

COMPLAINT HANDLING PROCESS

Document #: GOP216 -Sa 8000

Release Date: 14-Mar-2019

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Document Owner: G. De Tommaso

Approver: Global VP, Technical Mngment & Quality

This process only applies to complaints related to Business Assurance activities.

1. Purpose

To describe the complaint handling process, including receiving, validating, investigating, and deciding what actions are to be taken in response to the complaint.

2. Scope

This process applies to complaints relating to Intertek's certification/auditing services, and complaints against certified/audited clients made to Intertek.

For complaints issued by clients holding Sa 8000 certifications or complaints against clients holding Sa 8000 certifications, please refer to section 11 below for additional requirements.

3. Responsibilities

- Technical Manager: In the case where the contracting office is an accredited Business Unit (or Hub), the Technical Manager is responsible for the application of the process
- BA General Manager: In the case where the contracting office is an unaccredited business unit, the tasks assigned below to the Technical Manager are assigned to the BA General Manager or a designated staff appointed by the BA General Manager
- Global Account Manager: In the case of complaints related to global accounts, the Global Account Manager shall work with the Technical Manager or BA General Manager to the resolution of the complaint

4. 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.

Designated investigator: Competent personnel who was not involved with the audit and/or decision making process related to the complaint.

Notes:

- The complaint handling process is subject to the requirements for confidentiality.
- This process does not apply in the case of complaints related to financial/commercial matters. Nevertheless, in such cases, the issue is to be directed to the Business Unit BA General Manager





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- For complaints related to integrity/compliance, the complainant will be acknowledged and the complaint will be forwarded to Local Compliance Officer/Manager to process in accordance with Intertek Integrity Compliance Handling Procedure (WI-QCS-012)
- Submission, investigation and decision on complaints shall not result in any discriminatory actions against the complainant.
- Intertek will take any necessary corrective actions related to the complaint, whether against Intertek certification/auditing activities or against the certified/audited client.
- When the complaint is against a certified/audited client, the subject of the complaint is not to be made public unless Intertek, the complainant, and the client decide together as to what extent the subject of the complaint and the resolution shall be made public
- If the complaint does not relate to Business Assurance activities, Business Assurance personnel receiving the complaint should do its best to identify the party the complaint should be addressed by and then notify the complainant that the complaint has been received and forwarded to the appropriate Intertek business unit. Such complaints are not to be recorded in the Complaints, Disputes & Appeals log.

5. Input

Complaints received from clients through the Global BA Complaint email, complaint.ba@intertek.com or through the Intertek office via telephone, email, or other type of communication.

6. Output

Investigation result and updated Complaints, Disputes and Appeals Log

7. KPIs

Mailbox Administrator/Complaint Recipient forward Complaint to the appropriate person within 2 business days, Technical Manager acknowledge receipt of Complaint within 10 business days, and outcome responds to person sending in Complaint within 30 working days.



