receipt of the appeal within **48 hours**.
- WAU aims to resolve appeals within **30 days** from the date of registration.
- Where more time is required due to complexity or additional verification needs, WAU provides interim updates to the appellant.

Confidentiality and Impartiality

WAU handles complaints and appeals in a manner that is:

- **confidential**
- **impartial**
- **independent**
- **non-discriminatory**

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WAU ensures that:

- complaints and appeals are reviewed by persons not directly involved in the matter under consideration
- the persons who carried out the audit or made the certification decision do not decide the related appeal
- complainants and appellants are not subjected to discriminatory treatment
- information is shared only with those who need it for investigation, review, and resolution, subject to legal and accreditation requirements

Difference Between a Complaint and an Appeal

Complaint:

An expression of dissatisfaction regarding WAU activities, WAU personnel, certified clients, or certification-related conduct, where a response is expected.

Appeal:

A formal request by an applicant or certified client for reconsideration of a certification-related decision made by WAU.

Contact for Complaints and Appeals

Complaints and appeals may be submitted to the official WAU contact email displayed on this website.