

HANDLING COMPLAINTS AND SUGGESTIONS

1. OBJECTIVE

Establish the activities to be carried out for the receipt, recording, response, management, monitoring and closing of complaints or claims regarding the services rendered by ICONTEC, mainly from clients of conformity assessment services.

2. SCOPE

All positions and processes of the ICONTEC management system.

3. DEFINITIONS

3.1 COMPLAINTS: These are the claims filed by means of a verbal or written communication received through any official ICONTEC communication channel. Expression of dissatisfaction made to an organization, with respect to its products, or the process of handling complaints, where an explicit or implicit resolution or response is expected. (taken from ISO 10002:2004)

3.2 INTERIM ASSESSMENT: This is the review conducted by the Organizational Management Office on each complaint and suggestion in order to confirm that it is a service provided by ICONTEC, that describes the elements necessary for the handling thereof and it is addressed to the proper customer service operator.

3.3 SUGGESTION: Insinuation and/or proposal of an idea made by a client or visitor to ICONTEC in order for it to be taken into consideration.

3.4 CLAIMANT: Person or organization that uses the products or receives the services from an ICONTEC client and files a complaint with ICONTEC.

4. GENERAL ASPECTS

4.1 In order to increase client satisfaction, all employees are required to ensure compliance with all the guidelines and commitments to clients, acting with strictness and integrity in accordance with the obligations acquired and the promises made within the term agreed with clients, adhering to the institutional principles and values and the quality policy.

4.2 All ICONTEC employees are empowered to receive a complaint or suggestion from a customer through any channel. Their commitment is limited to informing the client that the information has been received and will be conveyed without undue delay; they should not make any commitments that are not their responsibility or do not depend on their activities.

NOTE: The minimum essential data for receiving a verbal complaint are: name, telephone number, e-mail, address, company (if applicable), topic and/or product.

4.3 As part of ICONTEC's commitment to handle complaints and suggestions, clients must be informed of the channels of communication they can use to contact us for this purpose. Consequently, all the media and advertising material: brochures and videos, among others; institutional stationery, business cards, letterhead, envelopes, electronic signatures of all internal and external employees and institutional bulletin boards, among others, must make a clear and highlighted reference to the ICONTEC website and/or e-mail cliente@icontec.org, as the point of institutional contact and customer service.

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4.4 The channels through which clients can contact ICONTEC to file complaints or submit suggestions are:

- a. In writing:
 - Physical filed document
 - Suggestion box
 - Suggestion, complaint and congratulation form (ES-P-AC-03-F-007).
 - E-mail: cliente@icontec.org, which matches the "contact us" section of the website www.icontec.org.
 - Any ICONTEC employee's e-mail
 - Supplier Assessment
 -
- b. Verbally:
 - In a direct meeting in person or by phone with any internal or external ICONTEC employee
 - Customer Service Line, Call Center 018000949000 and in Bogotá (571) 6078888
 - the direct line to the customer service office (6078888 Ext. 1220)
 - With the customer service operator in the regional offices at the national level or the person responsible for the branches at the international level.

4.5 The spaces and mechanisms for publicizing the contact possibilities for our clients to express their concerns include the website, the notices on the bulletin boards of all the ICONTEC offices and the complaint, suggestion and congratulation form (ES-P-AC-03-F-007) available at all branches.

4.6 All the complaints and suggestions received by any medium must be answered within ten business days, following receipt at ICONTEC. The ICONTEC employees responsible for providing clients with a formal response (see ES-P-AC-03-A-001 Responsibility of Handling Complaints and Suggestions) must ensure that the response offers a solution from the beginning and is not just a notice of its processing.

4.7 Each process leader is responsible for taking improvement measures, both in process as well as service management, whether they are corrective or preventive measures, as a result of each period of analysis and monthly monitoring of the complaints and suggestions received.

4.8 ICONTEC will analyze any complaint or suggestion that is anonymous or does not have the sender's information, only if: it involves a respectful statement, with factual reasons and bases that provide evidence and is within ICONTEC's field of action for each particular service. In any case, it will be recorded in Nuestra Net (ICONTEC Intranet) and the Head of Organizational Management will determine the need to take subsequent action. In general, the company involved will be notified and a response will be sent to the sender. In case of messages received by electronic means, any doubtful identification as far as veracity must be identified before beginning the process to determine whether or not to classify them as anonymous.