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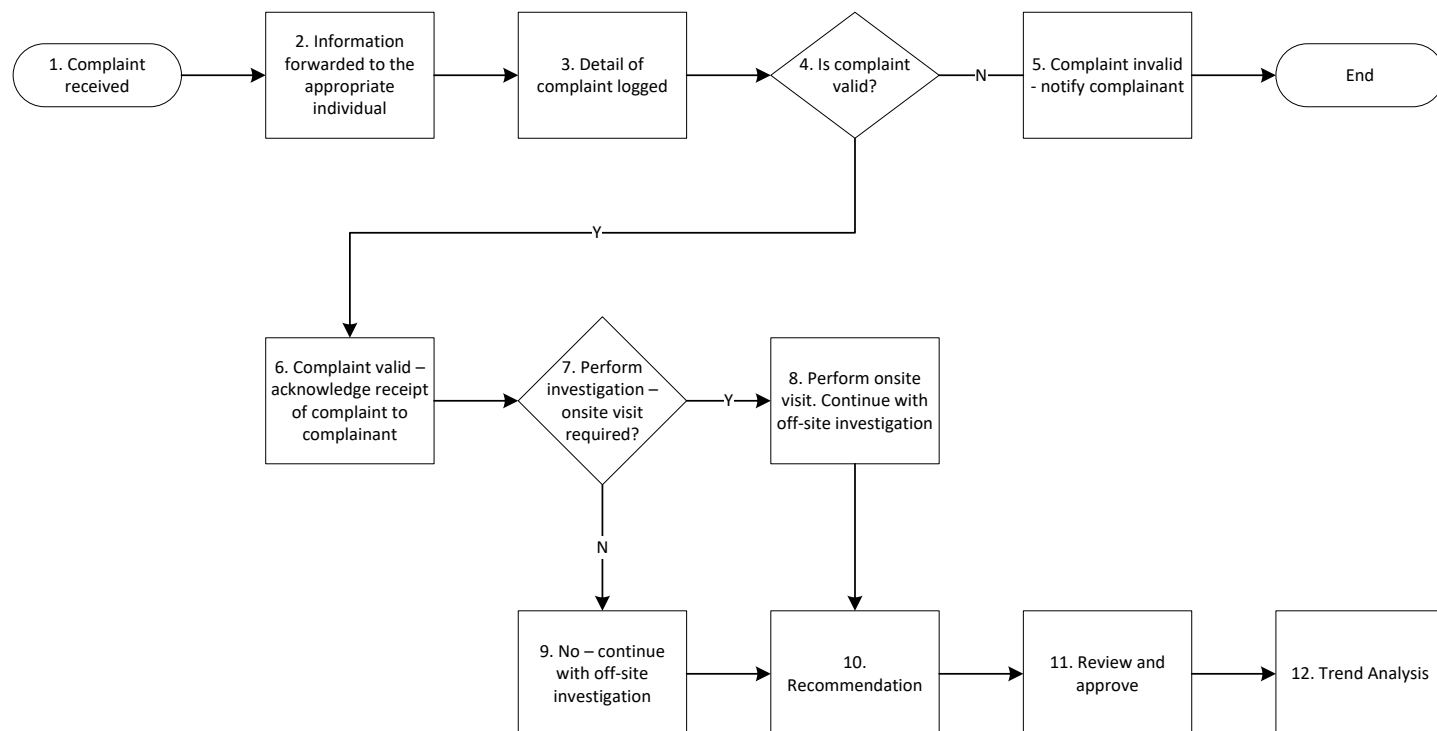
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8. Process Flow:



9. Process Description

	ACTION	BY WHOM	RELATED DOCS	COMMENT
	Complaint Handling Process		GOP 216	
1	Complaints received	Mailbox Administrator	Email, telephone, NPS, other type of communication	Any party wishing to submit a complaint contacts the Intertek office via telephone, email, or other type of communication or by sending an Email at complaints.ba@intertek.com. A detractor comment received via the NPS process is to be treated as a complaint.
2	Information forwarded to the appropriate individual	Mailbox Administrator	email	Information forwarded to the appropriate Technical Manager for action within 2 days.
3	Detail of complaint logged	Technical Manager	Complaints, Disputes and Appeals Log	Upload Complaint into SharePoint Complaints, Disputes and Appeals Log



