Index

Complaints, Stakeholder Concerns, Appeals and Disputes

The complaints / stakeholder concern process is as follows:

1. Complaints/stakeholder concerns must be documented and addressed in writing to the Operations Department.

2. Upon receipt complaints/stakeholder concerns are logged onto the complaints register. **NOTE** If the complaint is of a confidential nature the complainant is not identified and only brief details are added to the register. Instead, a note is added indicating that full details are recorded in a secure location and these records are available for inspection by Top Management, Accreditation Bodies or other applicable stakeholders upon request.

3. Each complaint is subject to an initial review and decision as to whether the complaint represents an extraordinary situation and therefore requires escalation to the concerned regulatory bodies, because the issue is considered to represent a significant risk to impartiality. Additional guidance may be sought from the relevant Accreditation Body (ies) or other applicable stakeholders.

4. Documented acknowledgement of the complaint/stakeholder concern is sent to the complainant within 2 weeks from the receipt of the complaint / stakeholder concern. The acknowledgment should include an outline of BMTV's proposed course of action and a copy of the Guidance on the BMTV LLC Complaints and Stakeholder concerns handling process document.

5. Complaints/stakeholder concerns are investigated, to determine root cause. Correction and corrective action is taken accordingly.

6. If a complaint is made against a BMTV certified client, the client is informed of the complaint and will be required to respond to BMTV with actions taken.

7. The complainant should be provided with progress reports during the investigation period.

8. BMTV will send documented formal notice of the end of the complaint/stakeholder concern handling process to the complainant. The communication should include a summary of the investigation, actions taken and notification of formal closure of the complaint / stakeholder concern.

9. BMTV should investigate the complaint /stakeholder concern, take action, and formally close the complaint/
stakeholder concern within 6 months of receipt.

10. An annual summary report of complaints and stakeholder concern is submitted the BMTV Advisory Board.

11. All records related to complaints/stakeholder concerns are retained by the Operations Department.

Note 1: Where a complaint/stakeholder concern is received against a BMTV certified client, BMTV cannot resolve the complaint on behalf of the complainant. BMTV will investigate to ensure that the certified client has an effective complaints procedure to manage the complaint. BMTV will follow up
the complaint with the certified client at the next audit to investigate how the complaint was managed and resulting action(s) taken.

Note 2: Where a complainant is not satisfied with the outcome of the complaint / stakeholder concern process, they are to be invited to escalate their complaint / stakeholder concern using the appeals/disputes process. Should they in turn be dissatisfied with the outcome of the appeals / disputes process they are entitled to escalate the matter further to the relevant Accreditation Body.

Disputes

A dispute is a disagreement of a decision made by BMTV.

1. Any dispute shall be submitted in writing to BMTV Operations Department.
2. Upon receipt of a dispute BMTV shall log the dispute in the Disputes and Appeals register.
3. BMTV shall acknowledge receipt of the dispute by formal letter within 2 weeks of receipt of the dispute. The disputant will also be sent a copy of the Guidance on the BMTV appeals and disputes handling process document.
4. The Operations Department shall perform an investigation into the dispute. **Note:** the person conducting the investigation shall not have been involved in the decision-making process related to the dispute.
5. Investigation may include a review of the documented dispute, any related reports, consultation with applicable audit team members, and the person/organization making the dispute.
6. The decision related to the outcome of the full investigation shall be documented and formally communicated to the person/organization in writing within 2 weeks of the final decision taken.
7. The person/organization shall be offered the right to appeal the final decision made.

Appeals

BMTV Appeals process is as follows:

1. Appeals must be documented and addressed in writing to the Operations Department.
2. Upon receipt appeals are logged onto the disputes and appeals register
3. BMTV will acknowledge receipt of the appeal by formal letter within 2 weeks of receipt of the appeal. The appellant is informed that their appeal shall be presented to the BMTV Impartiality Committee and also be informed of any proposed course of action if this information is available. The appellant will also be sent a copy of the Guidance on the BMTV appeals and disputes handling process document.
4. The BMTV Impartiality Committee is notified of any appeals which have been raised and arrange for an appeals Committee to be formed to perform an independent review of the appeal.
5. The appellant is informed of the composition of the Appeals Committee and the date of the review of the appeal.
6. The Appeals Committee will investigate, validate and document the recommended Resolution of the appeal.