4.9 All complaints must have a formal response regardless of complementary responses. For instance, if the client indicates that it has not received the invoice, sending said invoice as a communication to this client will not suffice. It must be accompanied by a response offering an apology in accordance with form ES-P-AC-03-F-001 Letter of Apology to ICONTEC client.

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4.10 For customers with several branches (cities or countries), a complaint will be processed at the regional office responsible for serving the client and it will notify the regional director and operator involved of another branch (if applicable). A communication must be sent to the sender of a complaint, regardless of whether or not it is from the main headquarters, informing the steps taken.

4.11 The sanctions of oversight and control bodies regarding the system certification and product certification services offered by ICONTEC must be handled as a complaint, taking due care with regard to the information recorded in order to avoid the disclosure of sensitive issues. The legal department will be responsible for handling these cases and it will be in custody of the information, for which it will apply the procedure: ES- P-GJ-002 Handling Legal Proceedings and Administrative Investigations.

4.13 The communication regarding the decision made of the claimant's request must be made, or reviewed and approved, by one or more persons who have not been previously involved in the subject of the complaint, and later sent.


4.14 When the subject of the complaint is technical and it extends for more than the number of days established to provide a final response, form ES-P-AC-03-F-010 Statement of Partial Information of Complaint Status must be sent.

4.15 For Publications service, the cases in which it is confirmed that although the client followed the steps indicated with the technical requirements for the use of the tool, it could not use it, will be taken as a complaint.

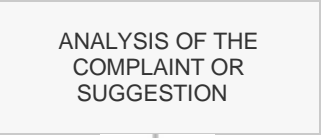
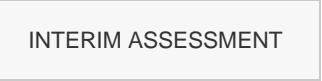
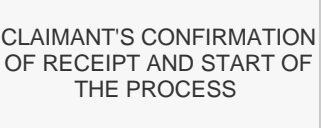
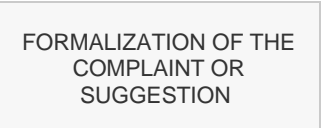
4.16 As for RSPO service, the following guidelines will be taken into account:

- Only complaints submitted in writing will be received.
- Once the complaint has been received, it will be notified within the following seven days to the Accreditation Body and to RSPO.
- A maximum of 60 days is provided in order to resolve the complaint.




5. DESCRIPTION OF THE ACTIVITIES

No.	ACTIVITY	RESPONSIBLE PARTY	OBSERVATIONS	DOCUMENTS
1	START			
2		All positions	The information received must be reported to the Organizational Management Office of any Customer Service Operator using any of the channels for communication with the client. (ES-P-AC-03-A-001)	RESPONSIBILITY OF HANDLING COMPLAINTS, SUGGESTIONS AND THIRD-PARTY COMPLAINTS,


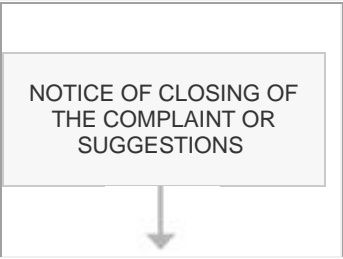

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3	 <p style="text-align: center;">↓</p>	Customer Service Assistant	<p>An analysis must be carried out based on the following criteria:</p> <ul style="list-style-type: none"> • The complaint must be related to ICONTEC's corporate purpose • The non-compliant product or service must have been offered by ICONTEC 	
4	 <p style="text-align: center;">↓</p>	Customer Service Assistant	<p>This interim assessment is carried out to confirm whether a Complaint or Suggestion is involved, verifying that it is forwarded correctly to the corresponding Service Operator.</p> <p>Note: An interim assessment must be conducted on disputes and appeals in order to identify whether they include a complaint or not; the assessment criteria will be those of Activity 3.</p>	
5	 <p style="text-align: center;">↓</p>	Customer Service Assistant	<p>When the interim assessment confirms whether it is a complaint or a suggestion, an e-mail is sent or a telephone call is made indicating that the information is on process and announcing that a response will be received as soon as possible.</p> <p>ES-P-AC-03-F-002 Confirmation of Receipt</p>	<p>ES-P-AC-03-F-002 CONFIRMATION OF RECEIPT,</p>
6	 <p style="text-align: center;">↓</p>	Customer Service Assistant	<p>If it meets any of the criteria, the information must be entered in Nuestra Net - Improvement Module and forwarded to the Customer Service Operator handling the process responsible for the issue.</p>	

