

Complaint Handling Process

GT001, rev. 2

Document # GOP216

Release Date: 03-JUN-2016

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Document Owner: Director – Internal Auditing**Approvals:** Global Vice President – Technical Management & Quality

This process only applies to complaints related to Business Assurance activities

Purpose

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

Scope

This process applies to complaints relating to Intertek’s certification services, and complaints against certified clients made to Intertek.

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
- 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

Definition

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

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
- 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 activities or against the certified client.
- When the complaint is against a certified 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.

1.0 Process

- 1.1 Any party wishing to submit a complaint shall contact the Intertek office via telephone, email, or other type of communication or by sending an Email at: complaints.ba@intertek.com or info.germany@intertek.com.
- 1.2 Messages sent to the email box identified above are received by the “Mailbox Administrator”. This person’s only role is to identify who should receive the complaint (per “Responsibilities” above) and forwarded it to the appropriate individual within 2 business days.

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- 1.3 Upon receipt of a complaint, the Technical Manager will log the complaint into the Complaints, Disputes & Appeals log for tracking purpose. The Technical Manager will identify who should receive the complaint (per “Responsibilities” above) and forwarded it to the appropriate individual within 2 business days.

2.0 Complaint Review

- 2.1 Within 10 working days, the Technical Manager will then review the nature and content of the complaint and determine whether this is a valid complaint or not.
- 2.1.1 If the complaint is valid, he/she will acknowledge receipt of the complaint to the complainant by formal correspondence. At the same time, the Technical Manager will investigate or assign the task of investigating the complaint to the appropriate personnel (Investigator), who has not been previously involved with the subject of the complaint.
- 2.1.2 If the complaint is deemed invalid, the complainant will be notified in writing including the reason for rejection.
- 2.1.3. In both cases, the Technical Manager will update the Complaints, Disputes & Appeals log accordingly.
- 2.2 The Investigator shall resolve it through an investigation and validation process with decisions made on what actions are to be taken in response to the complaint. He/she has the responsibility of gathering and verifying all necessary information to validate the complaint.
- 2.3 Complaints received from Accreditation Bodies, Sector Authority Organizations, or clients’ customers may require an on-site investigation review visit. Then he/she will provide the assigned lead auditor with appropriate background information from operations to base the review. In the case of investigation of complaints related to certified clients, the investigator and/or lead auditor shall also perform a review of the certified client’s management system effectiveness. Within five working days of completion of the visit, the lead auditor shall submit its report to the Investigator.
- 2.4 Intertek will notify the client of the receipt of a complaint against their certified system at an appropriate time.
- 2.5 In the case of investigation of complaints related to certified clients, the special visit (short Notice or unannounced) is to be conducted in accordance with the requirements of GOP103 – Audit Execution Process
- 2.6 This investigation may lead to the reduction of scope, suspension or withdrawal of the certification. In such a case, the recommendation is to be processed in accordance with the requirements of GOP209 - Suspension and Withdrawal Process
- 2.7 Whenever possible and appropriate, Intertek will provide the complainant with progress reports and the outcome of the investigation, and a formal notice of the end of the process.
- 2.8 The investigator will document the recommendation related to the outcome of the full and thorough investigation in appropriate section in the Complaints, Disputes & Appeals log and the Technical Manager will be notified for review and approval. 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. The Technical Manager will forward the results of investigation to the complainant within 30 working days of receipt of the complaint. If the investigation cannot be completed within 30 working days, the complainant will be notified and a new date of completion will be agreed.
- 2.9 Once a decision has been made, the Technical Manager shall perform an analysis of the cause of the complaint and determine if any correction and/or corrective action is needed. If any correction, corrective and/or preventive action is required, it shall be processed in accordance with GOP210 sections 1.0 and 2.0.

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- 2.10 Once satisfied that all necessary actions have been taken and proven to be effective, the Technical Manager will complete the appropriate section in the Complaints, Disputes & Appeals log and update the Complaints, Disputes & Appeals log accordingly.

3 Trend Analysis

Prior to Management Review meetings, the Director – Internal Auditing shall review and analyze all complaints received and processed during the review period (generally one year), which are recorded in the Complaints, Disputes & Appeals log, for the submission of a summary to the Regional Certification Managers and the Global Vice President – Technical Management & Quality, to be reviewed during the Management Review meetings. As deemed necessary, request for further corrective actions and/or preventive actions could be issued.

4 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 No.	Description of change:	Release date:
3	Addition of disclaimer at the beginning of the document	27-MAY-2015
4	Original document amended to cover the entire process (independently from GOP210)	03-JUN-2016
5	Change logo	07.03.2017