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|  | <b>Global Gateway Certifications<br/>Quality Procedure</b> | Document No. | QP 07       |
|                                                                                   |                                                            | Revision No. | 2           |
|                                                                                   |                                                            | Issue No.    | 1           |
|                                                                                   |                                                            | Date         | 13–10–2021  |
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## 1.0 Purpose

This procedure describes the system for handling complaints and appeals associated with the certification services that in line with the accreditation requirements.

## 2.0 Scope

This procedure is applicable to complaints and appeals received from any interested parties that related to **Global Gateway Certifications** services.

## 3.0 Responsibility

3.1 **Quality Manager** is responsible for receiving the complaint or appeal from the clients or other interested parties in accordance to this procedure.

3.2 **Quality Manager** is responsible for managing the complaints or appeal process including performing investigation and analysis.

## 4.0 Description of activity

### 4.1 Complaint Handling Process

4.1.1 Complaints are incidents of grievances or dissatisfaction with **Global Gateway Certifications** services. Complaints can be made by interested parties against the following:

- Internal stakeholders which related to certification activities.
- External stakeholders which related to certification activities.

4.1.2 Formal complaints need to be submitted to **Global Gateway Certifications** in writing. Complaints received by phone will be registered but need to be confirmed by the complainant in writing. The complainant may send the complaints to **admin@ggc.my**.

4.1.3 Complaints need to include a clear description of the case, objective evidence to support each element or aspect of the complaint, and the name and contact information of the complainant.

4.1.4 Complaints are forwarded to the person in charge, which is the Managing Director concerned or Quality Manager, depending on the nature and severity of the complaint.

4.1.5 Preliminary review on all complaints are done by the Quality Manager and communicate to the person in charge.

- a) If the complaint is evidently unfounded or outside of the scope for complainants handling, the person in charge will reject the complaint in writing.
- b) If the complaint is within the scope for complaints handling, the person in charge initiates the complaint handling process as detailed hereafter.

4.1.6 **Global Gateway Certifications** is bound to confidentiality towards its clients and will not communicate the findings or the outcome of the complaint investigation to any third party:

- a) Except for competent authorities or standard holders, if applicable.

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- b) Except when otherwise agreed between the **Global Gateway Certifications** and then client.

- 4.1.7** Each complaint case will be reported in incident report and forwarded to the Quality Manager for recording in the incident log.
- 4.1.8** Within 2 weeks (10 working days), the Quality Manager or Scheme Manager writes to the complainant to confirm receipt of the complaint and to provide an overview of the proposed course of action to follow up on the complaint.
- 4.1.9** The complaint is duly investigated in consideration of the facts provided, certifications report, other additional information obtained from auditors or third parties. Further information is requested from the complainant if necessary.
- 4.1.10** Quality Manager or Scheme Manager keeps the complainant(s) informed of the progress in evaluating the complaint.
- 4.1.11** Based on the result of the investigation, the person in charge specifies all proposed actions in conclusion to the complaint not exceeding 60 calendar days of receiving the complaint. The measures to be taken are based on the requirements of the case:
- a) They need to be reasonable regarding necessary efforts/expenses as well as timely clarification of the matter.
- b) They can be determined by relevant laws, regulations and standards.
- 4.1.12** In order to ensure that there is no conflict of interest, the decision resolving the complaints is taken by, or reviewed and approved by, person(s) not involved or impartiality committee in the activities related to the complaint.
- 4.1.13** Quality Manager or Scheme Manager notifies the complainant in writing when the complaint is considered to be closed, meaning that **Global Gateway Certifications** has gathered and verified all necessary information, investigated the allegations, taken a decision on the complaint.
- 4.1.14** When necessary, the competent authorities or scheme owner are included in the process. Below are scheme specific requirements to be adhered pertaining complaints and appeals;

| Scheme | Requirements                                                                                                                                                                                                                                                                                                                                                                                                                                        |
|--------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| MSPO   | <ul style="list-style-type: none"> <li>Respond towards complaints or enquiries to Scheme Owner within seven (7) days.</li> <li><b>Global Gateway Certifications</b> shall adhere to scheme document. Any complaints against the Certification Bodies shall be notified to the AB and scheme owner</li> <li>To notify client the rights of the client related to appeal and complaint against ACBs certification process and/or decisions</li> </ul> |

| Scheme | Requirements                                                                                                                                                                                                                  |
|--------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| RSPO   | <ul style="list-style-type: none"> <li>To notify the Accreditation Body (AB) within seven (7) days of a complaint received from any RSPO stakeholders concerning auditor's competency or concerning the outcome or</li> </ul> |