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7	<div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;">FORWARDING TO THOSE RESPONSIBLE FOR HANDLING THE CASE</div> 	Customer Service Assistant	<p>It is forwarded to the Customer Service Operator and a follow-up will be carried out every three days.</p> <p>NOTE: The Customer Service Operators of the marketing and sales process are the Operators of the regional offices.</p>
8	<div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;">INVESTIGATE THE COMPLAINT OR SUGGESTION AND IDENTIFY THE SOLUTION THEREOF</div> 	Customer Service Operators	<p>The Customer Service Operators must investigate all the circumstances and relevant information involved in the complaint or suggestion.</p> <p>The information collected during the investigation of complaints and suggestions that supports the response issued to the client is recorded in the monitoring section of each case in Nuestra Net.</p>
9	<div style="border: 1px solid black; padding: 5px; width: fit-content; margin: 0 auto;">PROVIDE CLIENT WITH RESPONSE</div> 	Directors	<p>The director of each Regional Office, TU Director or Process Leader must inform the client of the decision made regarding its request.</p> <p>A response must be provided preferably in writing, either through a letter or by e-mail. A case may occasionally be dealt with verbally, in which case a summary of the conversation must be made in order to have a record on Nuestra Net of how it is handled.</p>

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10		Customer Service Assistant	Complaints: if no response has been provided within ten business days by means of form ES-P-AC-03-F-001, form ES-P-AC-03-F-010 Statement of Partial Information of Complaint Status will be sent to the claimant.	LETTER OF APOLOGY TO ICONTEC CLIENT, STATEMENT OF PARTIAL INFORMATION OF COMPLAINT STATUS,
11		Customer Service Assistant	Complaints and suggestions: are established in form ES-P-AC-03-F-001 Letter of Apology to ICONTEC client notifying the closing of the complaint.	LETTER OF APOLOGY TO ICONTEC CLIENT,
12		Customer Service Assistant, Customer Service Operators	<p>If the client has not submitted any additional concerns within five business days, the case will be closed and documented on Nuestra Net and, if there are any physical documents, they must be filed in the Customer Service folder kept by each customer service operator.</p> <p>Note 1: All the physical documents must be scanned and uploaded to Nuestra Net for the history of each case.</p> <p>Note 2: When the response is issued by a TU, a copy must be sent to the Regional Director to which the company belongs.</p> <p>Note 3: The following attachments must be uploaded:</p> <ul style="list-style-type: none"> Complaint filed by the client. (Scanned physical letter, e-mail, written record of the phone call or 	

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			<p>personal conversation)</p> <ul style="list-style-type: none"> • Treatment and actions taken when resolving the complaint. • Letter responding to client according to form ES-P-AC-03-F-001 (Letter of Apology to ICONTEC Client) • Confirmation of receipt of the letter by the client and/or evidence of delivery (e-mail, tracking number) <p>If the same client submits another requirement to ICONTEC after five days for the same reason, a new case will be opened but it will be described as the continuation of a case that has already been handled.</p>	
15	END			

6. FOLLOW-UP OF THE MANAGEMENT OF COMPLAINTS AND SUGGESTIONS

6.1 In order to keep a record of the timely responses to the complaints filed by ICONTEC clients, there is databased ES-P-AC-03-F-008, which is managed on a permanent basis by the Customer Service Assistant.

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7. DATA ANALYSIS TO MAKE IMPROVEMENT ACTIONS

7.1 Every three months the trends of complaints shall be analyzed by considering the following:

- Nonconformity severity
- Recurrence by the same customer or more users to the same product or service

7.2 According to the analysis done, the process leader shall evaluate the need to establish improvement actions. If improvement actions are generated, guidelines in the procedure ES-P-GH-003", Management System Improvement, shall be followed.

8. LIST OF ANNEXES AND FORMS

- ▶ [ES-P-AC-03-A-001 Responsibility of Handling Complaints, Suggestions and Third-party Complaints](#)
- ▶ [ES-P-AC-03-A-002 Complaint Policy](#)
- ▶ [ES-P-AC-03-F-001 Letter of Apology to ICONTEC Client](#)
- ▶ [ES-P-AC-03-F-002 Confirmation of Receipt](#)
- ▶ [ES-P-AC-03-F-007 Suggestion](#)
- ▶ [ES-P-AC-03-F-008 Record of Third-party Complaints and Complaint Management](#)
- ▶ [ES-P-AC-03-F-010 Statement of Partial Information of Complaint Status.](#)
- ▶ [ES-P-AC-03-F-011 Notice of Closing of a Third-party Complaint](#)