

## INFORMATION ON COMPLAINT HANDLING PROCESS

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Document Owner: RSPO Scheme Owner

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### **This process only applies to complaints related to Business Assurance activities**

#### **Purpose**

To provide an overview of Intertek's complaint handling process for RSPO audits.

#### **Scope**

Intertek has a comprehensive process to handle complaints. It satisfies the requirements of both ISO/IEC 17021-1 and 17065. This process applies to complaints relating to Intertek's certification services, and complaints against certified clients made to Intertek. The purpose of this Procedure is to provide a method for managing all RSPO SCCS related complaints and grievances identified during the certification activities. This procedure applies worldwide to all assignments according to the RSPO SCC Standard.

#### **Definition**

Complaints: Expressions of dissatisfaction made to Intertek with regards to its certification/auditing services or its certified/audited clients (as it relates to the implementation of the clients' management systems), where a response or resolution is explicitly or implicitly expected.

### **1. Process**

#### **1.1. Customer or Interested Parties Complaints**

All complaints received from customers or other interested parties relating to the RSPO Supply Chain Certification System (always updated version) shall be formally recorded and action shall be taken accordingly.

The complaint records shall include

- the evidence of investigation,
- the communication with customers or other interested parties respectively
- action to be taken

The above mentioned records shall be made available to the auditor for review purposes during scheduled surveillance visits.

#### **1.2. Complaints from Interested Parties**

All complaints received from interested parties related to RSPO Supply Chain Certification System performance of clients which are directly submitted to Intertek Certification GmbH shall be formally recorded and acted accordingly.

The Certification Manager or General Manager shall undertake an investigation of the complaint by review of the relevant records and/or direct contact with the client to solve the problem and where necessary arrange a visit to investigate the extent of the problem and corrective action(s) which have to be taken.





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When the objective evidence is found, the Certification Manager shall invite all involved parties to a meeting to resolve the problem.

The minutes of the meeting shall be distributed to the involved parties by the Certification Manager.

All records referring to the investigation and outcome shall be maintained on file by the Certification Manager for a minimum period of five years.

### 1.3. Intertek Certification GmbH Client Complaints

Should the client have reasons to complain with respect to the conduct of Intertek Certification GmbH employees or external auditors, the complaint should be made in written form and addressed to the General Manager or Certification Manager.

As appropriate the Certification Manager or General Manager shall undertake an investigation of the complaint by review of the relevant records and/or interviewing the subject of the complaint to assure validity or not.

All records referring to the investigation and outcome shall be maintained on file by the Certification Manager for a minimum period of five years.

The Certification Manager or General Manager shall ensure that the client is kept informed in writing of the investigation and outcome of the complaint.

### 1.4. Complaints and Grievances relating to the performance of Intertek Certification GmbH

All complaints received from interested parties related to RSPO Supply Chain Certification Systems which are directly submitted to Intertek Certification GmbH shall be formally recorded and acted accordingly. In order to be eligible for consideration the complaint must include the following:

- 1) be in writing and signed by the complainant, or a delegated representative;
- 2) reasons on which the complaint is made;
- 3) relevant documented evidence is attached;
- 4) indication on steps which were taken to resolve the issue prior to lodging the complaint.

The Certification Manager and or General Manager shall make validation of the complaints and grievances to seek whether the matter can be referred to the Ad Hoc Appeal Committee or not. If the complaints and grievances are not valid enough, the Certification Manager or General Manager will discontinue the process and inform the complainant for valid supported evidence. If the complaints and grievances are valid, then the matter will be referred to the Ad Hoc Appeal Committee.

The Certification Manager or General Manager shall prepare appropriate documentation related to the complaints and grievances, including the response and corrective action taken. The documentation for reviewing by the Ad Hoc Appeal Committee is as follows:

- 1) Copy of Complaints and Grievances Record, including the valid supported evidences
- 2) Documentation supporting the decision

The complainant will be informed about the results of the Ad Hoc Committee. If the complainant remains unsatisfied by the outcome or unsatisfied with the progress of the solution finding, then the complaints and grievances may be formally submitted to the Accreditation Body's mechanism and/or may proceed under the clause below mentioned.



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### 2. Complaint Review

#### 2.1. Dispute of Complaints Resolution

Dispute of complaints can be arising if both parties (Intertek Certification GmbH and interested parties) could not reach agreement related to the cause of appeals and agree to be resolved it through third parties such as Arbitrating Body or Court of Justice.

The General Manager and/or Certification Manager are responsible for completion of these matters through the third party.

### REVISION LOG

Revision #	Description of Change	Release Date
01	Creation of the procedure	19-OCT-2012
02	Update	03-MAR-2019
03	Adaption to new Format	02-DEC-2019