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4	Verify the validity of the complaint	Technical Manager		Within 10 working days review the nature and content of the complaint and determine whether this is a valid complaint or not.
5	Complaint invalid	Technical Manager		If concluded as not valid, then inform complainant within 10 days Update the Complaints, Disputes & Appeals log accordingly Process ends.
6	Complaint valid – acknowledge receipt	Technical Manager.	Complaints, Disputes and Appeals Log	If concluded as valid acknowledge receipt of the complaint to the complainant within 10 working days and start investigation. (see note 6 below) Update the Complaints, Disputes & Appeals log accordingly
7	Perform investigation	Technical Manager		Investigate or assign the task of investigating the complaint to a designated investigator who has not been previously involved with the subject of the complaint. Special on-site audit will be arranged if needed.
8	Perform on site visit	Lead Auditor	Report	Complaints received from Accreditation Bodies, Sector Authority Organizations, or clients' customers may require an on-site investigation review visit (See note 1) Report submitted within five working days of completion of the visit. Continue with off-site investigation.
9	Continue with off-site investigation	Technical Manager or designated investigator		Resolve complaint through an investigation and validation process with decisions made on what actions are to be taken in response to the complaint
10	Recommendation	Technical Manager or designated investigator	Complaints, Disputes and Appeals Log	Document the recommendation in the Complaints, Disputes & Appeals log. (See note 2)
11	Review and approval	Technical Manager or General Manager	Complaints, Disputes and Appeals Log Correspondence	Review and approve results of the investigation (See note 3) Certification suspension or withdrawal will be processed accordingly if investigation concludes it. Inform the complainant of the results and the decision of the investigation within 30 working days of receipt of the complaint (see note 4 and note 5)



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				Update results in the Complaints, Disputes and Appeals Log.
12	Trend Analysis	Director – Internal Auditing	Analysis report	Perform trend analysis quarterly Summary submitted to the Regional Certification Managers and the Global Vice President – Technical Management & Quality

Note 1: In the case of investigation of complaints related to certified/audited clients, the special visit (short Notice or unannounced) is to be conducted in accordance with the requirements of GOP103 – Audit Execution Process or the appropriate customer specific requirements.

Note 2: This investigation may lead to the reduction of scope, suspension or withdrawal of the certification of a certified client. In such a case, the recommendation is to be processed in accordance with the requirements of GOP209 - Suspension and Withdrawal Process

Note 3: If the Technical Manager has been previously involved with the subject of the complaint, the review and approval will have to be made by the General Manager or higher level management

Note 4: If the investigation cannot be completed within 30 working days, the complainant will be notified of a new date of completion.

Note 5: In case the result of the complaint investigation is “Claims” from the customer, the maximum liability of the company is refund of the certification/audit fee. If any claim is more than the certification/audit fee received, then the Intertek Group Notification of Incidents and Claims ([Notification of Incidents and Claims](#)) shall be followed.

Note 6: Unless a decision is forwarded to the complainant within ten days of receipt of the complaint.

Note 7: For data entry into the Complaints, Disputes & Appeals Log SharePoint, please refer to the document WI216 “Work Instruction for Inputting a Complaint or Dispute from Customer into the Complaints, Disputes & Appeals Log”.

Note 8: For the term “Technical Manager” referred to in the above, this may refer to the term “Program Manager” or “Account Manager” in the Supplier Management operation.



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10. Sa 8000 Specific requirements

[Reference Saas procedures 201A.2015 point.1.13](#)

11.1 Complaints Sent Directly to INTERTEK:

1.13.1.1 Upon receipt of a complaint within the scope of SAAS accreditation, the INTERTEK SHALL, at minimum:

- a) Initiate its complaints procedure.
- b) Acknowledge receipt of the complaint to the complainant within 5 working days.
- c) Determine the acceptability of the complaint based on evidence received.

11.2 If the complaint is accepted by the INTERTEK, the INTERTEK SHALL conduct an investigation as detailed below.

11.2.1 If the complaint is not accepted, the INTERTEK SHALL notify the complainant of why it was not accepted, and provide instructions on the INTERTEKs appeals process. The complainant SHALL also be given the opportunity to provide additional evidence to support the complaint.

11.2.2 Complaints SHALL be reviewed by designated INTERTEK staff to determine their relevance to provisions of SA8000 or SAAS audit requirements or accreditation procedures, and determine if the INTERTEK should record the information as documented evidence of an SA8000 client's non-compliance (if applicable).