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|  | <p>implementation of a certification assessment conducted.</p> <ul style="list-style-type: none"> <li>• To seek resolution for such complaints within 60 days. In the case where unable to resolve within the time frame, then it shall be informed to AB immediately.</li> <li>• To advise the complainant on AB's Complaint Procedure which is available on AB'S website</li> <li>• Complaints referring to conditions of RSPO membership, shall be informed to the RSPO Secretariat if a resolution was not achieved within 60 days.</li> </ul> |
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## 4.2 Appeal Handling Process

**4.2.1** Appeal is a request by a client for reconsidering of any adverse decision made by **Global Gateway Certifications** related to its certification decision/status. Appeal can be lodged by client, against the following reasons:

- Refusal to accept client's application.
- Delay in audit implementation.
- Response on corrective action requests.
- Non-response to change of certification scope.
- Decision to deny or suspend or withdraw certification.
- Any other action that impede the issue of certification.
- Non acceptance of auditor's findings.

**4.2.2** Appeal shall be submitted to **Global Gateway Certifications** in writing within 6 weeks after receipt of the **Global Gateway Certifications** certifications decision. The appellant may send the appeal to **admin@ggc.my**.

**4.2.3** Appeal need to include a clear description of the case, objective evidence to support each element or aspect of the appeal, and the name and contact information of the appellant.

**4.2.4** Appeal forwarded to the person in charge, which is the Managing Director concerned or Quality Manager, depending on the nature and severity of the appeal.

**4.2.5** All appeals are preliminary reviewed by the Quality Manager an communicate to the person in charge.

- c) If the appeal is evidently unfounded or outside of the scope for appellant handling, the person in charge will reject the appeal in writing.
- d) If the appeal is within the scope for complaints handling, the person in charge initiates the appellant handling process as detailed hereafter.

**4.2.6** Each appeal case will be reported in incident report and forwarded to the Quality Manager for recorded in incident log.

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- 4.2.7** Within 2 weeks (10 working days) Quality Manager or Scheme Manager will writes to the appellant to confirm receipt of the appeal and to provide an overview of the proposed course of action to follow up on the appeal.
- 4.2.8** Quality Manager or Scheme Manager notifies the appellant in writing when the appeal is considered to be closed, meaning that **Global Gateway Certifications** has gathered and verified all necessary information, investigated the allegations, taken a decision on the appeal.
- 4.2.9** Quality Manager or Scheme Manager keeps informed the appellant of the appeal progress.
- 4.2.10** Based on the result of the investigation, the person in charge specifies all proposed actions in conclusion to the appeal not exceeding 60 calendar days of receiving the appeal. The measures to be taken are based on the requirements of the case.
- 4.2.11** In order to ensure that there is no conflict of interest, the decision resolving the appeals is taken by, or reviewed and approved by, person(s) not involved or impartiality committee in the activities related to the appeal.
- 4.2.12** Quality Manager or Scheme Manager notifies the appellant in writing when the appeal is considered to be closed, meaning that **Global Gateway Certifications** has gathered and verified all necessary information, investigated the allegations, taken a decision on the appeal.
- 4.2.13** When necessary, the competent authorities or scheme owner are included in the process.
- 4.3 Documentation**
- 4.3.1** All complaints and appeals are recorded. The documentation in the file of the complaint and appellant, which is usually the client file, includes:
- The complaint / appeal received (with dates and original information).
  - **Global Gateway Certifications** conformation of receipt of the complaint/appeal.
  - All relevant communication and a complete description of the handling of the appeal/complaint including all persons involved.
  - The outcome of the appeal/complaint's procedure.
  - Recommendations.
  - Action taken and their resulting effects.
- 4.3.2** The communication and relevant documents related to the appeal/complaint are also documented:
- In the file of other parties concerned, if relevant.
  - In the file of parties that have to be informed of the case (e.g. relevant authorities)

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## 5.0 References

ISO 17021:2015 Conformity assessment – Requirements for bodies providing audit and certification of management system

ISO 17065:2012 Conformity assessment – Requirements for bodies certifying products, processes and services

RSPO Certification Systems for Principle & Criteria and RSPO Independent Smallholder Standard.

QM01 Management System Manual (Ref. Std ISO 17021)

QM02 Management System Manual (Ref. Std ISO 17065)

QP01 Procedure for Document Control

QP02 Procedure for Record Management

QP04 Procedure for Corrective Action and Preventive Action

## 6.0 Enclosures

Nil

## 7.0 Formats

F23 Incident Report

F24 Incident Log