Where necessary, the committee shall request the presence of relevant personnel during all or part of the meeting. The recommended resolution of the appeal is put to the BMTV Board for a decision.

7. The BMTV Board shall review the recommendation and make a decision to approve the recommendations of the appeals committee. If the Board does not agree with the recommendations, it will provide a written explanation to the Advisory Board.

8. The decision of the Board is the final BMTV decision.

9. The appellant is notified in writing of the outcome of the appeal, within 2 weeks of the decision being made and within 3 months of the written appeal being received at BMTV.

10. BMTV has established and implemented the process for Guidance on the BMTV LLC disputes and appeals process.

Note 1: The appeals committee will comprise of members of the management team and two members of the Advisory Board (selected by the Chairman of the Advisory Board). **Note** the Appeals Committee may also consist of technical experts in the matter under consideration if deemed necessary.

Note 2: No members of the Appeals committee shall have any commercial interest in the subject of the appeal, nor shall have been involved in the original decision.

Note 3: Where an appellant is not satisfied with the outcome of the appeals / disputes process they are entitled to escalate the matter further to the relevant Accreditation Body.

ALTERNATIVE CONTACTS IN CASE YOU DO NOT AGREE WITH THE DECISION MADE

Systems and Product Certification.
National Accreditation Entity
EIAC & UKAS
Dubai, UAE
t: +97142680130
Fax: +97142627278
www.bmt-ventures.com
E-mail ID: me-enquiries@bmt-ventures.com; shakhnaz@bmt-ventures.com

Guidance On The Process For Handling Certification-Related Complaints And Queries Or Concerns From Interested Parties. BMC Assurance SL

For BMC to handle a complaint or appeal, it must be received by our organization in writing and clearly described. Only complaints received in writing can be properly handled. Please explain your complaint or appeal in detail, including objective evidence to support it and any other relevant information or considerations you deem appropriate. Please also provide the name and contact details of the person submitting the complaint or appeal.
Any complaints or appeals related to activities carried out by BMC or those carried out by BMC-certified companies can be submitted through the following means:

Postal Mail:
Accreditation Department
BMC Assurance SL
C/ Amos de Escalante No. 2 3D
39002 Santander (Cantabria)
Fax:
942 075 897
E-mail:
acreditacion@bmcassurance.com

COMPLAINTS ABOUT BMC SERVICE
BMC will confirm receipt of any complaint or concern from any interested party to the issuer, and this confirmation will not, under any circumstances, be later than 15 calendar days (2 weeks) from receipt. All complaints will be reviewed impartially and objectively, and all appropriate actions will be taken to resolve the causes that gave rise to the complaint.
When a complaint about BMC services also involves a certified entity, the complaint/concern will also be forwarded to that entity and asked to investigate the complaint/concern, requesting that they respond to BMC's technical department regarding the issue raised. During the next scheduled audit at this certified entity, BMC will verify the measures taken by the organization to resolve the complaint/concern and the corrective measures taken, as well as assess the effectiveness of the certified scheme regarding the complaints/concerns. If deemed necessary, BMC may, in some cases, conduct audits with a short coordination period.
Note 1: For the FSC® standard, the maximum investigation and response period will be 3 months.
Note 2: For the UTZ standard, the complainant will receive a response within 15 business days (3 weeks). If the complaint is not resolved within 20 business days (4 weeks), BMC will inform UTZ certified about the complaint.
Note 3: For the RSPO standard, the deadlines indicated in **note 1** above will apply.

COMPLAINTS ABOUT BMC-CERTIFIED ORGANIZATIONS

Complaints/concerns received regarding BMC-certified entities will be handled within the same timeframes as in the previous section.

The complaint/concern will also be communicated to the BMC-certified entity, requesting that they investigate the complaint/concern and respond to BMC through the channels indicated above.

During the next scheduled audit of the certified entity about which the complaint/concern was received, BMC will verify the actions taken by the organization to resolve the complaint or concern and the corrective actions taken by the certified organization, as well as the effectiveness of the system in relation to complaints or claims. If deemed necessary, BMC may, in some cases, conduct audits at short notice.