- a) The INTERTEK SHALL conduct an investigation, which may be aided by an unannounced audit and through interviews with outside stakeholders, such as: trade unions, NGOs, and the complainant.
- b) The investigation SHALL cover all elements identified in the complaint.
- c) If the complaint relates to a specific audit, the INTERTEK SHALL assign personnel to the complaint investigation who were not a part of the relevant audit team.

11.2.3 The INTERTEK SHALL submit a report to the complainant regarding the conclusion of its investigation.

- a) The report SHALL present the resolution of the complaint and the reasons for that conclusion.
- b) The report SHALL summarize the documented evidence submitted and the response, if there is any, from the certified organisation's management. If the certified organisation has agreed to corrective action, its commitment SHALL be included in the report. When the INTERTEK confirms that the certified organisation has implemented the corrective action, this information SHALL be included in the report as well.



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c) The certified organisation's management SHALL have the right to submit a written response to the allegations. This response, or a summary of it, SHALL be included in the report. The report SHALL be written according to any relevant confidentiality agreements, and SHALL be issued within 10 days of rendering the decision.

11.3 Complaints Received by SAAS Regarding INTERTEKs and INTERTEK Clients:

11.3.1 Any complaints received by SAAS regarding INTERTEKs and INTERTEK clients SHALL be forwarded to INTERTEK for further action and investigation. INTERTEKs SHALL follow the process as detailed above.

11.3.2 In addition, the INTERTEK SHALL at a minimum:

a) Acknowledge receipt of the complaint from SAAS.

b) Report its plan of action to SAAS within 10 days, and submit subsequent reports every 30 days after that point.

c) Establish contact with the complainant as part of the investigation.

d) Complete the investigation within 90 days or less, unless otherwise agreed upon with the SAAS Executive Director.

11.3.3 SAAS may elect to investigate the INTERTEK's actions in investigating the complaint by conducting an additional audit of the INTERTEK and/or certified organisation.

11.4 Other Types of Complaints Received by SAAS:

11.4.1 SAAS may receive information regarding a INTERTEK or a INTERTEK's certified client from a stakeholder with whom SAAS or SAI, the owner of the SA8000 standard, has a relationship. This stakeholder may have information that raises issues of concern about the certified organisation, which then requires investigation by the INTERTEK. SAAS SHALL require INTERTEKs to treat such issues of concern as formal complaints and undertake an investigation as noted in the points above, and correspond directly with the stakeholder.

11.4.2 The relevant complainant may wish to remain anonymous. In such cases, SAAS SHALL act as the intermediary; the INTERTEK SHALL send all correspondence to SAAS, which shall liaise with the complainant.

11.4.3 All complaints SHALL be logged and actioned, with records maintained. The INTERTEK SHALL provide the SAAS auditor with this information during accreditation audits. All INTERTEKs in the SAAS accreditation system SHALL keep records of complaints, appeals and responses for a minimum of 10



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years after the resolution of the complaint. Non-confidential information about complaints is published on the SAAS website:

<http://www.saasaccreditation.org/complaints>

11.4.4 INTERTEK SHALL provide a detailed report to SAAS of all complaints received every 6 months. This report SHALL include details of the complaint, outcome, root cause analysis and corrective action, as necessary.

11.4.5 The INTERTEK complaints process SHALL include statutes covering whistleblowers which protects such whistleblowers from retaliation. This SHALL include protection for personnel within the certified organisation as well as other stakeholders within the SA8000 process.

11.4.6 SAAS has developed a confidential complaints system for stakeholders to use. This can be found at:

<http://www.saasaccreditation.org/complaints>.

11. Records

All records relative to Disputes/Appeals shall be entered into the Complaints, Disputes & Appeals log and maintained per GOP202 - Records Control Process.

REVISION LOG

Revision #	Description of Change	Release Date
0	Initial release	14-Mar-2019