Due to the variable nature of the services, products, and activities performed by BMC-certified entities, it may not be possible to resolve the complaint/concern immediately, but if possible, BMC will provide the complainant with progress reports during the investigation period.

Note 1: For the FSC® standard, the investigation and response period will be a maximum of 3 months.

Note 2: For the UTZ standard, BMC will respond to the complainant within 15 business days (3 weeks). If the complaint is not resolved within 20 business days (4 weeks), BMC will notify UTZ certified about it.

Note 3: For the RSPO standard, the deadlines indicated in note 1 above will apply.

Note 4: If a concern arises, even for FSC standards, because, for example, a document may have been tampered with, steps will be taken to obtain objective evidence to confirm this. BMC will contact other relevant parties, such as suppliers, to verify the information.

UNRESOLVED CONCERNS/COMPLAINTS

When a complainant/reporter is dissatisfied with the outcome of BMC's complaints/concerns process, they are encouraged to escalate their complaint as an appeal, following the process described below.

If the complainant/reporter is dissatisfied with the outcome of the appeals process, they are authorized to contact the relevant Accreditation Body/Standard Owner.

BMC has internal procedures to address and resolve complaints from all interested parties.

DISPUTE RESOLUTION

The individual/organization will be notified in writing within two weeks, acknowledging receipt of the dispute. The Controller or designated person will then conduct an investigation into the dispute. (Note: the person conducting the investigation will not have been involved in the decision-making process.) The investigation may include a review of the documented dispute, any related reports, consultation with the audit team members involved, and the individual/organization raising the dispute.

The decision regarding the outcome of the full investigation will be documented and officially communicated in writing to the person/organization that raised the dispute within two weeks of the final decision.

The person/organization that raised the dispute will be offered the right to appeal the final decision.

Note: For UTZ schemes, BMC will respond to the complainant within 15 business days (three weeks). If the appeal is not resolved within 20 business days (four weeks), BMC will inform UTZ Certified of the appeal.

RESOLUTION OF APPEALS

The appellant will be notified in writing within two weeks, acknowledging receipt of the appeal and confirming the appellant's right to present his or her case in person to the Appeals Committee.

The appellant will be informed of the date on which the appeal will be heard and the composition of the Appeal Committee.
The appellant shall have the right to object to the composition of the committee. The grounds for the appellant's objection shall be reviewed by the Chair of the Committee, who shall decide whether or not it is appropriate to modify the composition accordingly.
The Appeals Committee will consider the nature of the appeal based on the written reports of the appellant and the auditor. When necessary, the Committee will request the presence of the source of the decision during all or part of the meeting.
The reports will be reviewed, and a recommendation will be made to the technical department, which will make the final decision. Minutes of the meeting will be kept.
The appellant will be notified in writing of the outcome of the appeal within two weeks of the decision being made and within three months of receipt of the written appeal.
Note: In the case of a UTZ standard, BMC will respond to the complainant within 15 business days (3 weeks). If the appeal is not resolved within 20 business days (4 weeks), BMC will inform UTZ Certified of the appeal.

ALTERNATIVE CONTACTS IN CASE YOU DO NOT AGREE WITH THE DECISION MADE

Systems and Product Certification.
National Accreditation Entity
ENAC
C/ Serrano 240
28016 Madrid.
t: +34 91 457 32 89 calidad@enac.es

FSC® Chain of Custody Schemes
ASI Assurance Services International GmbH Friedrich-Ebert-Allee 69
53113 Bonn, Germany t: +49 (228) 227 237 0
f: +49 (228) 227 237 30
www.asi-assurance.org
FSC International
Adenauerallee 134
53113 Bonn, Germany
t: +49 (0) 228 367 66 0
f: +49 (0) 228 367 66-30 info@fsc.org

UTZ Certified (Cocoa, Coffee & Tea)
UTZ Standards and Certifications Department
De Ruyterkade 6
1013 AA Amsterdam
t: +31 (0) 20 530 8000 certification@utzcertified.org

Roundtable on Sustainable Palm Oil (RSPO)
Unit A-37-1
Menara UOA Bangsar
Number 5 Jalan Bangsar Utama 1
Kuala Lumpur 59000
Malaysia
t: +603 (0) 2302 1500 membership@rspo.org www.rspo.org